

Transversal records management mandate to provincial departments by
the Limpopo Provincial Archives

by

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ABSTRACT

Records management is a practice that can no longer be ignored or sidelined from other business activities, since it has become the heart in which the success of most activities lie and upon which accountability for activities is sought. Hence, the South African government also places emphasis on it by ensuring that archival institutions are established and given the mandate to ensure the proper care and management of records provincially. The purpose of the study is to investigate the support provided by the provincial archives for the management of records in the government departments of the Limpopo province in South Africa. To uncover the problem under study, a positivist research paradigm was applied as the paradigm for the study. In addition, a multi-methods approach was used; therefore, the study was fully quantitative and partially qualitative. Moreover, a case study is applied as the research design of the study. Data for the study were collected using questionnaires, interviews, and document analysis. The total sample of the study was 86 and the study achieved 71% response rate. The data were analysed through univariate analysis, the Statistical Package for the Social Sciences (SPSS), and the constant comparative method.

The records life cycle is used as the theoretical framework of the study in order to frame the study and to address the objectives of the study. The findings revealed that although the provincial archives of Limpopo are not adequately resourced, they are able to render some of the key records management support to the provincial departments. These include, but are not limited to, the granting of disposal authority, facilitating disposal and transfer of records, conducting appraisal of records, approval of classification systems, and records management training. The study recommends that provincial archives should be provided with adequate resources to be able to provide sufficient records management support throughout the life cycle of a record. The archives should conduct educational workshops, provide trainings, and conduct inspections on a regular basis as strategies to improve their archival support.

KEY TERMS:archives, provincial archives, records, records management, records life cycle, South Africa

DECLARATION

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I declare that ***Transversal Records Management Mandate to Provincial Departments by the Limpopo Provincial Archives*** is my own work and that all the sources I have used or quoted have been indicated and acknowledged by means of complete references.

I further declare that I submitted the dissertation to originality checking and that it falls within the accepted requirement for originality.

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

Ouma Malatji



Signature

08/09/2021

Date

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I am thankful to God, the Alpha, and the Omega, for having shown me mercy and kept me to this day. It is only through His will and mercy upon my life that I was able to complete this study. My sincere appreciation also goes to my supervisor, Professor Ngoako Solomon Marutha, your supervision and guidance has made this work what it is. You are an exceptional academic. I would also like to give thanks to Doctor Tahleho Tseole and Doctor Amos Shibambu for taking their time to review this dissertation. My sincere appreciation goes to you. Moreover, I am thankful to all the participants from the Office of the Premier; Department of Agriculture and Rural Development; Department of Social Development; Limpopo Provincial Treasury; Department of Public Works, Roads and Infrastructure; Department of Transport and Community Safety; Limpopo Department of Economic Development, Environment and Tourism; Department of Sport, Arts and Culture; and Limpopo Provincial Archives and Records Service. Thank you for giving your time and sharing your views with me.

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Robala ka khutso Mokone. Mokoni wa ntšhi dikgolo.

Mokoni moila tlhantlhagane!!!

Thank you all

DEDICATION

I dedicate this study to the Almighty God, my creator and saviour, and to my husband Kwetepe Julious Malatji, and my sons, Lekwenethe Tumelo and Mashao Itumeleng Malatji. Your encouragement and patience throughout the study are highly appreciated.

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LIST OF ABBREVIATION AND ACRONYMS

OP	Office of the Premier
DARD	Department of Agriculture and Rural Development
DE	Department of Education
DSD	Department of Social Development
DH	Department of Health
LPT	Limpopo Provincial Treasury
COGHSTA	Co-operative Governance, Human Settlement and Traditional Affairs
DPWRI	Department of Public Works, Roads, and Infrastructure
DTCS	Department of Transport and Community Safety
LDEDET	Limpopo Department of Economic Development, Environment and Tourism
DSAC	Department of Sport, Arts, and Culture
LPARS	Limpopo Provincial Archives and Records Service

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CHAPTER ONE

INTRODUCTION AND BACKGROUND

1.1 INTRODUCTION AND BACKGROUND TO THE STUDY

Records have become a valuable resource and attempts to improve their management have required more unified methods (Ghosh, 2011). According to Research Focus (2010:13), records are evidence of activities and functions that have been performed in an organisation. Records can also be generated in different formats such as paper, electronic and audio-visual. Records capture all decisions made in an organisation and, as such, help the organisation to retain valuable information. UNISA (2007:27) asserts that records contain information that is important and that is valued as an asset of the organisation. For this reason, it is imperative for records to be managed properly and effectively. Proper records management helps to ensure that organisations preserve information for the required or desired length of time. It also helps in preserving important information for business continuity and disaster recovery.

Research Focus (2010:13) states that the proper management of records facilitates the retrieval of records and information at the required time and in an efficient manner. Furthermore, records management allows ineffective and terminated records to be disposed of through destruction or transfer to archives. However, it is unfortunate that the importance of effective records management is often only realised when a disaster has struck (Research Focus, 2010:13). For instance, in the United States, the significance of archives and records services gained prominence with the occurrence of the collapse of Enron and the destruction of the World Trade Centre Towers in the 21st Century (Isa 2009: 233). Isa (2009:233) further notes that the collapse of Enron and the destruction of the World Trade Centre Towers projected the importance of records and their management.

Furthermore, Isa (2009) describes the collapse of Enron as an event that made businesses tremble when their records were inappropriately destroyed. Stephens (2003:34-39) explains that the terror attack that occurred in the United States in September 2001 resulted more than 1,000 records being seriously damaged.

This event provided the motivation for transferring records to a digital format. For African countries, the importance of records management was realised after colonial administrators had left with and destroyed vital records after the countries had gained independence (Katu, 2015:97). Namhila (2015:38) notes that in Namibia, after transition from colonial apartheid to the democratic regime, the current government was unprepared for the proper management of records and did not even have a comprehensive programme for archival transition. All these challenges existed because of a lack of training in records management of other public servants by the administration of colonial apartheid.

Lihoma (2012:5) states that in Malawi, shortly after the changeover of colonial rule to the new administration, records management was overlooked, resulting in unfavourable record-keeping practices. The situation was further worsened by the imposition of strict rules when it comes to the public having access to records such as the closure of archives, requests and access processes that were not user-friendly, and restrictions on areas of research. Ultimately, records were unlawfully destroyed (Lihoma 2012:5). In South Africa, records management is also influenced by the past. According to Yuba (2013:01), South African records management and archiving are influenced by its past, such as the fracture of racial domination during South Africa's apartheid society from 1948 to 1994.

There has been a historical revolution from the apartheid regime to democratic governance; thus, this liberation has particularly shaped the South African past and imminent events. Therefore, resolutions were made to ensure democratic governance and the regulations have all been documented in records. Thus, documentation of information leads to records becoming of greater importance in any organisation. Namhila (2015:47) notes that with the end of apartheid in South Africa, the need to transform the archives began. However, more focus was directed towards the management of records dealing with matters in the police force, army, and state security. Moreover, those records were largely deliberately destroyed or hidden from public scrutiny (Namhila, 2015:47).

Hendrich (2017:74) notes that from the time when South Africa became a democracy, there was a steady rise in public mindfulness of the important role of archives for the state and society. The rising prominence of archives has been heightened by government and societal demands for records to be preserved for future reference, and the emergence of technology has radically transformed access to information. In South Africa, the functions of safeguarding records, encouraging the conservation, providing access to archives, and administration of archives were initially performed solely by the national archival institution (Yuba, 2013:01). The South African government conceptualised the national archival system in the early 1990s (Archival Platform, 2014). Provincial archives were also established for each province in South Africa, one of which is the archives of the Limpopo province.

The intention was to ensure that Provincial archives renders transversal records management within the provinces. According to Collins (2021) transversal is “a line that intersects two or more other lines”. Therefore, transversal records management is the line of records management function that intersect or oversee all the other lines of records management function. In case of this study the function is discharged by the provincial archives overseeing or intersecting records management in the provincial departments. According to Bradshaw, Nannan, Laubscher, Groenewald, Joubert, Nojilana, Norman, Pieterse and Schneiderv (2000:04), Limpopo is the northern most province of the country, which explains why it was formally known as Northern Province. Limpopo has borders with the provinces of Gauteng, Mpumalanga and Northwest.

Moreover, it has borders with other countries, namely Botswana, Mozambique, and Zimbabwe. Bradshaw et al. (2000) also note that before South Africa became a democratic country, Limpopo was separated into areas. These areas were Lebowa, Gazankulu, the state of Venda, and Transvaal. Although provincial detachments no longer exist, they are central to the history of Limpopo and form an important aspect of the Limpopo Provincial Archives (LPARS).

According to Archival Platform (2014), the archive was re-established as an amalgamation of the archives in three former homelands, namely Venda, Gazankulu, and Lebowa, as well as part of the Transvaal Province of South Africa during apartheid government. The Archival Platform (2014) further states that parts of the other historical records relating to the Transvaal Province are at the National Archives and Records Services of South Africa, and they are waiting to be transferred to provincial archives in Limpopo, Mpumalanga and Gauteng. The LPARS was charged with the responsibility of records management in the Limpopo province. Additionally, the mandate of the LPARS includes determining and approving classification systems, appraisals and disposal of records, and records management inspection (Archival Platform, 2014).

The archive is also mandated to provide records management trainings, preservation and conservation of archival records, providing access to archival records, conducting outreach programmes to the market, and creating awareness of the archives (Limpopo Province Archives Act No. 5 of 2001 and National Archives of South Africa Act No. 43 of 1996). Besides providing the aforementioned services, archives also provide other records management support such as advice on the type of archival boxes that are suitable for the preservation and conservation of records and the types of shelves that should be used. In addition, archives also provide advice on buildings that are suitable for records keeping. Furthermore, archives also help to create awareness about the value of records. This is done through providing platforms to discuss issues of records management and marketing records managements.

Creating awareness of services provided by archives allows users from all spheres to be reached and attracted. More importantly, it encourages the management and preservation of the nations' history (Mukwevho & Ngoepe, 2018:2-4). For this reason, archives contribute to local history research and the broader cultural memory. Concisely, the archives provide advice and guidance regarding records management as and when required by their clients. This warrants a necessity to investigate the transversal records management mandate to provincial departments by the LPARS.

However, the archives might be unable to completely fulfil their mandate and provide services and records management support due to insufficient resources, including inappropriate staffing. Hendrich (2017:75) underscores that archival services and professions in sub-Saharan Africa have been unsuccessful in meeting the required standards of appropriate service delivery. As such, the importance of archives is not well highlighted and it is not as stimulating when compared to political influence and racial issues. Hence, archives are faced with a lack of monetary support and a lack of skilled officials, which have led to the deterioration of archival services (Hendrich, 2017:75).

1.2 PROBLEM STATEMENT

The problem that led to this study was that in the Limpopo province, the management and transfer of records with enduring value to an archive repository is still a great problem. Government departments and institutions are still struggling to ensure that records with archival value are managed in line with the required procedures throughout the life cycle, until final disposal in the provincial archive repository. In essence, the archives are supposed to take care of the public records management and support government departments; for instance, support with training to capacitate records officials, and inspections to monitor compliance (Limpopo Province Archives Act No. 5 of 2001; National Archives Act No. 43 of 1996). Instead, the government departments and institutions appear to be suffering from a lack of support from the provincial archives in terms of training, guidelines, and support visits, among other things, as required by both provincial and national legislation governing records management and archiving.

According to Archival Platform (2013), the LPARS is unable to fully support records management because the conditions under which the provincial archives operate are not pleasing. The archives are faced with an extreme lack of staff, inadequate allocation of resources and a lack of support from the Limpopo Department of Sport, Arts and Culture and the Limpopo Provincial Treasury. Another element is that the LPARS falls within the same directorate as the library and, in most cases, libraries take priority over archives and records management issues.

As such, this results in the importance of archives and records management not receiving the priority it deserves from management (Archival Platform, 2013). Hence, the archive is not operating as it should, resulting in improper records management practices in departments such as records with enduring value being damaged, destroyed, or altered before transfer to the archive repository as required by the law. Eventually, improper records management practices might lead to the historical memory of the country dying. Citizens may no longer have access to required archival and historically valuable records. Historians may no longer have the necessary resources to capture the history, and researchers may no longer have access to the necessary archival data for their studies in different subject areas.

So, an archive may become useless to its community, as it cannot meet the citizens' information needs. Furthermore, an inability of the archives to fulfil its functions effectively will lead to some departments using poor classification systems (file plans) and registry procedure manuals that have not been approved and endorsed by the provincial archivists. Using an unapproved classification system transgresses section 11(2) (b) of the Limpopo Province Archives Act (No. 5 of 2001), which states that the provincial archivist must regulate the classification system to be used by governmental bodies. The act further states that the provincial archivist must also regulate how electronic records systems are to be managed. In principle, archives are supposed to care about how public records are managed, support government departments with training to capacitate records officials, and undertake inspections to monitor compliance. Archives may also give support with appropriate working resources, where necessary, as a form of intervention.

1.3 AIM OF THE STUDY

The aim of this study was to investigate the transversal records management mandate to provincial departments by the LPARS.

1.4 OBJECTIVES OF THE STUDY

The objectives of the study were the following:

- 1) To identify the records management services provided by the Limpopo Provincial Archives and Records Service to the provincial departments throughout a record's life cycle.
- 2) To determine the records management support provided by the Limpopo Provincial Archives and Records Service to the provincial departments throughout a record's life cycle.
- 3) To find out how the Limpopo Provincial Archives and Records Service is resourced to render their services to support records management in the provincial department throughout a record's life cycle.
- 4) To determine the benefits of the services rendered by the Limpopo Provincial Archives and Records Service to the provincial departments in ensuring proper records management throughout a record's life cycle in Limpopo Province.
- 5) To establish the extent to which the Limpopo Provincial Archives and Records Service enforces the implementation of the records management legislation throughout a record's life cycle.
- 6) To recommend strategies that may be used in ensuring appropriate archival support for records management.

1.5 RESEARCH QUESTIONS

The study intended to answer the following questions in addressing the objectives for the study:

- 1) Which records management services are provided by the Limpopo Provincial Archives and Records Service to the provincial departments throughout a record's life cycle?
- 2) What records management support is provided by the Limpopo Provincial Archives and Records Service to the provincial departments throughout a record's life cycle?

- 3) How is the Limpopo Provincial Archives and Records Service resourced to support records management in the provincial departments throughout the record's life cycle?
- 4) What are the benefits of the services rendered by the Limpopo Provincial Archives and Records Service to the Limpopo provincial departments in ensuring proper records management throughout the life cycle of a record in Limpopo province?
- 5) How does the Limpopo Provincial Archives and Records Service enforce the implementation of the records management legislation throughout the life cycle of a record?
- 6) Which strategies can be proposed to ensure appropriate archival support for records management in government departments?

Table 1.1 provides an overview of the research objectives and questions and data collection techniques to be used for each of the research objectives and questions.

Table 1.1: An overview of research objectives, research questions and data collection techniques

Research objectives	Research questions	Data collection technique(s)
1. Identify records management services provided by the Limpopo Provincial Archives and Records Service to the provincial departments throughout a record's life cycle.	What are the records management services provided by the Limpopo Provincial Archives and Records Service to the provincial departments throughout a record's life cycle?	Questionnaire, interview, and document analysis
2. Determine the records management support	What records management support is provided by the	Interview and document analysis

<p>provided by the Limpopo Provincial Archives and Records Service to the provincial departments throughout a record's life cycle.</p>	<p>Limpopo Provincial Archives and Records Service to the provincial departments throughout a record's life cycle?</p>	
<p>3. Find out how the Limpopo Provincial Archives and Records Service is resourced to render their services to support records management in the provincial department throughout a record's life cycle.</p>	<p>How is the Limpopo Provincial Archives and Records Service resourced to support records management in the provincial departments throughout a record's life cycle?</p>	<p>Questionnaire and interview</p>
<p>4. Determine the benefits of the services rendered by the Limpopo Provincial Archives and Records Service to the provincial departments in ensuring proper records management throughout a record's life cycle in the Limpopo province.</p>	<p>What are the benefits of the services rendered by the Limpopo Provincial Archives and Records Service to the Limpopo provincial departments in ensuring proper records management throughout the life cycle of a record in Limpopo province?</p>	<p>Questionnaire</p>
<p>5. Establish the extent to which the Limpopo Provincial Archives and Records Service enforces</p>	<p>How does the Limpopo Provincial Archives and Records Service enforce the implementation of the</p>	<p>Questionnaire, interview, and document analysis</p>

the implementation of the records management legislation throughout a record's life cycle.	records management legislation throughout the life cycle of a record?	
6. Find recommend strategies that may assist in ensuring archival support by the Provincial Archive and Records Service and compliance with legislation by departments.	Which strategies may assist in ensuring archival support by the Limpopo Provincial Archives and Records Service and compliance with legislation by departments?	Questionnaire and interview

1.6 JUSTIFICATION OF THE STUDY

This study intended to investigate the support provided by the LPARS in the management of records by provincial departments throughout their life cycle. The study has the potential to provide an overview of and add new knowledge to existing literature on records management support and service delivery. It may also add literature regarding the resourcing of archives to enable the rendering of services to various government bodies responsible for records management. The study further provided an overview on the benefits of the services rendered by archives to governmental bodies in ensuring proper records management, and the extent to which the archives may uphold and enforce the implementation of the records management legislation. Having an overview and understanding of the aforementioned, the role of the archives and the value of records management may be realised within government. Relevant authorities may realise the importance of supporting archives with appropriate resourcing.

Henceforth, this may lead to proper records management and adherence to best practices in government institutions, as there will be the necessary support from the archives institutions. If the recommendations of this study are implemented properly, records management and archiving in the public healthcare sector may be improved, and the government may develop the best practices in records management and archiving that could lead to better service delivery, accountability, and transparency.

1.7 SCOPE OF THE STUDY

Even though the provincial archives are mandated to manage records at provincial governmental bodies, the study focused only on the head office of the provincial departments based in Polokwane. The study also focused on archivists at the LPARS. In Polokwane, there are 11 departments working alongside the LPARS to ensure proper records management and eventual archiving. These departments are the Office of the Premier; the Department of Agriculture and Rural Development; the Department of Education; the Department of Social Development; the Department of Health; the Provincial Treasury; Co-operative Governance, Human Settlement and Traditional Affairs; the Department of Public Works, Roads and Infrastructure; the Department of Transport and Community Safety; the Department of Economic Development; Environment and Tourism; and the Department of Sport, Arts and Culture.

The study excluded government departmental institutions, facilities, parastatals, district offices, and national departments' regional branches like Home Affairs and the Department of Water Affairs. In addition to limiting the study to the aforementioned governmental departments and the LPARS, the study was also limited to the records management sections in the departments. The focus of the study was on investigating the services provided by archives, resourcing of archival services, archival services benefits for provincial departments as stakeholders of the archive, and the role played by archives to ensure compliance or implementation of appropriate legislation governing records management.

1.8 LITERATURE REVIEW

The literature review in this study related to the purpose and objectives of the study. This is because the literature review is framed with the themes formulated from the objectives of the study. The themes included records management services provided by archives, records management support provided by the archives institutions to the government organisations throughout a record's life cycle, and resourcing of archival institutions to render their services. Moreover, the literature highlighted the benefits of the services rendered by archives. Furthermore, it established the extent to which archives enforce the implementation of the records management legislative requirements or mandates throughout a record's life cycle. Literature review issues are discussed in detail in chapter 2 of this study.

1.9 RESEARCH METHODOLOGY

The research methodology in a study serves as an itinerary that outlines all the routes to be followed in carrying out the study. It outlines what has to be done and the manner in which it should be done. Research methodology gives an account of the research paradigm, approach, research design, population of the study, sampling method, and data collection tool (Kumar, 2008). In this study, the quantitative research approach was used with limited support of qualitative data. The methodology of the study was multi-methods since the quantitative research approach had more power than the qualitative research approach. Quantitative research enables the researcher to generalise the findings of the study to the entire population. Moreover, it helps to eliminate prejudice that may arise from qualitative data. In terms of the research design, a case study was used in the study. The sampling method was not applied as the study targeted the entire population of 135 participants from the provincial departments for the questionnaire and nine participants for the interview from provincial archives.

Furthermore, three data collection tools were used, namely questionnaire, interview, and document analysis. Since both qualitative and quantitative data were collected using the three instruments, two methods of data analysis were used. There was a data analysis

method for quantitative data and one for qualitative data. For quantitative data, univariate analysis was used and for qualitative data, the constant comparative method was used. Full details are discussed in chapter 3.

1.10 DEFINITION OF KEY WORDS

This section intends to define the key concepts of the study.

1.10.1 Archives

According to Ghosh (2011:13), archives refer to the long-term value of records documenting activities and functions performed. Archives are the establishment or programmes accountable for preserving archives and ensuring their accessibility. Forde and Rhys-Lewis (2013:47) indicate that an archive is a secure repository for records, held in varying formats that have been selected for permanent preservation. In addition, it is a place where users can access this information. For Namhila (2015:22), archives are habitations of primary sources. An archive is a building that has been built with the sole purpose of storing records that have been identified to have an infinite life cycle (United Nations Economic Commission for Africa, 2017:iv). In the study, an archive refers to a building and structure responsible for ensuring proper records management and preservation of records and ensuring their value.

1.10.2 Provincial archives

Provincial archives refer to archival structures operating within provinces. The provincial archive is a place where records in diverse forms relating to a particular province, that are older than 20 years, are kept. Records kept at the provincial archive are mostly created to deal with the day-to-day activities of governmental entities and have been adjudged by archives officials as being worthy of being kept in the province. In their current and active stage, records are kept in the organisations where they are created and, after 20 years, they are selected and preserved as part of an archival collection (United Kingdom National Archives, 2016:04). In this study, provincial archive refers to the archive

repository or institution that only focuses on rendering archival services within a particular province of its country.

1.10.3 Records

Records are recorded information, which can be paper based, electronic, audio, video, and audio-visual generated, preserved, and used to carry out duties and to provide evidence (Yuba, 2013:17). Namhila (2015:23) notes that records are documents generated, disseminated, and received in the process of performing business activities. Records provide an account of events that occurred, when they occurred, and how they occurred. Forde and Rhys-Lewis (2013) also note that records are the process of performing duties and are kept to provide details of what happened and the rationale thereof. Records provide evidence of events, information of individuals who made the decision, and the place where the decisions were made. To the Head of Information Governance (2017), a record is information of or relates to an organisation's business transactions. Based on these definitions of what a record is, 'record' in this study was regarded as any formal documentation of an organisation. This document must have had all the approvals it needs, must be put to use without being altered, and has to be put to use without making any alteration.

1.10.4 Records life cycle

Records life cycle represents the phases that a record goes through, starting from when it is created up to the destruction or permanent preservation of a record. The record's life cycle outlines a record as a living thing that has stages and different purposes at each of the stages (Unisa 2016:09). In the context of the study, the records life cycle was used as a theoretical framework for the study.

1.11 STRUCTURE OF THE DISSERTATION

This section presents the structure of the research report in chapters. The dissertation consists of six chapters, excluding preliminaries. The structure of the dissertation is presented as follows

1.12 PRELIMINARIES

Dissertation has preliminary pages, which include the cover page with title, declaration, abstract, dedication, acknowledgements, table of contents, list of tables, list of figures, list of abbreviations and acronyms, and list of appendices.

Chapter 1: Introduction and background to the study

This chapter covers the statement of the problem, research questions, aims and objectives of the study, purpose of the study, scope of the study, and definition of key terms.

Chapter 2: Archival institutions support for records management

The chapter provides the literature review based on the objectives of the study. The literature covers archives institutions' support for records management throughout the life cycle, and the support provided by archives for records management throughout the life cycle. In addition, the literature covers the resourcing of archival services and the benefits of archival services. Lastly, the literature indicates how archives enforce the implementation of records management legislation and strategies for archival support for appropriate records management.

Chapter 3: Research methodology

This chapter covers details of the research approach, as well as the method, population, sampling, data collection, data analysis, and ethical considerations.

Chapter 4: Data presentation and analysis

Chapter 4 includes the presentation of data with the use of figures and graphs.

Chapter 5: Discussion and interpretation of the findings

Chapter 5 provides the interpretation and discussion of the study results drawn from data presented in chapter four.

Chapter 6: Summary, conclusion, and recommendations

This chapter includes a summary of the findings, the recommendations based on the results, and a conclusion to sum up the study. The chapter also includes areas for further studies which are not adequately covered in the current study.

1.13 SUMMARY

This chapter provided the background and introduction to the study, which also included the problem statement, the purpose of the study, objectives, and research questions. It also provided the justification of the significance of the study, the scope of the study, and an outline of the organisation of the dissertation. The next chapter presents the literature review for the study based on the themes formulated from the objectives.

CHAPTER TWO

THEORETICAL FRAMEWORK AND LITERATURE REVIEW

2.1 INTRODUCTION

The previous chapter provided an introduction and background to the study, as well as the objectives that informed the themes in this chapter. This chapter presents the theoretical framework and the literature review to the study based on the themes formulated from the objectives. The main themes of the chapter are as follows:

- Records management services provided by archives
- Records management support provided by the archives
- Resourcing of archival services
- The benefits of archival services
- Archives in enforcing implementation of the records management legislation
- Strategies for archival support for appropriate records management

In this study, the literature review presents the foundation of a study through the development and validation of the methodology to be followed. The literature review provides a starting point for researchers to find and comprehend what is available on the subject (O’Gorman & MacIntosh, 2015:33). Creswell (2014:28-31) indicates that a literature review is used as a basis for advancing research questions or hypotheses. Creswell (2014:31) further states that a literature review can be used to introduce the study, describe related literature, compare findings with the existing findings in the literature, and identify central issues in the field of study. In this study, the literature review served the aforementioned purposes and demonstrated what the researcher has read in relation to study matter as demonstrated in Figure 2.1.

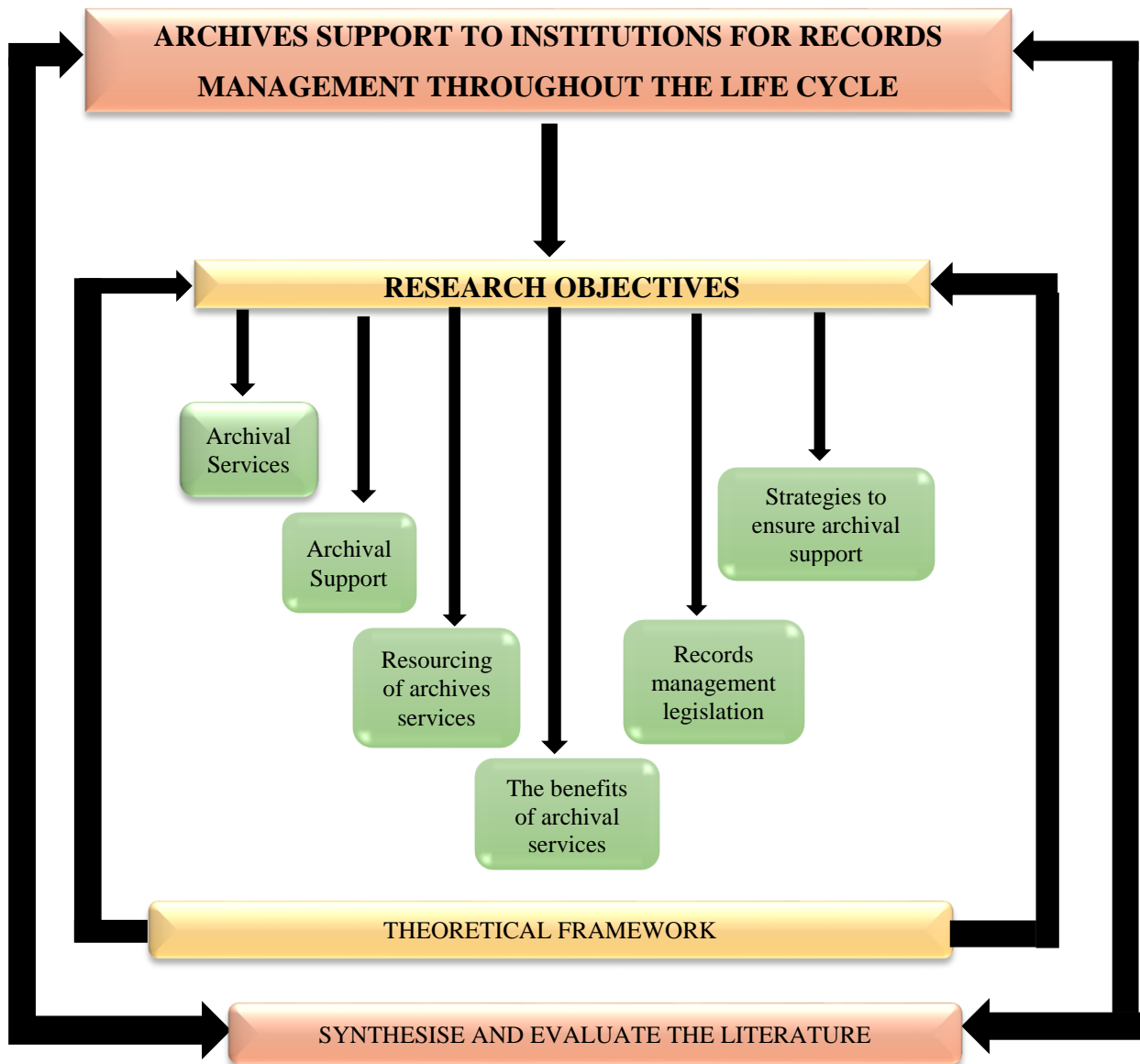


Figure 2.1: The map of the literature review

2.1.1 Theoretical framework

According to Ngulube (2018:1), theoretical frameworks tie together the understanding of the pieces of the research, and without it, the research may not be worthwhile. Theory and research should go hand in hand; therefore, research without of a theoretical framework is inconceivable. The record life cycle was used to provide a theoretical framework for this study.

The record life cycle is a representation and likeness of a record to a living organism. The cycle represents a record as having the stages in which it is born, actively lives, becomes less active, and then dies (Unisa, 2016:09). Gordon and Hoke (2011:31-32) further state that the cycle of a record starts when information is created, documented, and used in an organisation. Yusof and Chell (2000:141) also note that a record life cycle is essential for proper records management. The cycle has stages that give the periods and prominence of records in detail starting from when they are created, used, and retained. For Bantin (1998:3), a record life cycle provides descriptions of what a record may come about and delineates the person responsible for the management of the records in each stage.

In the first stage of creation and receipt, those who created the records are mainly accountable for its management. The records managers and the archives are involved in the sense of providing training on the allocation of reference numbers. During the maintenance and storage stage, the records manager plays an active role in storing and managing the records. Here again, the records manager does not work in isolation from the archives. Lastly, in the final stage of the cycle, the role of managing the records lays with the archivists. In this stage, the archivists do all that is needed to ensure proper management and preservation of the records while also providing access to the records when requested (Bantin, 1998:3-4). According to Kanzi (2010:17), the life cycle of a record is the centre of records management, as it provides the guidelines for the management of records in organisations.

A record life cycle is appropriate for the study, as the management of records is the basic principle of the study (Unisa, 2016:09). The study was framed with the record life cycle throughout all the stages. Every objective in this study was addressed in each stage of the life cycle and shows the role of archives in the life cycle of a record. The life cycle of records helped the researcher to determine the role that archives play in ensuring the care of records from their creation to their disposal. The stages of a record's life cycle include records creation and receipt, distribution and use, storage and maintenance, and disposal.

Although a record's life cycle has the potential to help in investigating the research question, the researcher also recognises the criticism of the record life cycle as brought forward by other authors. Msibi (2015:16) criticises the record life cycle stating that it forms a division between the roles played by the records manager and the archivist. It fails to show the intertwinement and the need for a working relationship between the archivists and records managers to ensure proper records management. It gives the impression that the archivists are only involved in the management of records when they are no longer active. Similarly, the model fails to show the interrelation between current records and non-current records (Msibi, 2015:16). Yusof and Chell (2000:137) are also of the view that the life cycle of a record may not cover electronic records the same way it does paper-based words. This is because of the dissimilarities between electronic and paper-based records. The electronic records may not go through all the stages of the life cycle. The records life cycle can be presented in four stages as on the Figure 2.1.

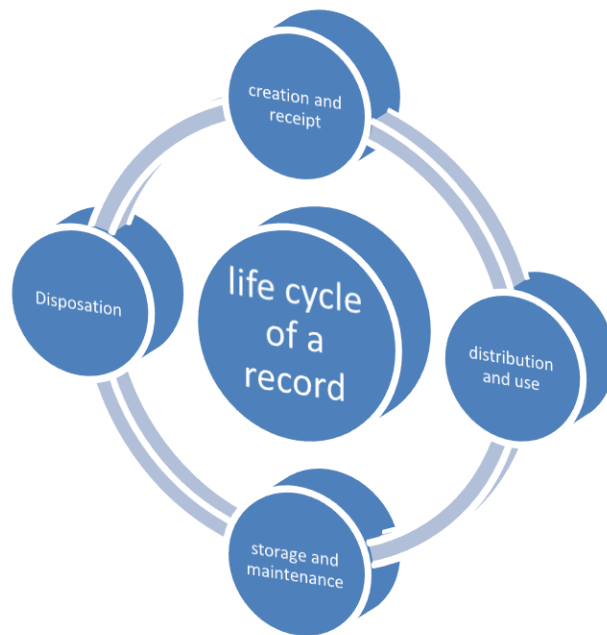


Figure 2.2: Records life cycle (Shepherd & Yeo, 2003:06)

Creation and receipt stage

Creation and receipt are the beginning in the life cycle of a record. This stage involves the creation and receipt of records in the organisation for conducting business and/or implementing ideas expressed in the record. According to the University of Adelaide (2018), this is the first step to proper records management as it provides the rationale as to when and why records are or were created. Although reasons to create records may vary, the most obvious and important one remains within the ability of records serving as evidence that particular activities took place. Furthermore, records can be used to hold those involved in activities accountable for their actions and decisions. Additionally, records are created to capture and hold memories of things that took place, while serving as reference sources for future events in an organisation (University of Adelaide, 2018). There are several stakeholders involved in the records creation stage but the most important are the record creators as they have the primary responsibility for managing the record.

The first step in managing the record is allocating the correct reference number. An incorrect reference number means that the record is already lost at this stage. Furthermore, the role of the record creator here is to inform the records manager of the existence of the record. This would enable the records manager to monitor the creation of new records and the whereabouts of such records. The records manager would also be able to assist in case incorrect reference numbers have been allocated. Regarding archives, the institution plays a supportive role by ensuring that approved file plans are used and by capacitating the organisation for the use of a file plan and management of records in general.

Distribution and use stage

Distribution and use form the second stage. This stage involves using records by acting on information they contain. Sharma (2011:16) indicates that distribution and use are about the management of records generated and received by an organisation. Distribution of records can take place within the organisation and outside the organisation when conducting business with others.

For this reason, records at this stage are referred to as active records. The records are frequently required and consulted for current activities and operations in the organisation. The record creator or receiver also has a central role in the management of a record.

Storage and maintenance stage

The storage and maintenance stage entails that when a decision is made to keep the record for use at a later stage, it is stored, retrieved, and protected (Read & Ginn, 2010). Read and Ginn (2010) further state that in the course of this phase, the records are placed in a locked and secured registry. Access to such records is limited to registry personnel. Other members of an organisation may request access to the records in writing. Once access has been granted, the requester of the record is given a time frame in which they must return the record to the registry for storage. Also involved in this phase is the maintenance of records which involves taking measures to preserve records and to mend those with torn covers. The maintenance of records should not involve altering the content of the records (Read & Ginn, 2010). In this stage, the records manager takes control of the records, as the records are stored in the records management section under his or her care. The archives are involved in providing records management advice and practices. This is usually done through conducting records inspections and identifying areas of concern (Sharma, 2011:16).

Disposition stage

The last phase in the record life cycle is disposition. According to Read and Ginn (2010), after a predetermined period has elapsed, the records are disposed of, either by destruction or by transfer to a permanent storage place at archives. Marutha (2016:238) states that the disposal of records is an important operational activity in managing records properly. Disposal entails retaining, deleting, transferring, or destroying records after appraisal has been done and the decision made for the records to be disposed of. Sharma (2011:16) indicates that records in this stage are in an inactive state and are to be disposed of after taking into consideration their retention periods. In this stage, archives play a central role in helping to determine the value of the records through the appraisal process.

Those records with archival value are kept and those without archival value are destroyed. In disposing of records, a disposal authority has to be applied for and must be granted before any disposal can take place. In South Africa, a decision to grant authority for disposal is decided by the National Archives of South Africa or the provincial archives based on the retention period of the record, the value of the record, and other circumstances that may impact on the disposal of such a record (Marutha, 2016:238). In other instances, some records may be found to have archival value during disposal and, in this case, records may be transferred. In accordance with section 11(2) (a) of the National Archives Act, public records identified during the disposal process as having archival value, must be transferred to an archives repository.

The records will be transferred on the condition they have been in existence for 20 years and no other act requires such records to be kept in the custody of a particular governmental body or person (National Archives Act). Furthermore, they may be transferred to archives before the reach 20 years only if the organisation no longer wants them. According to the United States Economic Commission for Africa (2017:46), appraisal helps to decide which records need to be kept and for how long. It also helps to decide which records need to be permanently preserved because of their enduring value. What is most important to note with regard to the appraisal of records is that it can occur at either the first stage or the last stage of the life cycle of a record. According to Unisa (2010:98), the appraisal and disposal strategy should be at the macro-level. That is at the series level where records are appraised based on the subject matter.

At this level, records are appraised at the time of their creation, or even prior to their creation when the format and informational content of the records is being planned. On the other hand, LeMark Training and Development (2020:35) indicates that the appraisal of records can occur at the creation of records or at the end of the life cycle when offices no longer need the records. The benefit of appraising records at their creation or even before has led records professionals to acknowledge the importance of establishing and maintaining a symbiotic relationship between the archivist, the records manager, and other related role-players, such as the systems administrators for the management of

electronic records. The interests of records managers and archivists overlap in all phases of the life cycle of records (LeMark Training and Development, 2020:35). Records with informational value are kept as evidence of the existence of an institution and to document the operation of the institution (National Archives and Records Service of South Africa, 2002). The University of Adelaide (2018) indicates that only records containing important information about the nation, such as the history of the nation, its social structures, politics, and the recreational facets of the nation may be kept indefinitely and are regarded as records with archival value

2.2 SERVICES PROVIDED BY THE ARCHIVES FOR RECORD MANAGEMENT

The first objective of the study was to identify the records management services provided by the LPARS to the provincial departments throughout the record life cycle. The purpose of this objective was to ascertain the kinds of services that are supposed to be rendered to records creating organisations by archival institutions. In the second and third stages of the life cycle, the archives continue to provide records management training, conduct records inspections to ensure that records are managed properly, and ensure compliance with policies and legislation. In the final stage of the life cycle of a record, the archives appraise the records, grant disposal authority, and facilitate the final destruction or transfer of records to archival repository. The records management services provided by archives to departments begin with the national archives providing archives and records management services to provincial archives.

In accordance with section 5(2) of the National Archives Act, the services provided by the national archives and the national archivist are archives and records management training and professional and technical support in support of records management. Moreover, the national archivist publishes the appraisal policy and the lists of records that may be destroyed. In addition to this, Archival Platform (2014) indicates that public archives approve classification systems and appraise records for disposal or transfer to archives. Yuba (2013) underscores that archives ensure the regular and operational management of records in government departments.

Archives also ensure that records are managed properly to ensure sound record management through the assessment of classification systems, granting of disposal authorities, and facilitating of training (Yuba, 2013). Ngulube, Modisane and Mnkeni-Saurombe (2011) indicate that the national archives is responsible for assisting and supporting provincial archive services as well as setting standards and providing professional guidelines. Ngoepe and Keakopa (2011:154) also state that to ensure a coherent and compatible archival system, the National Archives Act contains specific provisions that affect the archival and records management services delivered by the provincial archive services.

However, in terms of policy and direction regarding the management and preservation of records, the provincial archival services rely on the National Archives Act, as most of them do not even have the infrastructure for paper-based records. Thereafter, it is the responsibility of the provincial archives to provide archive and record management services to governmental departments in their provinces. According to the Western Cape Archives and Records Services (2017), throughout the life cycle of a record, the archives offer record management courses to records managers, record officials, and registry staff from time to time to equip them with the skills needed for proper records management. This clearly shows that human resources and their skills development is one area in which the complexity of records management lies (Kalusopa, 2011:200).

Furthermore, Gisesa (2008) indicates that archives have a duty to educate potential and actual clients, while also providing support to them by considerably answering questions about records management. The archives also conduct periodical records management inspections in governmental bodies to monitor compliance with acts and policies. For instance, section 5(2)(c) of the National Archives Act indicates that the national archivist must conduct records management inspections. The inspections must be done in support of other records management services. Although archives are mandated to care for records, inspections cannot be done without the consent of heads of departments. The inspection of the records is done throughout the life cycle of the records and consent will be requested each time an inspection of records is to be done (National Archives Act).

In the first stage of the cycle, the archive is responsible for the assessment and approval of classification systems. This helps in ensuring the proper classification of records in the creation of the record. This whole process begins with the records manager who is responsible for the overall maintenance and management of the classification system and for ensuring its approval by the archives before embarking on records management implementation processes (Western Cape Archives and Records Services, 2017). Another role of the archive with regard to classification systems is to prescribe the file plan for correspondence systems, the schedule for records other than correspondence systems, the staff file plan, and the registry procedure manual.

Furthermore, archives prescribe to records management policy and other publications required for records management (Unisa, 2007:17). Additionally, archives are responsible for the appraisal and disposal of records and designing templates for classification systems for public services. According to Unisa (2010:86), appraisal is the activity of assessing records in line with the functions and activities of an organisation to determine the life span of records. LeMark Training and development (2020:43) appraisal is performed by records clerks, the records manager, and the archive officials. These officials can conduct appraisals together or they can be conducted at different times during the life cycle of a record.

LeMark Training and Development (2020:43) is also used when appraisal is done internally in organisation; it is done with the view of determining the duration that series of records need to be retained for, for the organisation's own business purposes. This is done by the records manager, with the assistance of the records clerk. The role of the archivist here is to monitor the allocation of retention periods to ensure consistency with decisions made by the organisation. Overall, appraisals require teamwork between the records creators, records manager, and archivists to bring a range of expertise to the process of deciding which records need to be kept and which can be destroyed, and after how long.

Thus, this will enable the records manager to effectively support the ongoing evidential and informational needs of the organisation while also balancing the user's needs for records against the resources available in order to make solid judgements about record retention. On the other hand, through LeMark Training and Development (2020:53) the archivist should ensure that authentic and reliable records remain accessible over the long term. Alongside the appraisal and disposal of records, archives provide for the preservation of records through their permanent custody. Millar (2017) notes that the act of acquiring and preserving archives is a service that must be performed in an accountable and structured fashion. This should be done with respect not only for the documentary evidence itself, but also for the individuals and groups who created that evidence.

In addition, the people who may wish to access that evidence now and in the future are also considered (Millar 2017). The process of preserving records requires that records be listed and catalogued. To ensure that records are retrievable and accessible when needed, they have to be listed and catalogued. The United Kingdom National Archives (2016:08) indicates that cataloguing allows archives to have an overview of the contents of the collection. Moreover, it allows for the assessment of any major issues with the condition of the material or any special storage needed because of the format of the record. Furthermore, cataloguing enables the identification of records that might be particularly significant for research and those that need special access restrictions.

In essence, cataloguing allows archives to take control of records in their position and to safeguard records, as they know what they have and what they are making available to researchers (United Kingdom National Archives, 2016:08). Archival Platform (2014) adds that archives also develop publications that shape record management policies that guide records management. According to United Kingdom National Archives (2016:19), policies and standards are produced to support the long-term sustainability of archives. They provide the principles and practice according to which things should be done (United Kingdom National Archives 2016:19).

Section 9(3) of the Provincial Archives and Records Services of Western Cape Act (No. 3 of 2005) states that the provincial archivist may, from time to time, issue directives and instructions for the management and care of public records in the custody of governmental bodies. Luthuli and Kalusopa (2017:03) also state that archives regulate policies governing record management. For instance, in South Africa, the National Archives of South Africa provides the legislative and legal framework of how records management practices in governmental bodies are regulated through the National Archives Act. Netshakhuma (2019) reports that archives ensure the enforcement of legislation required for the standardisation of archive and record management programmes.

However, Netshakhuma (2019) further acknowledges that in Southern Africa, the development of the standardisation of archive and record management is lacking. This is because most of the National Archives in Southern Africa are neither governed by standards nor guided by a professional code of ethics. In situation where the standards do exist, there is a lack of maintaining record management standards. Likewise, Okello-Obura (2011) notes that archive legislation is an essential component of the wider legislative base of accountable and effective government. However, records management legislation is not adequately recognised in Uganda and, as such, it is outdated. The legislation is not fully implemented; thus, it is not effective in guiding records management.

The situation also exists in other developing countries, with legislation that does not fully address the issues of record management. In addition, in other countries, policy makers and legal experts are not engaged to assist with the formulation and establishment of records management legislation (Okello-Obura, 2011). In short, literature reveals that archives are required to provide services ranging from the appraisal of records, the disposal of records, inspections, and training of records officials, to mention just a few. The importance of records management services is that they lead to the effective record management systems and procedures and the effective flow of information. Moreover, it leads to fully functional archive repositories (Ngoepe & Keakopa, 2011:146).

Schwartz and Cook (2002:01) note that archivists are an integral part of record management story telling. In the assessment and approval of record-keeping systems, the appraisal and selection of records to enter the archive, as well as the description and preservation of the archive, archivists continually reshape, reinterpret, and reinvent archive and record management.

2.3 SUPPORT PROVIDED BY ARCHIVES FOR RECORD MANAGEMENT THROUGHOUT THE LIFE CYCLE

The second objective centred on determining the records management support provided by the LPARS to the provincial departments throughout the record life cycle. The purpose was to find out what necessary support is supposed to be provided by the archive institutions to the government departments. A study done by Hamooya, Mulauzi, and Njobvu (2011:119) revealed that although archival institutions tend to focus more on the preservation of records with archival value, they should also pay attention to records during all the stages of the life cycle. They should safeguard all the records, paying attention to the format of the records, how the records are maintained, and how they are used. This is because the format of records and how they are kept and used have implications for the records that would finally be preserved or transferred to archival institutions.

Hence, Wamukoya (2000:24) notes that, as time goes on, archives will no longer house records with cultural and historical value only. Their role will expand beyond that and archives will have new uses and functions, such as serving as the guardians of the rights of the people and institutions, both public and private. On that basis, the National Archives Act states that the national archivist acquires records with archival value and of national significance, which cannot be more appropriately preserved by another institution. In accordance with section 5(1) of the National Archives Act, the National Archives should also ensure the proper management and care of records acquired. This also means providing access to records as and when requested.

Furthermore, Venson, Ngoepe and Ngulube (2014) note that archives play an important role in the national development of a country. This includes the use of archives as a memory of the past, a tool to ensure accountability, and a guide to decision making. According to section 12(1) of the National Archives Act, public records must be available for public access if 20 years has passed, counting from the day in which the record was created. On the other hand, access to non-public records may be granted provided that the conditions agreed upon at receipt of the records are met. Additionally, archives also provide access to nitrate viewing prints (Unisa, 2016:23). However, the safety of records has to be ensured first before access is granted as nitrate is viable. Nonetheless, archives provide access to records because it advocates for knowledge sharing (Unisa, 2016:24).

For Venson et al. (2014), other support that archives can provide is for archivists to keep focus on the records they are preserving and the impact they have on the lives of people rather than perceiving their roles as only limited to the custodianship of archival materials. This is because if the public does not know what archives are or what purpose they serve because archives have not touched their lives. Hence, if archivists realise they are responsible for all records and not only those in their archival repositories, they would be able to offer archival support for records throughout their life cycle. Duranti (2012) also notes that records managers and archivists should act as forensic experts, ensuring the identity and integrity of records through time, attending to them, and caring for the records without altering them in the process.

Unisa (2016:22) indicates that archives should ensure that records in their care and the integrity of the records are maintained and protected. That is to say that no records should be altered, destroyed, have pages removed, or have information falsified. Unisa (2016:22) further notes that when restoring material, archives should attempt to complete only what is incomplete and to remove the accretions of time, torn covers, and fabrication. Archivists should not seek to change or distort the nature of the original material or the intentions of its creators. Additionally, Ketelaar (2012) notes that archivists should take their role as both the guardians and servants of records seriously.

Archivists should ensure that they maintain the integrity of records while also embracing their social responsibility of making society more knowledgeable, tolerant, diverse, and impartial. Moreover, Cohen (2011) indicates that archivists should be trained and equipped with the skills necessary to serve archive users. Archivists require both formal education and informal training, which can be acquired on the job to help enhance their skills (Cohen, 2011). For instance, the records division at Mogalakwena Local Municipality does not adhere to legislation (Pearson, 2019). The municipality alleges to be not receiving records management support from the provincial archives or the national archives.

The records manager at the municipality is concerned about the lack of training from the archives, as the national archives are no longer providing records training, which it used to do a few years ago. Now, organisations have to rely on expensive and low-standard training from private training institutions (Pearson, 2019). Katuu and Van der Walt (2016) also indicate that there is poor compliance with legislation due to a lack of awareness of the legislative provisions dealing with the management of records. This was apparent when health institutions received a Promotion of Access to Information Act (No. 2 of 2000) (PAIA) request and could not provide access to records due to poor record management systems. Katuu and Van der Walt (2016) further note that there is a lack of integrated approaches in the different legislation instruments.

For instance, on the issue of record retention, there is no common understanding of how long records should be kept for. Furthermore, Archival Platform (2015) underscores that the South African National Archives do not have sufficient abilities or funds to address the concerns, resulting in records being poorly managed. This implies that archives do not enforce the implementation of legislation. As a result, organisations are sometimes operating in isolation from the requirements of legislation, such as having approved file plans and record management policies.

2.4 RESOURCING OF ARCHIVAL SERVICES

The third objective of the study was to find out the extent to which the LPARS is provided with resources to render their services to support records management in the provincial departments throughout the record life cycle. The purpose of this objective was to find out whether archives have the resources to perform duties that are expected of them. Furthermore, the objective can provide insight into the kind of resources needed by archives. In addition, it may show a link or relationship between the level of services provided by archives and the resources they have at hand to provide such services. According to the National Archives and Records Service of South Africa, The Constitution of Public Intellectual Life Research Project, and the Nelson Mandela Foundation (2007), archival services are seriously under-resourced because their significance is largely unacknowledged.

A lack of recognition and under-resourcing resulted in inadequate and unintegrated planning, a low skill-base among personnel, inadequate record management in government departments, and poor service delivery. Furthermore, inadequate conditions of the preservation and archival systems means that archives are under strain and are not serving South Africa as they should (National Archives and Records Service of South Africa, Constitution of Public Intellectual Life Research Project, and Nelson Mandela Foundation, 2007). A study by Peterson (2018) also revealed that archives have financial constraints that hamper the implementation of records management programmes, such as archives being unable to provide training for those manning records, like registry clerks and records managers.

Peterson (2018) further states that in archives, there is a shortage of shelving space and stationery, which may further affect archival records intake, a lack of top management support, and a lack of records management policies, which may result in malpractice within records and archive management. Additionally, Garaba (2013) notes that archives lack resources and do not have dedicated buildings for archival materials. This is attributed to an acute shortage of resources in terms of funding, as money for accommodation and building-related needs is unavailable.

Moreover, due to a lack of resources, records are stored in a poor state due to this lack of proper infrastructure. This may further affect the continuous intake of archival records from creating institutions as well as the way in which records are managed throughout their life cycle. A study conducted by Motsi (2017:21) revealed that the archives are always very low on the priority list because they are seen as products of events that have already been accomplished. Archives are the past and it is very difficult to argue and justify prioritising them over other functions such as health, education, and other humanitarian priorities. Archival Platform (2014) also reports that the National Archives Act mandated public archives to be the custodians of government records management, but the budget for fulfilling the requirements of the Act was not calculated.

The inadequate funding of the records management activities implies that archives cannot conduct inspections to monitor records management compliance nor archives being able to provide records management services and support as required. It can also offer the support needed to ensure the proper management of records. Nengomasha (2013:03) states that sub-Saharan Africa is facing challenges of managing its records and archives, which are highly neglected. Lekoekoe (2012:1) also indicates that Lesotho has challenges and lacks a clear understanding of the importance of records. As a result, the National Archives of Lesotho is not being resourced, and as such it is neglected and the necessary structures pertaining to the safety and preservation of the archives are non-existent (Lekoekoe, 2012:1).

Ngoepe (2012) underscores that records management in South Africa is in poor condition and close to breakdown. Archives are not operating well due to inadequate skills, a shortage of staff, and a workforce with irrelevant qualifications (Ngoepe, 2012). This implies that even when archives are given resources and support, they are not sufficient and, in most cases, the support is not practical. Archives are always a low priority and as such do not always receive the necessary financial and professional support. Nsibirwa (2012) also signifies that most archival institutions are not housed in facilities that are purpose built to support the ideal environmental requirements for the storage of records.

Environmental factors, such as agents, temperature, relative humidity, air pollution, light, and direct sunlight adversely affect the lifespan of records if they are not controlled effectively. To overcome all this, Assmann and Mearns (2015:103) suggest that for archives to improve their services, they require support from the department they are attached to. Furthermore, there is a need for the establishment of long-term funding for archives to ensure stability of monetary resources. The stability of monetary resources will help to ensure the employment of qualified staff, the implementation of effective records management system, and the acquisition of resources required for records management.

In addition, this ensures that necessary measures are taken to ensure compliance with records management legislation (Khumalo & Baloyi, 2019). Osebe, Maina and Kurgat (2018:301) note that records management activities require money and equipment; hence, sufficient financial allocations can ease challenges experienced in the process of managing records. Therefore, with proper assistance, the management of records can be achieved successfully throughout their life cycle. Bantin (1998) believes that to support proper record management, archivists and record managers should remain flexible and open to new ways of doing things. Those who are willing to explore and consider new ideas, new techniques, and new methodologies will remain ahead of the pack.

2.5 THE BENEFITS OF ARCHIVAL SERVICES TO RECORD CREATING INSTITUTIONS

The fourth objective related to the benefits of the services rendered by the LPARS to the Limpopo provincial departments through ensuring proper record management throughout the life cycle of a record. The purpose of this objective was to discover what benefits clients receive from the services they receive from the archives. Archives are expected to provide records management support to governmental institutions by conducting records management inspections and advising according to the challenges they experience. Furthermore, archives provide support through training, appraisals and granting disposal authority, and the assessment of classification systems, to mention just a few.

The importance of archival services lies in ensuring effective management of records in each stage of their life cycle in the management of public records (Ndenje-Sichalwe, Ngulube & Stilwell, 2011:266). Washington State Archives (2013) states that the benefit of archival services to governmental departments is that they enable the management of records through effective records management programmes. This enables organisations to fulfil their mission because they have access to accurate information. Section 10(1) of the National Archives Act stipulates that the management and care of records ensure that records receive the appropriate physical care, are protected by appropriate security measures, and are managed in terms of the standing orders of that body and other relevant legislation.

For instance, clearly defined responsibilities for appraisal and disposal activities are essential to ensuring successful records management, no matter the form of the record. For instance, the records manager determines the periods for semi-active retention and the archivist determines the final disposal. Archive services also promote the cost-effective use of government resources through the timely destruction of non-archival records and the transfer of archival records. In this way, departments would be able to make fruitful use of space in their facilities. In essence, the appraisal and disposal help organisations to manage their storage areas well and avoid incurring high costs to keep records. Ferreira and Erasmus (2016:49) note that the physical space to store records would not always be sufficient and, as such, the regular disposal of records that have reached retention period and are no longer required can help to solve this challenge.

Additionally, it also helps with the reduction of litigation costs as records are located in time when requested; thus, minimising litigation risks and the cost associated (Washington State Archives, 2013). For example, LeMark Training and Development (2020:35) indicates that early appraisal ensures that the criteria for retention and disposal are established at the time record systems are established. Therefore, they are documented from the outset and do not have to be rediscovered later.

Furthermore, archival services have a direct benefit for governments in the efficient conduct of their day-to-day business and in underpinning planning and the development of policies (National Archives and Records Service of South Africa; Constitution of Public Intellectual Life Research Project, and Nelson Mandela Foundation, 2007). Other benefits that archive services provide through proper record management include the protection of records to ensure long-term preservation. Furthermore, proper records management ensures that the control of records is exercised and the loss of records eliminated as records are safeguarded and authorisation is limited to a few individuals (Ferreira & Erasmus, 2016:49).

As already stated in 2.2, one of the services of archives is assessing and approving classification systems; therefore, the benefit of having a file plan in an organisation is that it ensures that records created or received dealing with the same subject matter are placed together, thus enabling the timely retrieval of records as and when requested (Unisa, 2016:135). Furthermore, file plans help to implement an effective disposal programme as it can help to distinguish records with long-term value from those with temporary value (Unisa, 2016:137). Proper record management ensures that organisations are held accountable for their actions as records are kept to provide evidence of what an organisation has achieved, as well as of its dealings with its customers and other organisations, thus promoting transparency of processes in governance (Legodi, 2011:02).

Additionally, Ndenje-Sichalwe et al. (2011:265) note that without records, it is not possible to ascertain which transactions took place and the manner in which these transactions were carried out. In short, archival services help organisations to meet the expectations of a democratic society for transparency and they protect citizen's rights (Ndenje-Sichalwe et al., 2011:265). Although Thomas, Fowler and Johnson (2017) acknowledge that archives has the benefit of providing valuable information, they also acknowledge that the digital revolution may be working against it.

Thomas et al. (2017) believe that the digital revolution denies users of archives access to original and authentic records. This all comes down to archive users who take digital photographs of records in archive reading rooms and then post the images on websites and blogs where they can be mashed up, edited, or merged into other documents. Other authors also seem to share the same notation that the benefits of archival services are not being fully enjoyed. For instance, a study by Msibi (2015:04) revealed that in the government of Swaziland, the failure to implement proper records management practices resulted in compromised public accountability.

Moreover, Ngoepe and Jiyane (2015:69) reveal that the archives can service a few organisations, and as such, some of their functions are being scaled down or abolished, leading to poor service delivery. Complementary to this, a study by Motsi (2017:23) revealed that many archives are failing at implementing their mandatory obligations due to various reasons, including budget constraints, misaligned programmes, and a lack of expertise. The literature reveals that the stakeholders benefit little from the services of archives due to all the mentioned limitations. The archives are unable to fully function because of insufficient funds. Therefore, there is a crack in record management and records are poorly managed.

2.6 ARCHIVES IN ENFORCING THE IMPLEMENTATION OF RECORDS MANAGEMENT LEGISLATION

This objective aims to establish the extent to which the Limpopo Provincial Archives enforces the implementation of the record management legislation throughout the record life cycle. This objective intends to outline all measures that need to be taken by archives to ensure that records management legislation and policies are adhered to for proper record management. Literature reveals that archives are expected to enforce compliance with records management legislation through helping institutions to conform to best practices in record management. Hamooya et al. (2011:116) define legislation as lawgiving rules that provide guidelines and instruction on how to do things to ensure that the functions and activities of an organisation are properly performed.

They lay down the rules of what can be done, to what extent it may be done, and by whom. Furthermore, they also lay down the fundamentals on what cannot be done. Ngoepe and Saurombe (2016) state that in terms of records management, legislation has a huge effect on the management of records. As such, it becomes essential to have legislation in place to ensure unified records management. Legislation provides archives with authority when dealing with institutions and lays down requirements for institutions to ensure constant records management (Ngoepe & Saurombe, 2016). Additionally, the International Council on Archives (2004) states that archives legislation provides records management directives by outlining how records should be managed and detailing the kinds of records to be kept as part of the archives.

Moreover, they set out conditions under which the preserved records could be made available and to whom. The International Council on Archives (2004:05) are also of the view that archives legislation is closely associated with the management of current records and decisions about their creation, maintenance, access, and disposal. This is especially true when dealing with electronic records whose authenticity, reliability, usability, and durability depend on proper systems planning for their management throughout the life cycle. The Head of Information Governance (2017:07) states that record management policies and procedures form part of the organisation's information lifecycle management, together with other processes, such as records inventory, secure storage, record audits, and many others.

A study by Osebe et al. (2018:301) suggest that the enactment and compliance with records management policies is a key strategy to proper record management. The policies guide records management procedures and, therefore, their absence could mean the processes are compromised, resulting in poorly managed records throughout their lifecycle. Moreover, Marutha (2018) notes that legislative prescripts need to be updated and improved on a regular basis. In the same vein, Netshakhuma (2019) states that amended legislation will empower archival institutions to carry out their mandate of managing records throughout their lifecycle.

Furthermore, up to date legislation will ensure that the archives implement record management systems that ensure the physical and intellectual control of records for retrieval, transfer, and general management purposes. Although legislation relating to management has been put in place, as stated above, Hamooya et al. (2011:117) maintain that some legislation has loopholes. Most legislation is unable to ensure the management of records throughout their lifecycle or even managing records in a continuum. Yee Goh (2002:01) notes that archival legislation in several commonwealth countries, such as the United Kingdom, Canada, and Singapore lacks consistency and, as such, it is unable to assist the archives to ensure management and preservation of records throughout their entire lifecycle.

Furthermore, the archives are unable to impose restrictions and punishments on organisations disregarding the requirements of the archives, such as the unauthorised destruction of public records. In the United States of America, former president, Barack Obama, highlighted a lack of compliance with legislation. According to Bae and Pastuch (2013), on 28 November 2011, former president of the United States, Barack Obama, issued a memorandum on managing government records. In it, the former president expressed a lack of compliance with legislation and pointed to technology as a complicating factor for record management. Decades of technological advances have transformed agency operations, creating challenges and opportunities for agency records management.

Greater reliance on electronic communication and systems has radically led to non-compliance to legislation (Bae & Pastuch, 2013). Within the African continent, most countries in the ESARBICA region do have any form of archival legislation statutes to regulate archival activities. However, many pieces of legislation have been in place for many years without revision and where this legislation has been updated, service rendering takes less time (Wamukoya, 2000:30). Hamooya et al. (2011:117) note that legislation on archives in Zambia is outdated and therefore inhibits the National Archives of Zambia from playing a vital role in the management of public records.

A study by Van der Walt and Schellnack-Kelly (2015) revealed that in South Africa, organisations seem to lack attentiveness in following guidelines and processes. This happens regardless of fines and/or imprisonment being imposed on those who disregard legislation. In accordance with section 16(1) of the National Archives Act, any person who wilfully damages any public or non-public record in the control of a governmental body, or otherwise than in accordance with this Act or any other law, removes, destroys or erases such record, is guilty of an offence and upon conviction is liable to a fine or imprisonment for a period not exceeding two years, or both such fine and imprisonment.

Moreover, section 16(2) of the Act further states that any person who fails to comply with a request is guilty of an offence and liable to conviction with a fine not exceeding R5 000 in the case where such a person damages a record. In other cases, a fine may not exceed R10 000. Furthermore, any person convicted of an offence may be denied access to an archive repository for such a period as that the national archivist may deem fit, or subject to an appeal to the Minister (National Archives Act, 1996). Besides having the National Archives Act as a guide regarding issues of record management, there are other acts and legislation that play an important role. Those pieces of legislation guide record management in South Africa and are supposed to be enforced by archival institutions for compliance.

These include the Constitution of the Republic of South Africa (No. 108 of 1996) (Constitution), the Limpopo Provincial Archives Act (No. 5 of 2001), the PAIA, and the Promotion of Administrative Justice Act (No. 3 of 2000) (PAJA), to list only a few. Section 195 of the Constitution provides for the effective, economical, and efficient use of resources; the provision of timely, accessible, and accurate information; and requires that the public administration must be accountable. According to Marutha (2018), the Limpopo Provincial Archives Act was introduced with the same purpose of governing the management of records and archives in Limpopo. The Limpopo provincial archivist is mandated by this act to take full responsibility for ensuring that public records are properly managed in the custody of government bodies.

Furthermore, their role is to enforce the implementation of legislation and ensure proper record management. Forde and Rhys-Lewis (2013) believe that all that is needed is responsible creators who think about the long-term implications for records created throughout their lifecycle. This goes hand in hand with the retention and review management practices to ensure that records retained are in the correct place and are reviewed at the correct time (Khumalo & Baloyi, 2019). A study by Motsi (2017) revealed that strategies for archival support for appropriate records include ensuring that national and provincial archival policies and laws are adopted and enforced, and the management of archives is valued and carried out competently by all bodies that create and use records in the course of conducting their business. Moreover, there is a need to highlight the need for uniform record management policies, procedures, and systems in all organisations (Khumalo & Baloyi, 2019).

2.7 SUMMARY

This chapter provided a review of the literature based on the themes formulated from the objectives of the study, including the resourcing of archival services, the benefits of archival services, and archives' role in enforcing the implementation of the records management legislation. The literature reveals that archives are required to provide support ranging from the appraisal of records, disposal of records, inspections, and training of records officials, to mention just a few of the responsibilities. Also, records and archives have acquired new uses and functions, increasingly serving as the guardians of the rights of the people and of institutions, public as well as private. In terms of the resourcing of archival services, archives lack resources; as such, they are unable to function fully. Consequently, their clients may not derive full benefit from their services. The next chapter discusses the methodology for the study as well as the research approach and method, population, sampling, data collection, data analysis, and ethical considerations.

CHAPTER THREE

RESEARCH METHODOLOGY

3.1 INTRODUCTION

The previous chapter provided a review of the literature based on the themes formulated from objectives of the study, including the resourcing of archival services, the benefits of archival services, and archives' role in enforcing the implementation of the records management legislation. This chapter presents the research methodology. The research methodology highlights reasons for the choice of research paradigm, approaches and design, the sampling procedure, data collection, data analysis, and ethical considerations for the study. Ngulube (2015:127) states that a methodology is fundamental to the research process as it is the microscope that helps the researcher to choose procedures to be followed in the study. In this study, the research methodology also served the aforementioned purposes. Figure 3.1 presents the map of the research methodology for this study.

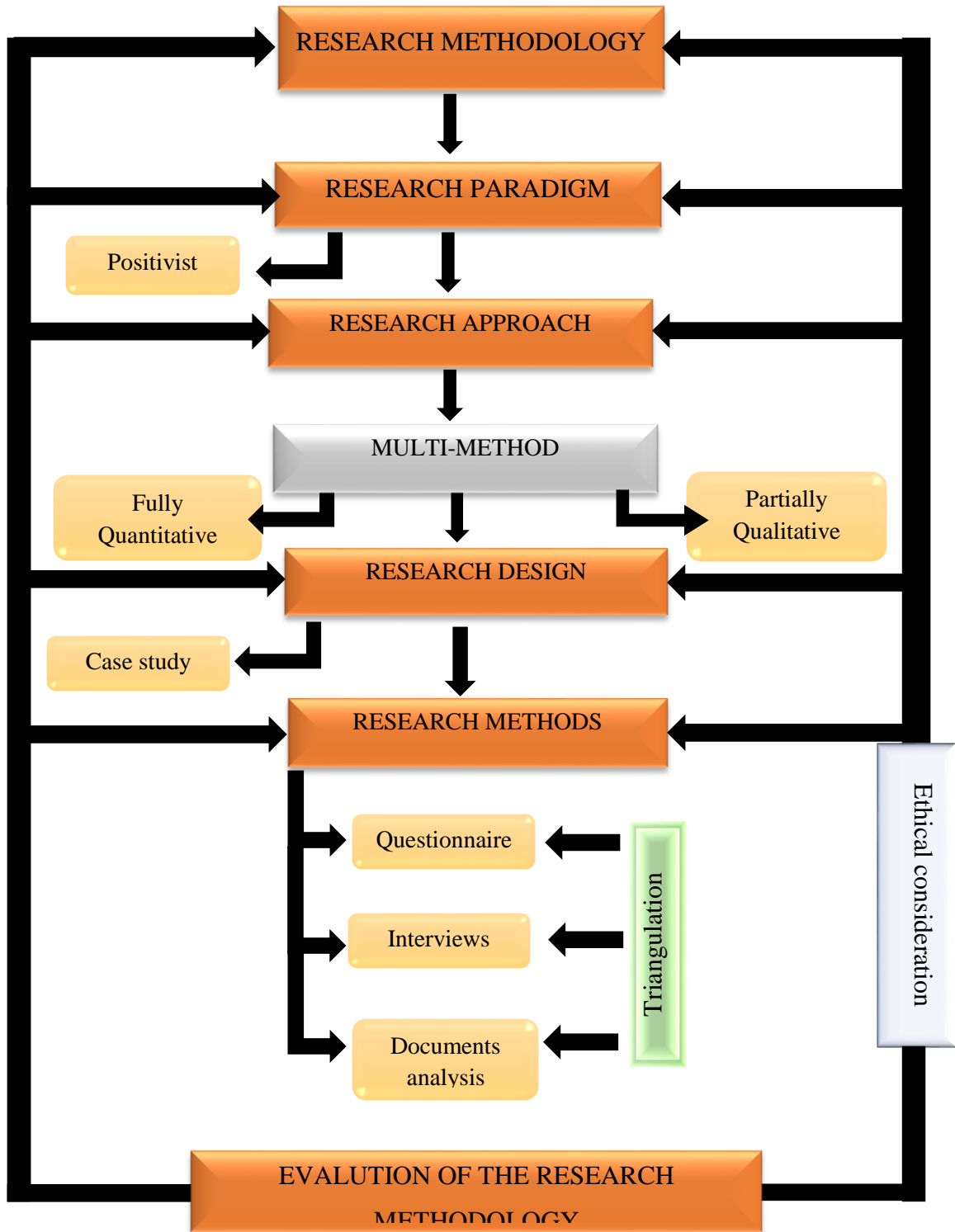


Figure 3.1: The map of the research methodology

3.2 RESEARCH PARADIGM

According to Kivunja and Kuyini (2017:26), a paradigm is used to describe a researcher's worldview and it inherently reflects the researcher's beliefs about the world. A paradigm constitutes the abstract beliefs and principles that shape how a researcher sees the world, and how they interpret information and act within that world. Research paradigm highlights the ontology, epistemology, and methodology that a researcher might prescribe to. It gives clues as to where, philosophically, the researcher is coming from (Kivunja & Kuyini, 2017:26). Babbie (2016:34) defines a research paradigm as the fundamental models or frames of reference used to organise observations and reasoning. In short, a paradigm is the modelling of individuals' views and opinions. The positivist paradigm was used in the study.

Positivism believes in social reality as positivists believe in the application of theory and that what is true can be separated from what it is not true (Gray, 2009:579). Aliyu, Bello, Kasim, and Martin (2014:83) indicate that positivism emphasises that genuine, real, and factual happenings can be studied and observed scientifically and empirically. Additionally, events can be elucidated by way of lucid and rational investigation and analysis. For Punch (2016:63), positivism holds the view that objective accounts of the world can be given and that the function of science is to develop descriptions and explanations in the form of universal laws to develop nomothetic knowledge. Moreover, Gary (2017:108-109) notes that positivism as a paradigm denotes that the social world can be studied objectively through what is seen and heard, being perceived, and recorded with problems.

Also, the research has to be conducted using a technique that removes the investigator's value position from the process. This can be achieved by expressing the variables in terms of numbers and frequencies (Kura, 2012:5). However, there are other worldviews, such as interpretivism and pragmatism. Kivunja and Kuyini (2017:33) state that interpretivism aims to understand the subjective world of human experience. This approach makes an effort to get into the head of the subjects being studied to understand and interpret what they are thinking or the meaning they are making of a context.

With this paradigm, the emphasis is placed on the viewpoint of the subject being observed rather than the viewpoint of the observer. With pragmatism, the focus is put on the research problem and understanding the problem. Pragmatism arises out of action, situations, and consequences rather than antecedent conditions (Creswell, 2014:245). Sekaran and Bougie (2016:29) indicate that pragmatists do not take on a particular position as to what constitutes good research. Research of the objective, observable phenomena, and the subjective meaning can produce useful knowledge, depending on the research questions of the study.

Based on this discussion, a positivist research paradigm was deemed appropriate for the study as it helped with the quantification of results. This is because the knowledge that develops through a positivist lens is based on careful observation and the measurement of the objective reality that exists in the world (Creswell & Creswell, 2018:7). Another reason that made this paradigm suitable for the study is that positivism is appropriate for studies that are more quantitative in nature. Creswell and Creswell (2018:7) also note that positivist assumptions represent the traditional form of research, and these assumptions are more true for quantitative research than qualitative research. Furthermore, Punch (2014:351) believes that positivism is an approach to social research that emphasises the discovery of general laws and that separates facts from values through quantitative methods.

3.3 RESEARCH APPROACH

Research approaches are ways of designing and conducting research (Ngulube, 2015: 1). Therefore, it can be said that research approaches provide a guide to the type of data that will be collected and how it will be analysed. The following research approaches are usually used to class research as being quantitative, qualitative, mixed methods research, or multi-methods.

3.3.1 Quantitative research approach

Bless et al. (2013) describe the quantitative research approach as the approach utilising methods of measurement to investigate a phenomenon. Almalki (2016:290) regards quantitative research as a deductive approach towards research. Quantitative researchers regard the world as being outside of themselves and that there is an objective reality independent of any observations. Almalki (2016:290) further states that quantitative research is typified by the researcher putting forward a theory that is exemplified in a specific hypothesis, which is then put to the test. Conclusions can be drawn with regard to this hypothesis, following a series of observations and an analysis of data.

Amaratunga, Baldry, Sarshar, and Newton (2002:22) state that the strengths of quantitative research are that comparison and replication are allowable and the researcher is independent from the subject being observed. Moreover, the subject under analysis is measured through objective methods rather than being inferred subjectively through sensation, reflection, or intuition. The weaknesses of quantitative research lie mainly in their failure to ascertain the deeper underlying meanings and explanations of the research topic, even when significant, reliable, and valid (Amaratunga et al., 2002:23). Hence, there is an infusion of a limited qualitative data collection.

3.3.2 Qualitative research approach

The qualitative research approach focuses on gaining understanding of the manner in which things happen and the reasons behind their occurrence (Leedy & Ormrod, 2013:95). The qualitative approach can further help to attach meaning to things and events as they occur. Silverman (2017:7) notes that qualitative research consists of many different endeavours, many of which are concerned with the objective study of realities, which, in some sense, are objective. Leedy and Ormrod (2013) further state that the qualitative research approach has the benefit of being inexpensive as it allows the research to focus on a small population.

Additionally, the researcher is not bound to any theory. However, this has the weakness of leading to biased and unreliable results as conclusions are based on the interpretations of the researcher. The mixed methods research approach is a combination of quantitative and qualitative research approaches (Leedy & Ormrod, 2013).

3.3.3 Mixed methods research approach

With mixed methods, the researcher investigates the phenomenon from the perspective of both the qualitative and quantitative research approaches. Mafumane (2011:69) notes that the mixed methods approach is a method that includes both qualitative and quantitative data collection and analysis in similar forms with either one approach used for one phase and the other for another phase. Venkatesh, Brown and Bala (2013: 21-23) indicate that the mixed methods approach combines quantitative and qualitative research methods in the same research inquiry, either concurrently by being independent of each other or sequentially when findings from one approach informs the other to understand a phenomenon of interest. Wium and Louw (2018:13) also note that the mixed methods approach is where the mixing occurs in the methods stage of the study, and it can be on a spectrum from simple to complex.

3.3.4 Multi-method approach

The multi-method approach is used to enhance validity in research. In multi-method research, qualitative and quantitative data can cross-validate each other around a common reference point (Meetoo & Temple, 2003:03). Meetoo and Temple (2003:03) further note that the multi-method approach is all about looking for patterns of convergence that corroborate an overall interpretation of data. For the sake of this study, the multi-method approach was used, although the quantitative approach was dominant. In essence, the study used a quantitative research approach but was supported with a limited scope of qualitative data. This implies that the quantitative research method had more power in this study than the qualitative research approach. The study began with a quantitative method and used qualitative data to interpret quantitative findings and/or to contextualise the behaviour under study (Silverman 2017:206).

The quantitative research approach was used to collect data from government departments. The quantitative research approach also allowed the researcher to generalise the findings and to reduce bias that can result from the interpretation of qualitative data. However, qualitative research was used in data analysis to interpret quantitative findings, contextualise the behaviour under study, and support and/or argue quantitative data. Using the quantitative approach and qualitative approach thus helped to validate the results of the study. Furthermore, using both approaches helped in generating comprehensive data that were used to fill the loopholes that may be left by one method. Gary (2017:119) indicates that the quantitative and qualitative research approaches are not in opposition to one another as they can be used to complement each other.

In arguing for the multi-method approach, Marutha (2020:404) states that multi-method research plays an important role in a study to ensure that everything is clear, understandable, makes sense, and is seen as valid and empirical. Almalki (2016:293) indicates that multi-method research provides positive benefits to research inquiries as well as opportunities for researchers to forge an overall or negotiated account of the findings that brings together both components of a debate. The qualitative and quantitative data collection and analysis are performed in either parallel or sequential phases. One method may pave the way for the other or follow the first method in an effort to help or assist towards the planned outcomes or intention of the research.

Roosli and O'Keefe (2016:1) indicate that the mixed methods approach is very useful in capturing more detail, minimising the effects of bias and ensuring a balanced research study, no matter how big or small that study may be. It gives a more detailed and balanced picture of the situation, with overlaps that are sometimes complementary and contrary at other times (Roosli & O'Keefe 2016:2).

3.4 RESEARCH DESIGN

Kuada (2012:57) defines research design as an action plan or blueprint of a research that provides a logical sequence of activities to show the connections between research questions, approach, data collection, and analysis. Sarantakos (2013:120-121) states that research design explains in detail how the researcher intends to conduct the study and offers a guide that directs the research action and helps to rationalise the use of time and resources and to reduce cost. Sarantakos (2013:121) further notes that research design helps to introduce a systematic approach to the research operation; thereby guaranteeing that all aspects of the study are addressed and executed in the right sequence. A case study was used in this study. Zainal (2007:1) defined a case study as an empirical inquiry that investigates a contemporary phenomenon within its real-life context, when the boundaries between phenomenon and context are not evident, and in which multiple sources of evidence are used.

Thomas (2017:314) indicates that a case study is an analysis of persons, events, decisions, periods, projects, policies, institutions, countries, or other systems that are studied historically by one or more methods. A case study was appropriate for this study, as it helped the researcher to have a broader understanding of how archives work with its stakeholders to ensure proper records management. Kumar (2008) states that a case study allows for a single phenomenon to be studied, putting the researcher in a better position to grasp the total complex world of organisational actions as they occur. Therefore, the researcher is able to understand how people work together in an organisation and how their relationships influence their work. Furthermore, a case study allows the use of both quantitative and qualitative data as outlined by Bertram and Christiansen (2014).

Punch (2014:122) also notes that multiple sources of data and data collection methods can be used in case studies such as questionnaires and numerical data, interviews, and narrative reports, as it is not necessarily a completely qualitative technique. In addition, a case study allows the researcher to select a small geographical area or a very limited number of individuals as per the subjects of the study (Zainal, 2007:1).

3.5 POPULATION

Sekaran and Bougie (2016:236) describe a population as people, events, or things of interests for which the investigator wishes to make interpretations. Punch (2014:351) defines population as a target group whose knowledge will be developed. A population is the entire set of a clearly defined group of people or objects likely to hold the information to answer the research questions (Thomas, 2017:322). In this study, the population consisted officials in the Limpopo provincial government departments and archives. The study specifically targeted record management sections within the organisations. The reason why government departments were chosen as the population of the study is because government departments work together with the archives and use its services to ensure proper records management practices. Additionally, the archive also depends on these departments for them to have archival records and documents in their custody.

There is a need for archives to provide support for the management of such records to ensure they are secured and well maintained until they are handed over to archives in a good condition. As such, their views and perceptions will add great insight into the support that archives provide and how the archives can go about assisting and enforcing the implementation of the records management legislation. On the other hand, archives officials were chosen because they can also provide insight into the support provided to provincial departments as their stakeholders, archives services resourcing, and the extent to which it upholds and enforces the implementation of the records management legislation.

The records management officials to be covered are attached to government departments as listed in the scope and delimitations of the study. The total population of the study was 135 employees, comprising 126 records management officials from all 11 provincial departments and 9 archivists from provincial archives and records services in Limpopo. Table 3.1 presents statistical information on the study population per department.

Table 3.1: Total population of the study per governmental body

Governmental Departments	Total population
1) Office of the Premier	11
2) Department of Agriculture and Rural Development	15
3) Department of Education	22
4) Department of Social Development	03
5) Department of Health	13
6) Limpopo Provincial Treasury	07
7) Co-operative Governance, Human Settlement and Traditional Affairs	23
8) Department of Public Works, Roads, and Infrastructure	11
9) Department of Transport and Community Safety	10
10) Limpopo Department of Economic Development, Environment, and Tourism	08
11) Department of Sport, Arts, and Culture	03
12) Limpopo Provincial Archives and Records Services	09
Total population	135

3.6 SAMPLING PROCEDURES AND DATA COLLECTION METHODS

Sampling is an important technique in statistical analysis, which consists of selecting a small part of a population in order to estimate or learn something from the population at a lower cost (Meng, 2013). For Silverman (2017:546), sampling is a statistical procedure for finding cases for the study and serves the purpose of helping the researcher to feel confident about the representativeness of the sample and for the representativeness of the sample to allow the researcher to make broader inferences (Silverman, 2017:546). Sampling helps the researcher to choose a smaller group to be studied from a larger population and make inferences about the entire population (Punch, 2016:176).

Based on the small total size of the population in this study, no sampling method was applied, as the study intended to cover the entire population of 135 people which consisted of 126 participants from the provincial department for the questionnaire and 9 participants from provincial archives for interviews.

3.6.1 Sample size

According to Gogtay (2010:517) having a good sample size helps the researcher to draw strong conclusions from a limited amount of information and to allow the generalisation of results. In calculating the sample size, the researcher has to take into consideration all the available data as well as the funding (Gogtay, 2010:517). This study used two categories of sample sizes in accordance with the data collection tools, namely the questionnaire and the interview. The sample size for the questionnaire was 135 participants, which was the total population from 11 departments. The sample size for interviews was 9 participants from the LPARS, which was also all archival employees. Based on this sample size, should the response rate be below 100%, which was expected by the researcher, the acceptable response rate was expected to be at least 60% (81 participants). A sixty per cent response rate is the acceptable percentage that researchers should aim for (Fincham, 2008) A response rate that is lower than 60% can raise questions around the eminence and legitimacy of the research results (Mellahi & Harris, 2016:426).

3.7 DATA COLLECTION TOOLS

Data collection tools refer to the instruments that are used to collect data. The data collection tool used in any research study must align with the objective and methodology used in the study. Questionnaires, interviews, and document analysis were used for data collection in this study. Triangulation of data collection methods helped in validating the findings of the study (Creswell & Creswell, 2018:2000).

3.7.1 Questionnaires

A questionnaire is an instrument of data collection that consists of a set of consecutive questions to be responded to in writing (Bless et al., 2013:394). Matthews and Ross (2010:203) also note that a questionnaire consists of questions that are to be answered by the research participants. In this study, a semi-structured questionnaire was used to collect quantitative data. A questionnaire is inexpensive and it saves time for the researcher and research participants (Matthews & Ross, 2010:203). The questionnaire was used to collect quantitative data from records management officials in the Limpopo provincial government departments. A total of 61 questionnaires were distributed to participants in the respective departments.

3.7.2 Interviews

Interviews were used to collect qualitative data from participants in the provincial archives. Silverman (2016:68) explains that interviews as a data collection tool provide either guided or free-flowing informational exchange which provides a narrative of people's lives and circumstances. Kuada (2012:98) states that interviews allow the interviewer to indulge in the emotions of the interviewee. The interview was appropriate for this study, as it assisted the researcher to comprehend the participants' views regarding archives' role in the support of records management. Structured face-to-face interviews were used. Gary (2017:204) states that structured interviews can be administered relatively easily and quickly as they involve a predetermined set of questions. The interview was used to collect data from officials at the LPARS. A total of eight interviews were conducted.

3.7.3 Documents analysis

Bernard (2013:385) refers to document analysis as archival research in which archived records are studied. Creswell and Clark (2011:181) state that this method of data collection is used to analyse information in written documents. In this study, document analysis was used to collect data from records management acts, policies, procedures, registers, and other documents that are used for the purpose of records management.

Document analysis helps to provide thoughtful data and written evidence. In this regard, the researcher can analyse the data at a convenient time (Creswell, 2009). Marutha (2016:136) states that the disadvantage of document analysis is that documents may be protected or access denied, and documents may not be complete or accurate. Documents analysed are the Limpopo Provincial Archives Act as well as file plans, registry procedure manuals, and records management policies used in the government bodies that participated in the study.

3.8 VALIDITY AND RELIABILITY

According to Sarantakos (2013:99), validity is the property of a research instrument that measures its relevance, precision, and accuracy. Validity refers to the ability to produce findings that are in agreement with theoretical or conceptual values. Leedy and Ormrod (2013) state that validity has to do with how accurate, meaningful, and creditable a research project is. On the other hand, reliability is a measure of research quality, in which another researcher would expect to obtain the same findings if they carried out the research in the same way (Matthews & Ross, 2010:479). Validity of the research instrument is ensured through pre-testing of the questionnaire and interview schedules. Pre-testing involves testing the data collection instrument on a group of people who exhibit the same traits as the intended participants of the study (Ngoepe, 2012:113).

Pre-testing of the data collection instrument helps to determine the errors in the instruments and whether respondents will understand the questions and answer them. As such, pre-testing will help the researcher to make amendments to the instruments as needed. Regarding the validity of the data, the researcher will ensure validity through consistency by ensuring that the questions asked are derived from the objectives of the study. Reliability was ensured by using clear and consistent instructions in data collection tools. In addition, the researcher ensured that the language used in the data collection tools was easily understandable.

3.9 DATA ANALYSIS AND PRESENTATION

Since a multi-method approach was used to collect both qualitative and quantitative data using three instruments, two methods of data analysis were used – one for the quantitative data and another for the qualitative data. For the quantitative data, univariate analysis was used. Univariate analysis involves describing a case in terms of a single variable, specifically the distribution of attributes it comprises (Babbie, 2016:416). Punch (2014:274) also notes that univariate analysis involves one dependent variable. The purpose of this type of analysis is to give a descriptive analysis of events, and allows the researcher to summarise the data while keeping it as original as possible (Babbie, 2016:430). Frequency distributions, averages, grouped data, and measures of dispersion were used for this type of analysis (Babbie, 2016:430).

Univariate analysis is all about descriptive statistics, involving simplification, organisation, summary, and graphical presentation of data in figures (Thomas, 2017:260). Additionally, the Statistical Package for the Social Sciences (SPSS) was used. One of the advantages of SPSS is that it can take any data and manipulate it into statistics (Thomas, 2017:245). Arkkelin (2014:10) further notes that SPSS can do amazing things, as it enables researchers to obtain statistics ranging from simple descriptive numbers to complex analyses of multivariate matrices. Also, it enables a combination of files, splitting of files, and sorting of files. In short, SPSS allows researchers to do just about anything with the data (Arkkelin, 2014:10). For this reason, SPSS was suitable for the study.

The qualitative data, on the other hand, was analysed through a constant comparative method. This method was appropriate for the study as it allowed the researcher to use raw data to make substantive conclusions through constant comparisons of the data. A constant comparative method involves repeatedly going through the data, comparing each phrase, sentence, or paragraph with others (Thomas, 2017:245). Additionally, Punch (2014:179) notes that systematic and constant comparisons are essential to conceptual development in the analysis of qualitative data.

Moreover, the constant comparative method combines systematic data collection, coding, and analysis in order to draw conclusions that are integrated and close to the data, and can be expressed in a form that is clear (Kolb, 2012:83). Hence, this makes the constant comparative method suitable for qualitative data analysis.

3.10 ETHICAL CONSIDERATION

According to Fouka and Mantzourou (2011:4), research ethics involve the requirements on daily work, the protection of the dignity of subjects, and the publication of the information in the research. Research ethics is important in our daily lives and research endeavours and requires that researchers should protect the dignity of their subjects and correctly publish the information researched (Akaranga & Makau, 2016:02). Punch (2016:23) indicates that ethical issues in planning and executing a research project centres on access, consent, and participants' protection. Ethics to be considered for this study are in line with the research ethics of the University of South Africa (Unisa). Informed consent and confidentiality took centre stage in this study. According to Unisa (2013:10), the confidentiality and privacy of participants should be appreciated. Participants should never be exposed to procedures or risks not directly attached to the research project or its methodology.

According to Somekh and Lewin (2011:26), confidentiality is a principle that allows people to not only speak in confidence, but also refuses to allow publication of materials they think might harm them. Privacy and confidentiality were ensured in the process of collecting data, as the collection tools did not contain the names of participants and were kept as such to avoid the research participants being identified. Reassurance is given that research participants were protected and respected. Moreover, authenticity and credibility were maintained for the reporting of the findings of the study (Marutha, 2016:141). Additionally, the data collection tools are to be kept safe and confidential until disposal after five years, as stipulated in the Unisa research ethics. According to Unisa (2016:17), researchers should preserve research records for a minimum of five years after the submission of the report or the results.

In terms of informed consent, the participants of the study were invited to take part in the study and their participation was voluntary. The participants were not pressurised to participate in the study; they took part willingly (Leedy & Ormrod, 2013:105). Unisa requires that the participants should give permission to be involved in the research. Pressure and unwarranted encouragement of people must be avoided (Unisa, 2013:10). Fouka and Mantzorou (2011:04-05) note that informed consent seeks to incorporate the rights of autonomous individuals through self-determination. It also seeks to prevent assault on the integrity of the patient and protect personal liberty and veracity. In requesting respondents to participate in the study, letters were written to government departments requesting permission for records officials to participate in the study.

In addition, a consent form was completed by research participants before participating in the study. The letter directed to research participants was read to participants before they were handed the questionnaires and before interviews were conducted. The letters were written in clear and understandable terms so that the participants could all understand, reducing the chance of compulsion and excessive inspiration (Manti & Licari, 2018:145). Furthermore, through the letter, the participants were informed of the intent of the research and provided with an explanation as to why they were selected as the population of the study. Informing the participants about the features of the study, such as the purpose of the study, plays an important role in helping them to voluntarily confirm their willingness to participate in the study (Nijhawan, Janodia, Muddukrishna, Bhat, Bairy, Udupa & Musmade 2013:134).

The researcher did not offer any rewards, payments, favours, or anything in return for those who took part in the study. They participated willingly and were fully aware that they would not receive anything in exchange for participating in the study. The researcher also guaranteed that no participants would be harmed in the process of conducting the study. Participation in the study does not involve strenuous physical activities or experiments with participants; participants would rather be sharing their views anonymously.

Another ethical concern that the researcher paid attention to is plagiarism. The researcher ensured that all sources consulted have been cited and acknowledged. Authors whose words and ideas were used in the study, have been acknowledged through in-text citations and a full bibliography given on the reference list. Louw (2017:117) notes that researchers should move away from claiming the work of others as their own and benefitting from it. Credit has to be given to the authors through citing and referencing. This should also be done even when a person summarises others' ideas (Louw 2017:117).

3.11 SUMMARY

This chapter presented the research methodology and highlighted the reasons for the choice of research paradigm, approaches and design, the sampling procedure, data collection, data analysis, and ethical consideration for the study. Chapter 3 provided a discussion of the research paradigm and highlighted the positivist research paradigm as the paradigm chosen for the study. Similarly, a discussion of research approaches was given, and the multi-method approach was chosen as the research approach for this study. Moreover, a case study was used as the research design of the study. Furthermore, this chapter highlighted the population of the study and discussed questionnaires, interviews, and document analysis as the data collection tools to be used. Furthermore, the study provided for data analysis as well as the ethical considerations deemed essential for the study. The next chapter focuses on the presentation of the data through the use of figures and graphs. Data are presented in themes formulated in line with the objectives of the study.

CHAPTER FOUR

DATA PRESENTATION AND ANALYSIS

4.1 INTRODUCTION

The previous chapter presented the research methodology and highlighted reasons for the choice of research paradigm, approaches and design, sampling procedure, data collection, data analysis, and ethical considerations for the study. This chapter provides the presentation and analysis of data in accordance with the research objectives of the study.

4.2 RESPONSE RATE

The study targeted records officials from 11 provincial departments in the Limpopo province and the officials at the LPARS. However, three departments ended up being excluded from the study, namely the Department of Education; Department of Health; and Department of Co-operative Governance, Human Settlement and Traditional Affairs. The Department of Education was excluded from the study, as the manager of the records management section did not grant permission for the members to participate. Although the research policy and integration office at the Department of Education granted permission, the person responsible for records was not cooperative and the study could not continue without their permission. The Department of Health did not grant permission to conduct the study, as they felt that it did not fall within their research categories. Lastly, the Department of Co-operative Governance, Human Settlement and Traditional Affairs was excluded from the study as the research committee at this particular department required that changes be made to the study, including changing the topic of the study. Such an act would have compromised the whole study and changed its direction; hence, they were excluded from the study. As a result, eight departments were used.

The study covered the entire population due to its small size. The total population of the study was 86 and the study achieved a 71% response rate for both questionnaires and interviews.

Fincham (2008:2), who requires the division of the number of returned and completed questionnaires and interviews conducted by the total number of the population, guided the calculation of the response rate for the study. The response rate achieved was adequate to allow the researcher to draw conclusions from the limited amount of data and to allow generalisation of the results (Gogtay, 2010:517) because the study's acceptable response rate was expected to be at least 60% should the response rate be below 100%. A response rate that is lower than 60% can raise questions around the eminence and legitimacy of the research results (Mellahi & Harris, 2016:426).

The standard response rate for the questionnaires was 68%. A total of 77 questionnaires were distributed but only 53 questionnaires were returned. The questionnaire was semi-structured, including both closed- and open-ended questions. The questionnaire had five sections, section A to section E. The sections covered general questions, archival services, archival support, benefits of archival services, and records management legislation, respectively, as set out in appendix A. On the other hand, the response rate for the interviews was 89%. Nine interviews were arranged but only eight interviews were conducted. The interviews included open-ended questions and had six questions in total. The questions covered records management services, records management support, and resourcing of provincial archives. The interview questions further covered the implementation of records management legislation, strategies to ensure support to archives, and strategies to ensure support from archives to departments as in appendix B.

4.3 DEMOGRAPHIC DATA

The questionnaire included general questions with the purpose of soliciting bibliographic data. The questions focused on the demographic information of respondents such as gender, age, department, records management section, job title, work experience, and educational level. It was important to get this information in order to gain an understanding of the background of the respondents as well as ensuring that the target population is representative.

4.3.1 Respondents per gender

Gender inequality is a social issue that resulted in the oppression of females and more opportunities being given to males than females in areas such as in education, health, and personal autonomy. As such, in this study, the researcher aimed to ensure that both males and females were represented. Hence, the respondents were requested to indicate their gender. The findings are presented in Figure 4.1.

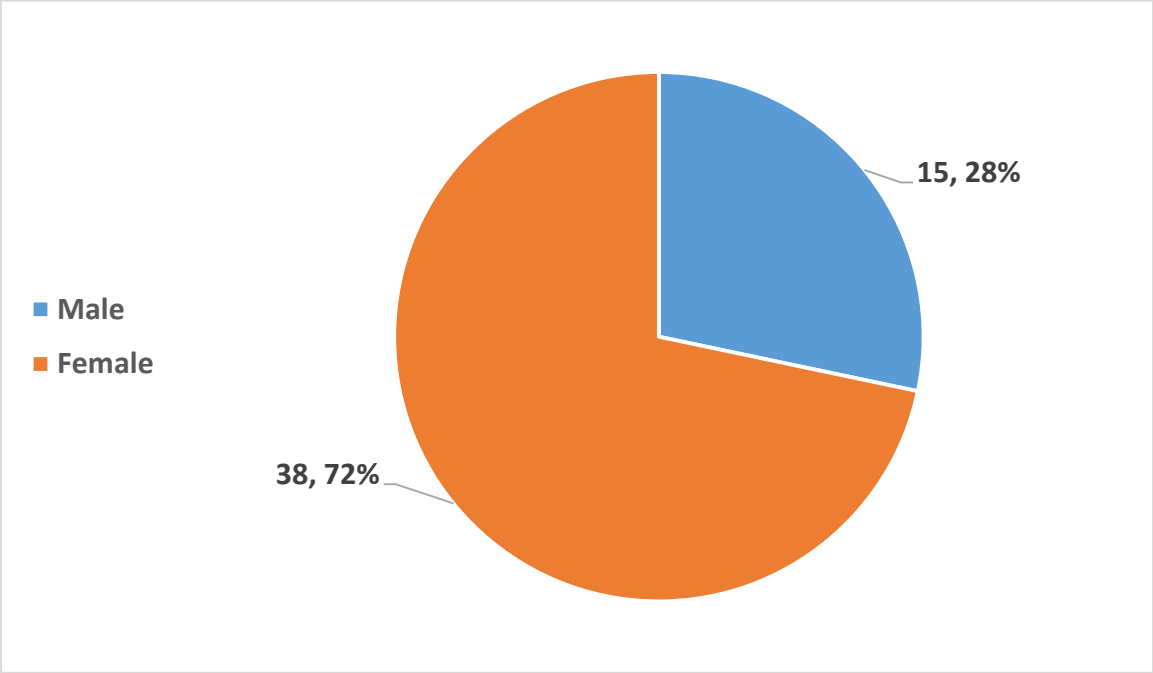


Figure 4.1 Respondents per gender

The findings in Figure 4.1 revealed that 72% (38) of the respondents were female while 28% (15) were male.

4.3.2 Respondents per age group

The respondents were asked to indicate their age. This question did not have any particular intent. However, it did provide insight into the generations employed in the records management field. The findings are presented in Figure 4.2.

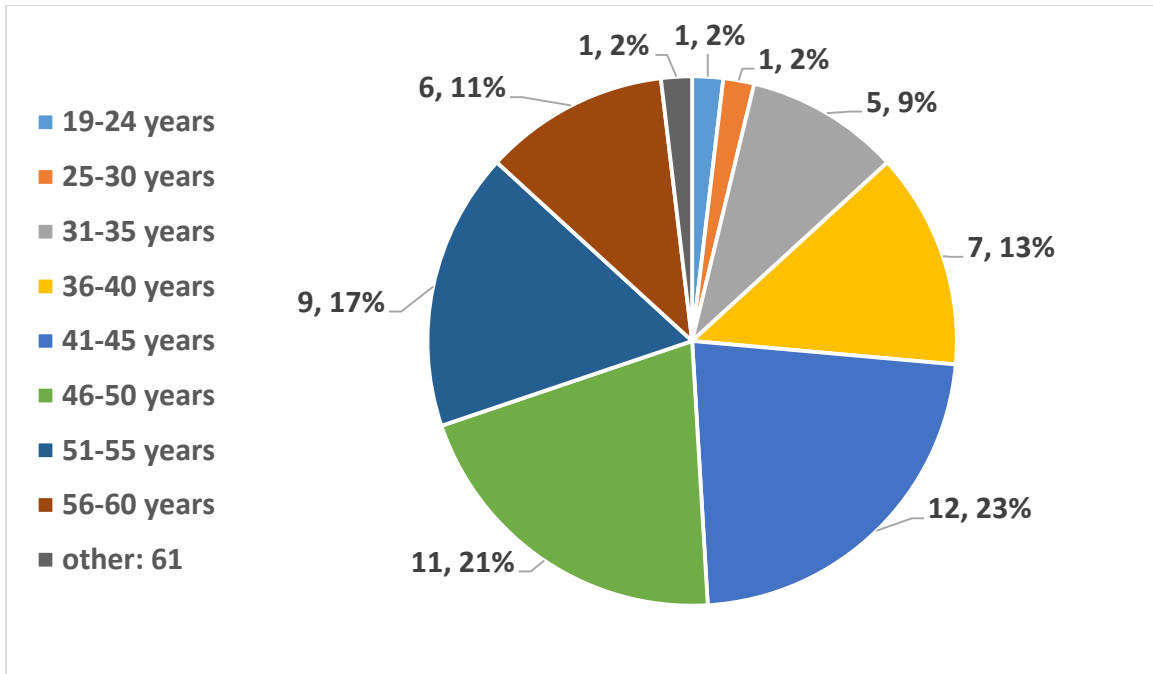


Figure 4.2. Respondents per age group

The findings revealed that 23% (12) of the respondents were between the ages of 41 and 45 years old, 21% (11) were between the ages of 46 and 50 years, and 17% (9) of the respondents were between the ages of 51 and 55 years. The findings further revealed that 13% (7) of the respondents were in the age category 36-40 years, 11% (6) were in the category 31-35, 9% (5) were in the category 31-35 years, 2% (1) were in the category 19-24 years, 2% (1) were in the category 25-30 years, and 2% (1) were in the category 61 years and above.

4.3.3 Respondents per employer/institution

The respondents were asked to indicate the department in which they were employed. The question was asked to help the researcher ensure that all the departments that were selected to be part of the study were represented. The findings are presented in Table 4.1.

Table 4.1 Respondents per employer/institution

INSTITUTIONS	RESPONDENTS	
	Number	Percentages
Office of the Premier	7	13%
Department of Agriculture and Rural Development	13	24%
Department of Social Development	2	4%
Limpopo Provincial Treasury	4	8%
Department of Public Works, Roads and Infrastructure	6	11%
Department of Transport and Community Safety	10	19%
Limpopo Department of Economic Development, Environment and Tourism	8	15%
Department of Sport, Arts and Culture	3	6%

The findings of the study in Table 4.1 revealed that 24% (13) of the respondents were employed at the Department of Agriculture and Rural Development, 19% (10) were employed at the Department of Transport and Community Safety, 15% (8) were employed at the Limpopo Department of Economic Development, Environment and Tourism, and 13% (7) were employed at the Office of the Premier. The findings in Table 4.1 further revealed that 11% (6) of the respondents were employed at the Department of Public Works, Roads and Infrastructure, 8% (4) were employed at the Limpopo Provincial Treasury, 6% (3) were employed at the Department of Sport, Arts and Culture and 4% (2) were employed at the Department of Social Development.

4.3.4 Respondents per section

The respondents were asked to indicate the department in which they were employed and to indicate the division they resorted under in the records management section. This question was asked to obtain an overview of the kind of records the respondents were managing. The findings are presented in Figure 4.3.

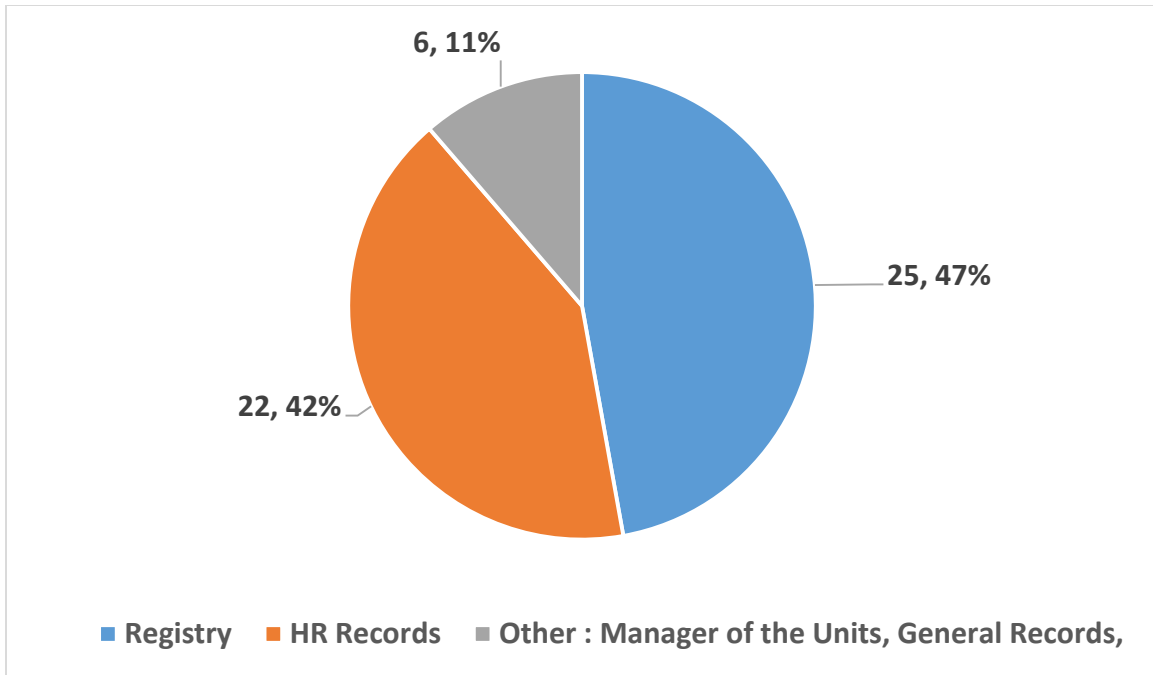


Figure 4.3 Respondents per sections

Figure 4.3 reveals that 47% (25) of the respondents were based in the registry, 42% (22) of the respondents were based in Human Resource records and 11% (6) of the respondents were unit managers based in general records.

4.3.5 Respondents per job titles

The respondents were requested to indicate their designation in their sections. This question was asked to determine whether the job titles of the respondents were in line with the work they were doing. The findings are presented in Figure 4.4.

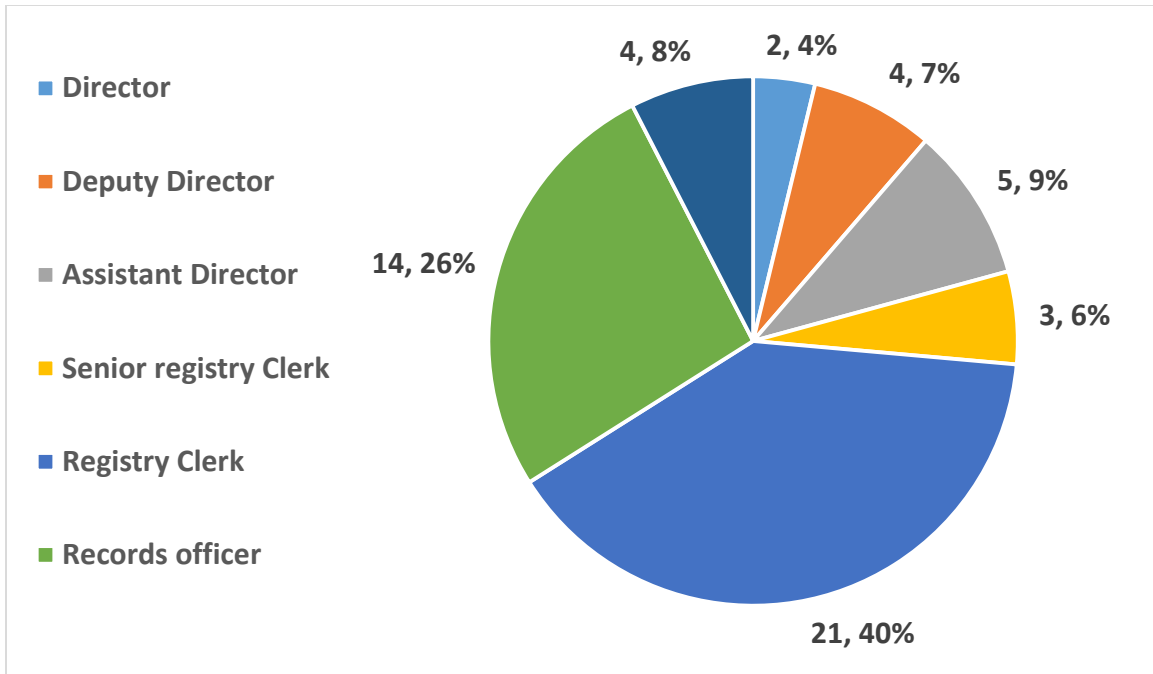


Figure 4.4 Respondents per job title

The results depicted in Figure 4.4 revealed that 40% (21) of the respondents were employed as registry clerks, 26% (14) were employed as records officers, 9% (5) were employed as assistant directors and 8% (4) were employed as senior administration officers. The results further revealed that 7% (4) of the respondents were employed as deputy directors, 6% (3) were employed as senior registry clerks and 4% (2) were employed as directors.

4.3.6 Respondents per work experience

The respondents were asked to indicate their work experience. The intent of this question was to determine the duration for which respondents have been working with records, and to determine if there was room for growth and development in this field. The findings are presented in Figure 4.5.

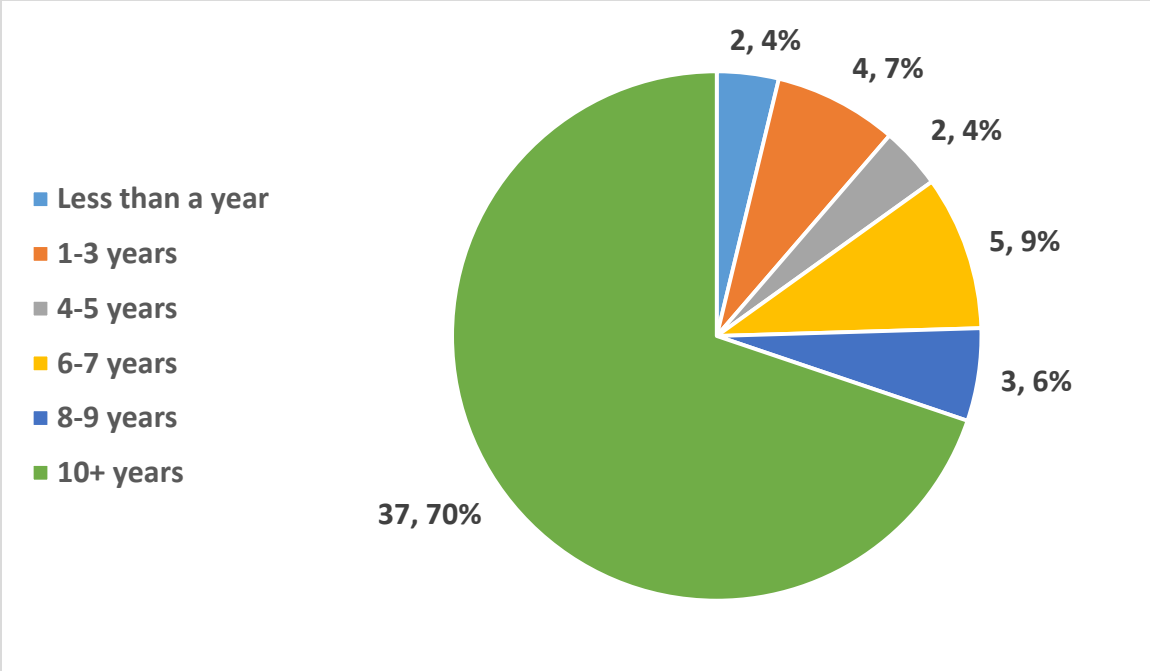


Figure 4.5 Respondents per work experience

Figure 4.5 reports that 70% (37) of the respondents had 10 years and more work experience, 9% (5) of the respondents had 6-7 years' work experience, 7% (4) of the respondents have 1-3 years' work experience and 6% (3) of the respondents have 8-9 years' work experience. Figure 4.5 further reveals that 4% (2) of the respondents had 4-5 years' work experience and 4% (2) had less than a year work experience.

4.3.7 Respondents per level of education

Since the beginning of the Industrial Revolution, there has been a need and demand for skilled workers. Now at the dawn of the Fourth Industrial Revolution, there is again a need and demand for skilled workers. However, the requirements have increased since employers now demand current and innovative skills, together with the need to upskill and develop new sets of skills (Sepeng, 2019:159). Hence, the respondents were requested to indicate their level of education. The findings are presented in Table 4.2.

Table 4.2 Respondents per level of education

EDUCATIONAL LEVELS	RESPONDENTS	
	Numbers	Percentages
Doctorate	0	0%
Master's	1	2%
Honours	8	15%
Degree	9	17%
Diploma	23	43%
Matriculate	11	21%
Below matric	1	2%

The findings revealed that 43% (23) of the respondents had a diploma, 21% (11) had a matric certificate, 17% (9) had a degree and 15% (8) had an honours degree. The findings further revealed that 2% (1) of the respondents held a master's degree and another 2% (1) were below matric. Therefore, the findings revealed that the majority of the respondents had a diploma.

4.3.8 Respondents per tertiary field of study

In addition to asking respondents about their level of education, they were also requested to indicate their field of study beyond matric. This question was asked to determine whether the qualifications the respondents held were appropriate for the field of records management. The findings are presented in Table 4.3.

Table 4.3 Respondents per tertiary field of study

TERTIARY FIELD OF STUDY	RESPONDENTS	
	Numbers	Percentages
Archives and Records Management	9	17%
Information Science/Studies	1	2%
Information Management	0	0%
Knowledge Management	2	4%
History	2	4%
Public Administration	27	53%
Business Administration	1	2%
Other: Human Resource Management, Information Technology and Logistic Management	9	18%

The findings presented in Table 4.3 revealed that 53% (27) of the respondents held a qualification in the field of public administration, 18% (9) held a qualification in the field of human resource management and information technology, and 17% (9) held a qualification in the field of archives and records management. Additionally, the results revealed that 4% (2) of the respondents held a qualification in the field of knowledge management, 4% (2) held a qualification in the field of history, 2% (1) held a qualification in the field of information science/studies, and 2% (1) held a qualification in the field of business administration.

4.3.9 Awareness of the existence of archives

The respondents were requested to indicate their awareness of the existence of archives. This question was asked to ascertain whether the respondents were indeed appropriate for the study, and were in a good position to answer the research questions. The findings are presented in Figure 4.6.

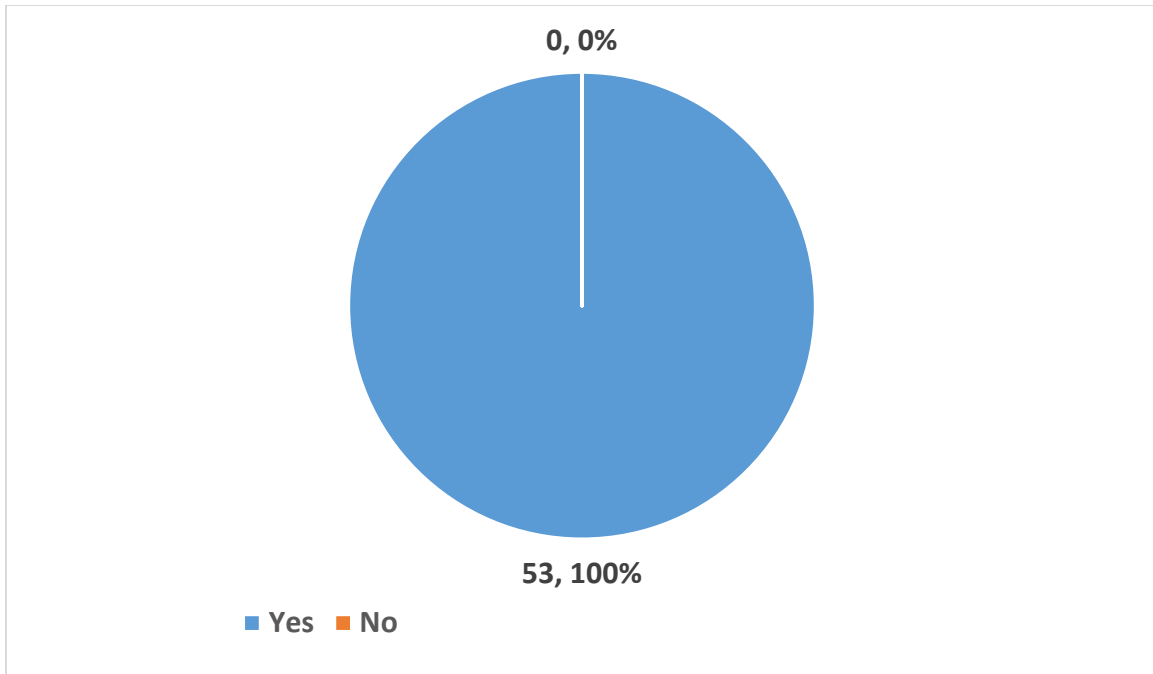


Figure 4.6 Awareness of the existence of the archives

The findings presented in Figure 4.6 revealed that 100% (53) of the respondents were aware of the existence of archives.

4.4 PRESENTATION OF DATA

This section presents data based on the objectives of the study. Quantitative and qualitative data from interviews, questionnaires, and document analysis are presented together. Qualitative data from the interviews and document analysis were used to complement and supplement the data from the questionnaires.

4.4.1 Records management services

This section covers questions on records management services. The respondents were asked three questions relating to records management services. They were requested to indicate whether they received sufficient records management services from provincial archives, the frequency at which they received records management services, and the records management services they received.

The purpose of this question was to establish whether departments received sufficient records management services, how many times they received services in a year, and what services they received from the provincial archives. The findings are provided in Figure 4.7, Figure 4.8 and Table 4.4, respectively.

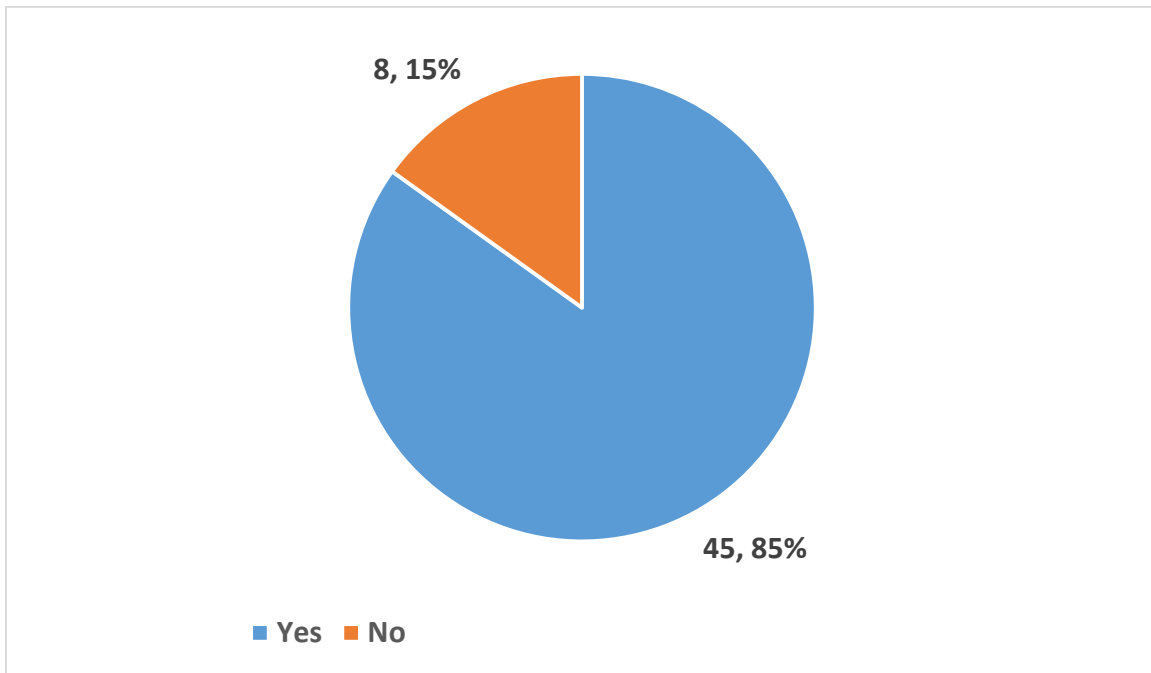


Figure 4.7 Sufficiency of records management services

The findings in Figure 4.7 revealed that 85%(45) of the respondents received sufficient records management services from provincial archives, while 15% (8) of the respondents indicated that they have not received sufficient services from provincial archives. The respondents indicated the following regarding the sufficiency of records management services:

Respondents 7: “We are in constant contact with them for advice on records-related matters, e.g. file plan, disposal and records transfer.”

Respondents 8: “Provincial archives provide advice and assistance on issues related to records management.”

Respondent 9: “When requested to come and do appraisal of records, they come all the time.”

Respondent 10: “Department liaises with archives pertaining to issues of disposal, approval of records, policies and archival of records.”

Respondent 11: “Provincial archives assist with approval of records, policies, procedure manual, and disposal of records, e.g. old application of employment.”

On the frequency of records management services, the findings in Figure 4.8 revealed that 42% (22) of the respondents received records management services annually, 26% (14) received records management services more than once in a quarter, 15% (8) received records management services half yearly. The findings further revealed that 9% (5) of the respondents received records management services quarterly and 8% (4) received records management services whenever there was a need.

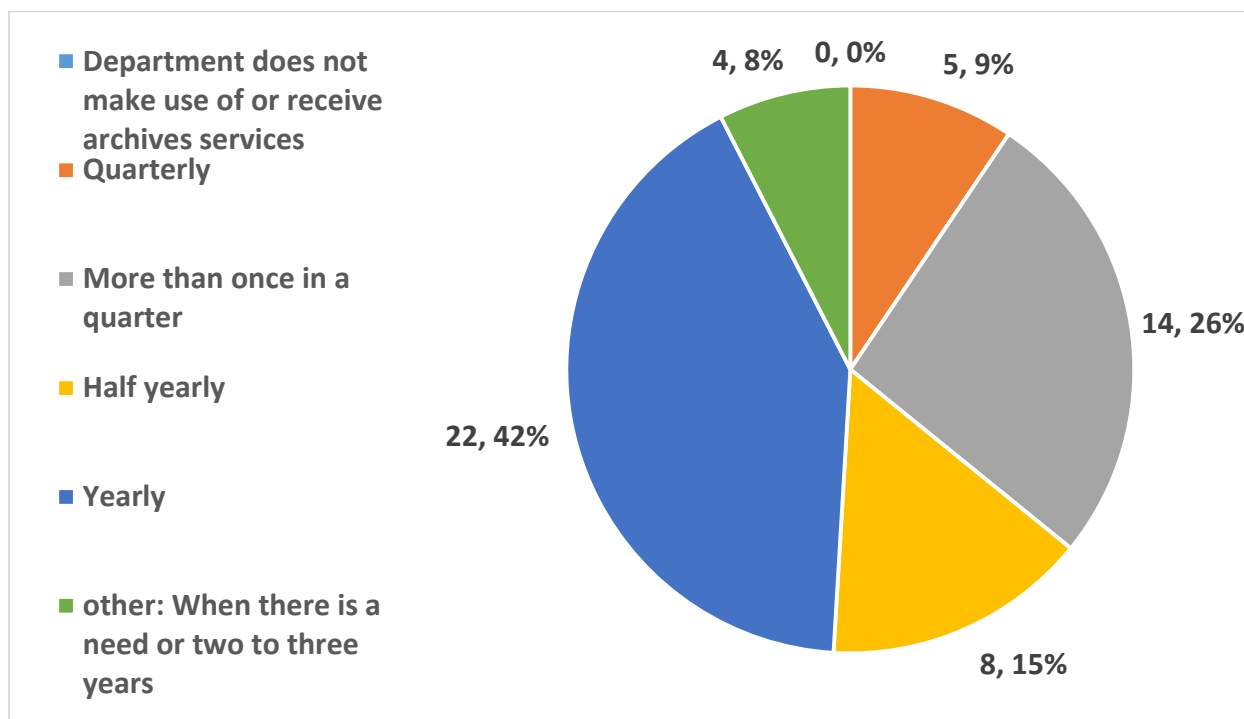


Figure 4.8 Frequency of records management services in a year

The findings reported in Table 4.4 revealed that 94% (50) of the respondents indicated that provincial archives grant disposal authority for records to be disposed, 77% (41) indicated that provincial archives facilitated and monitored the disposal or transfer of records, 75% (40) indicated that provincial archives conducted appraisal of records, and 70% (37) of the respondents indicated that provincial archives assessed and approved classification systems (e.g. file plan, registry procedure manual).

Table 4.4 Records management services provided by provincial archives to departments

RECORDS MANAGEMENT SERVICES	Number	Percentages
Record management training	16	30%
Conduct records management inspections	25	47%
Conduct appraisal of records	40	75%
Grant disposal authorities for records to be disposed	50	94%
Facilitate and monitor the disposal or transfer of records	41	77%
Assess and approve classification systems (e.g. file plan, registry procedure manuals)	37	70%
Provide templates for classification systems	12	23%
Ensure compliance with records management policies and legislation	24	45%
Provide publications that shape records management policies	16	30%
Issue directives and instructions as to the management and care of public records	15	28%

Provide guidance and approval for the conversion of records formats	10	19%
Provide guidance and approval of the electronic system	7	13%
Develop and provide policy guidelines for records management	18	34%

The findings in Table 4.4 further revealed that 47% (25) of the respondents indicated that provincial archives provide records management training, 45% (24) of the respondents indicated that provincial archives ensure compliance with records management policies and legislation, 34% (18) of the respondents indicated that provincial archives develop and provide policy guidelines for records management, 30% (16) of the respondents indicated that provincial archives conduct records management inspections, and 30% (16) of the respondents indicated that provincial archives provide publications that shape records management policies. Additionally, the findings in Table 4.4 indicated that 28% (15) of the respondents indicated that provincial archives issue directives and instructions about the management and care of public records, 23% (12) indicated that provincial archives provide templates for classification systems, 19% (10) indicated that provincial archives provide guidance and approval for the conversion of records formats and 13% (7) of the respondents indicated that provincial archives provide guidance and approval of electronic systems.

The interviewees reported as follows regarding archival services:

Interviewee 1: "Limpopo Provincial Archives provides services such as inspection of records, appraisal, classifications, disposal of terminated records, training of records and non-records manager who deals with the daily follow of records. Monitoring of the government institutions for

compliance in terms of records management policies and procedure manuals.”

Interviewee 2: “Trainings, disposal, appraisal, and classification system.”

Interviewee 3: “Assessment of classification system, conduct appraisal of records, conduct records management of training, conduct records management inspections.”

Interviewee 4: “Appraisal and disposal of records, records management training, assessing classification system and records management”.

Interviewee 5: “Inspection of records on records management practices, assessment of approval of classification systems, appraisal and disposal of records reached retention period, training on records management best practices and advisory on best practices of records management.”

Interviewee 6: “Conducting inspections to ensure compliance to proper records management, conducting appraisal and disposal of government institutions, assessment of classification system, providing records management training to government institutions and parastatals.”

Interviewee 7: “Appraisal and disposal, inspection, training, assessment and approval of records classification system, and identification, transfer and preservation of records.”

Interviewee 8: “Appraisal of records to check if they have archival value or which can be disposed when they have reached their retention period and collecting records of archival value and preserve them on its repository (LPA).”

4.4.2 Records management support

This section covers questions on records management support. Respondents were asked to indicate the records management support they received from provincial archives and the sufficiency of the support received. This question was asked to find out what support

provincial archives offer to departments in addition to the services as indicated in 4.4.1. The findings are presented in Figure 4.9 and Table 4.5.

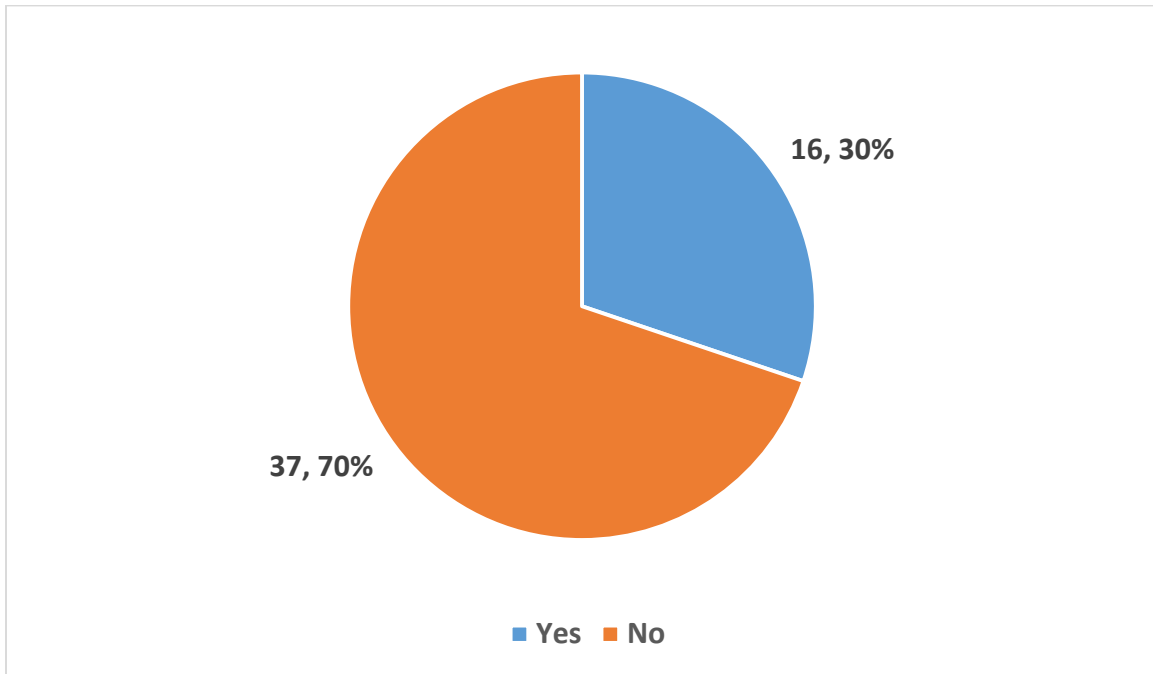


Figure 4.9 Sufficiency of records management support

The findings in Figure 4.9 revealed that 70% (37) of the respondents did not receive sufficient records management support from the provincial archives, while 30% (16) of the respondents indicated that they received sufficient records management support from provincial archives. The respondents indicated the following regarding records management support:

Respondent 2: “There is usually a delay because they are responsible for many organisations while they are few. The workload is too much for them.”

Respondent 3: “The workload is too much for them because they do not have enough staff.”

Respondent 5: “They try all their best to support the department but their main challenge is they do not have transport to support all the districts.”

Respondent 14: “Partially, the department is receiving support from the provincial archives, only on the request of the department.”

The findings in Table 4.5 revealed that 81% (43) of the respondents indicated that the LPARS provided advice on issues relating to records management, 68% (36) indicated that provincial archives oversaw and helped improve record-keeping processes, and 64% (34) of the respondents indicated that the LPARS served as the guardians of the rights of departments and records officials in issues relating to records management. The findings in Table 4.5 further revealed that 49% (26) of the respondents indicated that the LPARS provided measures on how to arrange, describe and retrieve records, 45% (24) indicated that the LPARS assisted departments in how to safeguard the integrity of records/material and to protect records from any forms of manipulation, mutilation, falsification or censorship, 40% (21) indicated that the LPARS provided information, consultation, research and other services related to records, 36% (19) indicated that the LPARS formed part of the records management forum in the departments, and 4% (2) of the respondents indicated that they could not tell what support the archives gave their department.

Table 4.5: Records management support provided to departments

RECORDS MANAGEMENT SUPPORT	Numbers	Percentages
The archives served as the guardians of the rights of departments and records officials in issues relating to records management	34	64%
Oversaw and helped improve record-keeping processes	36	68%
Provided advice on issues relating to records management	43	81%
Provided information, consultation, research, and other services related to records	21	40%

Assisted in safeguarding the integrity of records/material and to protect it from any forms of manipulation, mutilation, falsification, or censorship	24	45%
Formed part of the records management forum in the department I am employed	19	36%
Provided measures on how to arrange, describe and retrieve records	26	49%
Other: so far I cannot tell its function in my department, archivist must avail themselves during disposal	2	4%

The interviewees responded as follows regarding records management support:

Interviewee 1: “Limpopo Provincial Archives support provincial departments by assisting them with development of records prescripts such as records procedure manuals which will guide record managers to manage current records created inside the institution. Selection of records qualify for archival value to be preserved in provincial archives to protect the originality of records. Limpopo Provincial Archives approves disposal authorities to allow the department(s) to dispose records which are not used frequently or transfer to repository”.

Interviewee 4: “The provincial archives support the provincial department by conducting records management training and allowing the provincial departments to transfer archival records to the archives repository”.

Interviewee 5: “They offer trainings to provincial departments, they offer advice on the best practices and overall advisory need where necessary on records management practices”.

Interviewee 6: “Assisting provincial departments and parastatals on listing of records which are due for disposal, assisting provincial departments and parastatals on how to develop filing systems and assisting records

officials as to how they can capacitate themselves as per records management training (formal) are concerned”.

Interviewee 7: “Support for records transfer, storage, retrieval and disposal of records; records management training, development of file plan and giving support on developing and approving retention schedules”.

4.4.3 Resourcing of archives

Interviewees were asked to share their views on the extent to which the LPARS is resourced to render services to support records management in the provincial department. The question was intended to determine whether the provincial archives has sufficient resources to render records management services and to provide support to departments. The findings revealed that the provincial archive was not adequately resourced to render services and provide support to departments as expected. The interviewees indicated the following regarding resourcing of archives:

Interviewee 1: “No, Limpopo Provincial Archives are not resourced to support records management in the departments, because there is no clear staff establishment for archives officials. More programmes are not fully functional to support records management of other department. Insufficient budget to Limpopo Provincial Archives prevent it to perform their activities well. Limpopo Provincial Archives do not have enough skilled/knowledgeable personnel to execute the service delivery. Transport to collect resources used by archivists to provide archives functions to the department is a serious challenge. Tools such as ICT, stationery, and infrastructure are not provided to support the provincial department. It is important to have adequate human capital to drive the key in making Limpopo Provincial Archives to function efficiently and effectively for the benefit of departments’ records management”.

Interviewee 2: “No, as archivists we lack staff and transport to go out. We also lack protective clothing”.

Interviewee 3: “No, lack of capacity (staff), lack of transport and lack of budget”.

Interviewee 4: “Limpopo provincial archives do not receive enough resources, e.g. archives officials use their own transport to help provincial departments and there are no protective clothing and stationery”.

Interviewee 5: “No, LPA is under-resourced, firstly there is no appointed provincial archivist which is a strategic personnel. There are limited funds allocated, and staff capacity is insufficient”.

Interviewee 6: “Not fully resourced, there is a shortage of staff under records management services in the provincial archives. Issue of transport is a problem at the provincial archives and as a result archives officials are unable to extend their services to other departments outside Polokwane”.

Interviewee 7: “No, do not have enough resources; there is (a) shortage of staff, (and) transport. Storerooms are limited for transfer and shortage of shelves”.

Interviewee 8: “There are not enough resources, the provincial archives is still in manual based and most of the departments have advanced and use electronic records management. That makes it not easy for the officials to support the stakeholders”.

4.4.4 Benefits of archival services

The respondents were asked to indicate whether archival services have benefits. Questions were asked about the benefit of archival services to determine whether the services and support provided by the provincial archives to departments has any impact on the departments or whether they benefit the departments in any way. The findings are presented in Figure 4.10 and Table 4.6.

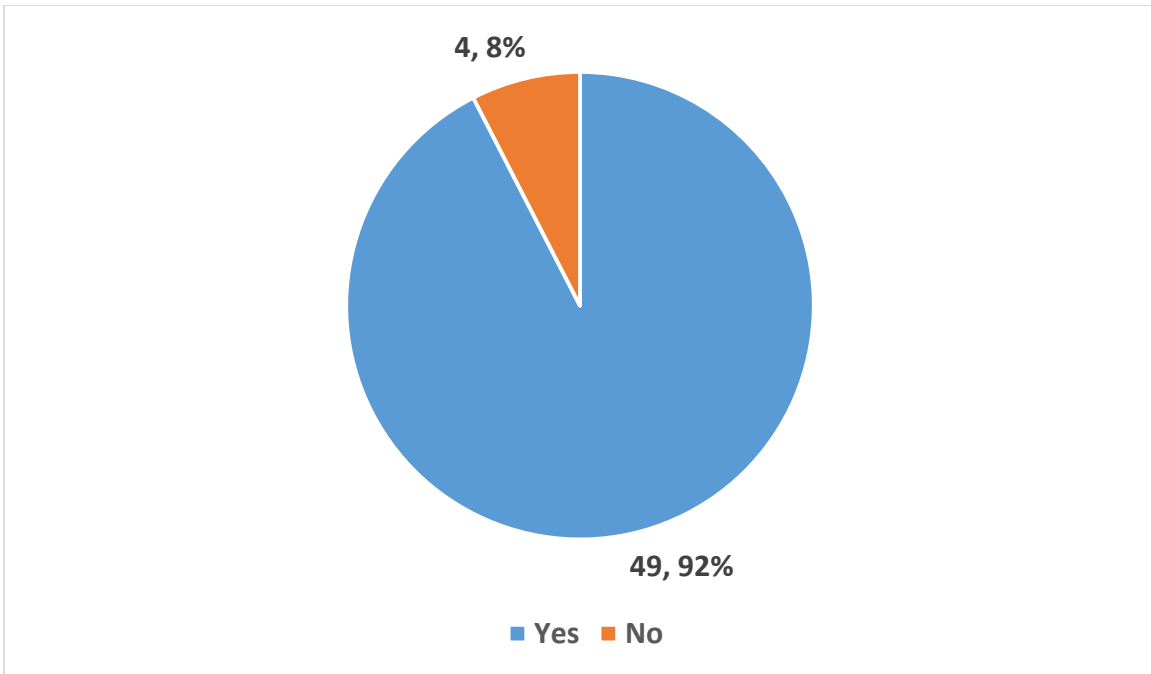


Figure 4.10: Archival services benefits to department

Table 4.6: The kinds of archival service benefits

ARCHIVAL SERVICE BENEFITS	RESPONSES					
	DISAGREE		NEUTRAL		AGREE	
	Numbers	Percentages	Numbers	Percentages	Numbers	Percentages
Archival services enable the management of records through support for effective records management programmes.	0	0%	5	10%	45	90%

Archival services enable organisations to fulfil proper records management missions to have access to accurate information.	0	0%	6	12%	44	88%
Archival services promote cost-effective use of government resources (for example reduction of storage costs due to disposal of records).	1	2%	12	24%	37	74%
Archival services help with the reduction of litigation costs as records are located in time when requested.	2	4%	16	32%	32	64%
Archival services have a direct benefit for government in the efficient conduct of its day-to-day business, and underpin planning and the development of policies.	4	8%	10	20%	36	72%
Archives provide support for appraisal and disposal that help organisations to manage their storage areas well and to avoid incurring high costs to keep records.	1	2%	7	14%	42	84%
Archives support with appraisals to help with the reduction of litigation costs as located in time when requested.		6%	12	24%	35	70%
Archives provide support for the protection of records to ensure long-term preservation.	1	2%	9	18%	40	80%
Archives support with proper records management that ensures that control of	0	0%	11	22%	39	78%

records is exercised and loss of records eliminated.						
Archives assist with proper file plans to ensure that records created or received are classified properly for ease of retrieval and access.	0	0%	7	14%	43	86%
Archives provide guidance and approval to file plans that help with the implementation of an effective disposal programme.	0	0%	10	20%	40	80%
Archives assist with proper records management to ensure that organisations are held accountable for their actions, keep accurate and complete evidence of business transactions and communication, and promote openness and transparency of processes in governance.	1	2%	10	20%	39	78%
With archival support, reliable records are kept for business activities monitoring and evaluation, to assess whether individuals/organisations have actually carried out the actions and transactions that they had to execute, or whether they ensured that these actions and transactions meet the criteria of efficiency, legitimacy, or the principles of good governance.	0	0%	15	30%	35	70%

<p>Other: Proper records management leads to good governance and information requested is available when needed. Auditing of records, e.g. financial records must always be available when needed for accountability purposes. Proper records management promotes openness and transparency. Archives should be made accessible with more awareness and advocacy.</p>	0				4	8%
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The findings depicted in Figure 4.10 revealed that 92% (49) of the respondents indicated that archival services have benefits, while 8% (4) of the respondents indicated that archival services have no benefits. Furthermore, Table 4.6 shows the kinds of archival service benefits and that 90% (45) of the respondents agreed that archival services enable the management of records through support for effective records management programmes, while 10% (5) of the respondents remained neutral on whether archival services enable the management of records through support for effective records management programmes. The findings further revealed that 88% (44) of the respondents agreed that archival services enable organisations to fulfil proper records management missions to have access to accurate information, while 12% (6) of the respondents remained neutral on whether archival services enable organisations to fulfil proper records management mission to have access to accurate information.

In addition, 86% (43) of the respondents agreed that archives assist with proper file plans to ensure that records created or received are classified properly for ease of retrieval and access, while 14% (7) of the respondents remained neutral on whether archives assist with proper file plans to ensure that records created or received are classified properly for ease of retrieval and access.

Table 4.6 reveals that 84%(42) of the respondents agreed that archives provided support for appraisal and disposal, helping organisations to manage their storage areas well and to avoid incurring the high costs of keeping records, 14% (7) of the respondents were neutral and 2% (1) of the respondents disagreed that archives provided support for appraisal and disposal, helping organisations to manage their storage areas well and to avoid incurring high costs to keep records. Furthermore, the findings revealed that 80% of the respondents agreed that archives provided support for the protection of records to ensure long-term preservation, while 18% (9) of the respondents were neutral on the statement and 2% of the respondents disagreed. Furthermore, 80% (40) of the respondents agreed that archives provided guidance to and approval for file plans that help with the implementation of an effective disposal programme, while 20%(10) of the respondents were neutral on this.

The findings in presented in Table 4.6 also revealed that 78% (39) of the respondents agreed that the LPRAS gave support with proper records management, ensuring that the control of records was exercised and loss of records was eliminated, while 22% (11) of the respondents remained neutral. Furthermore, 78% (39) of the respondents agreed that the archives assist with proper records management to ensure that organisations are held accountable for their actions, keep accurate and complete evidence of business transactions and communication, and promote openness and transparency of processes in governance, while 20% (10) of the respondents were neutral and 2% (1) disagreed. The findings revealed that 74% (37) of the respondents agreed that archival services promote cost-effective use of government resources (for example the reduction of storage costs due to the disposal of records), while 24% (12) of the respondents were neutral and 2% (1) of the respondents disagreed that archival services promote cost-effective use of government resources.

Moreover, 72% (36) of the respondents agreed that archival services have a direct benefit for the government to efficiently conduct its day-to-day business and underpin planning and the development of policies, 20% (10) of the respondents were neutral, and 8% of the respondents disagree.

The findings presented in Table 4.6 revealed that 70% (35) of the respondents agreed that archives support with appraisal helps with the reduction of litigation costs as records can be located in time when requested, while 30% (15) of the respondents were neutral about whether the archives support with appraisal helps with the reduction of litigation costs as records can be located in time when requested. The findings also indicated that 70% (35) of the respondents agreed that with archival support, reliable records were kept for business activities monitoring and evaluation to assess whether individual organisations have actually carried out the actions and transactions they had to perform, or whether they ensured that these actions and transactions met the criteria of efficiency, legitimacy or the principles of good governance, while 30% (15) of the respondents were neutral on this issue.

The findings revealed that 64% (32) of the respondents agreed that archival services helped with the reduction of litigation costs as records were located in time when requested, 32% (16) of the respondents were neutral, and 4% (2) of the respondents disagreed. Lastly, 8% (4) of the respondents revealed that archival services helped with proper records management, which leads to good governance.

4.4.5 Legislation governing records management

This section covers findings on the legislation governing records management. The respondents were asked to indicate their knowledge of the legislation governing records management, their department's adherence to legislation governing records management, and the department's level of adherence to legislation on a scale of 1 to 5 (1 = very poor, 2 = poor, 3 = neutral, 4 = good, 5 = very good). Moreover, the respondents were asked to indicate whether the LPARS enforced the implementation of the records management legislation and to indicate actions taken by the LPARS to enforce the implementation of the records management legislation based on a scale of 1 to 5 (1 = strongly disagree, 2 = disagree, 3 = neutral, 4 = agree, 5 = strongly agree).

Also, the respondents were asked to state what they think the LPARS were not doing to enforce compliance with legislation in the department, and suggest strategies that may be used to ensure compliance with records management legislation. The questions were intended to determine whether departments were knowledgeable about records management legislation, whether they adhered to them and what the provincial archives did to ensure compliance with records management legislations. The findings are presented in Figure 4.11, Figure 4.12, Figure 4.13, Figure 4.14, and Table 4.7 below.

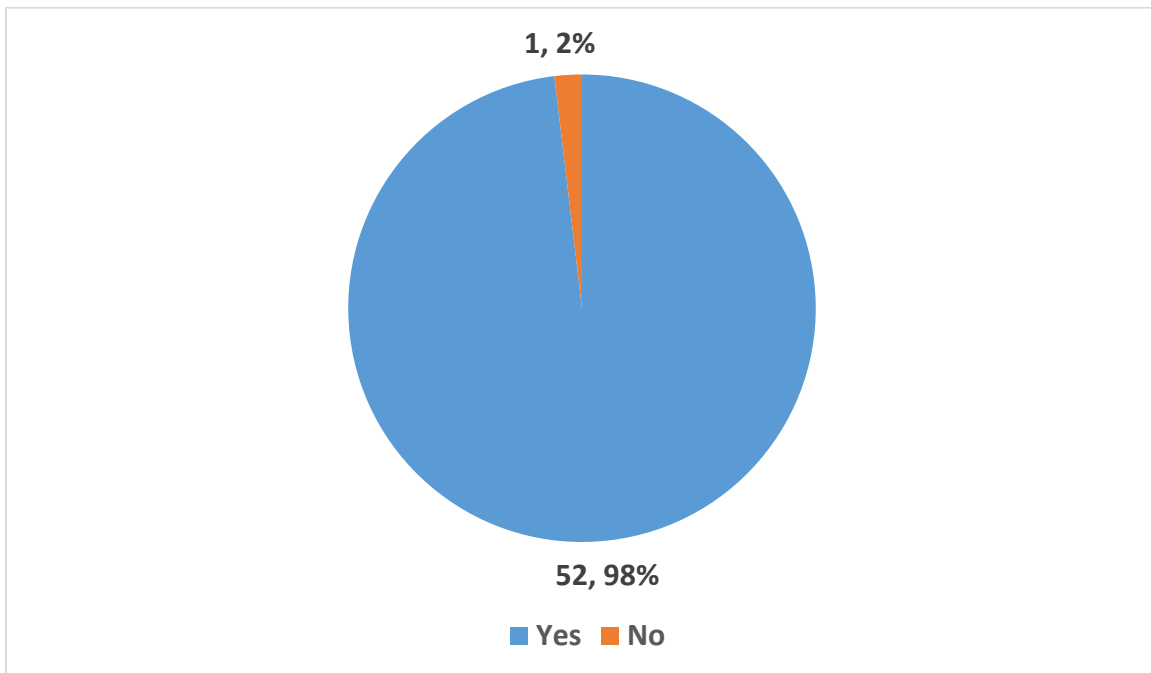


Figure 4.11 Knowledge of legislation governing records management

The findings in Figure 4.11 revealed that 98% (52) of the respondents were knowledgeable about legislation governing records management while 2% (1) of the them had no knowledge of the legislation governing records management. The respondents indicated that they were aware of policies and acts that govern records management, such as National Archives Act, the Constitution, PAIA, PAJA, and the Limpopo Archives Act. In addition, the findings in Figure 4.12 revealed that 91% (48) of the departments adhered to legislation governing records management, while 9% (5) of the department did not adhere to records management legislation.

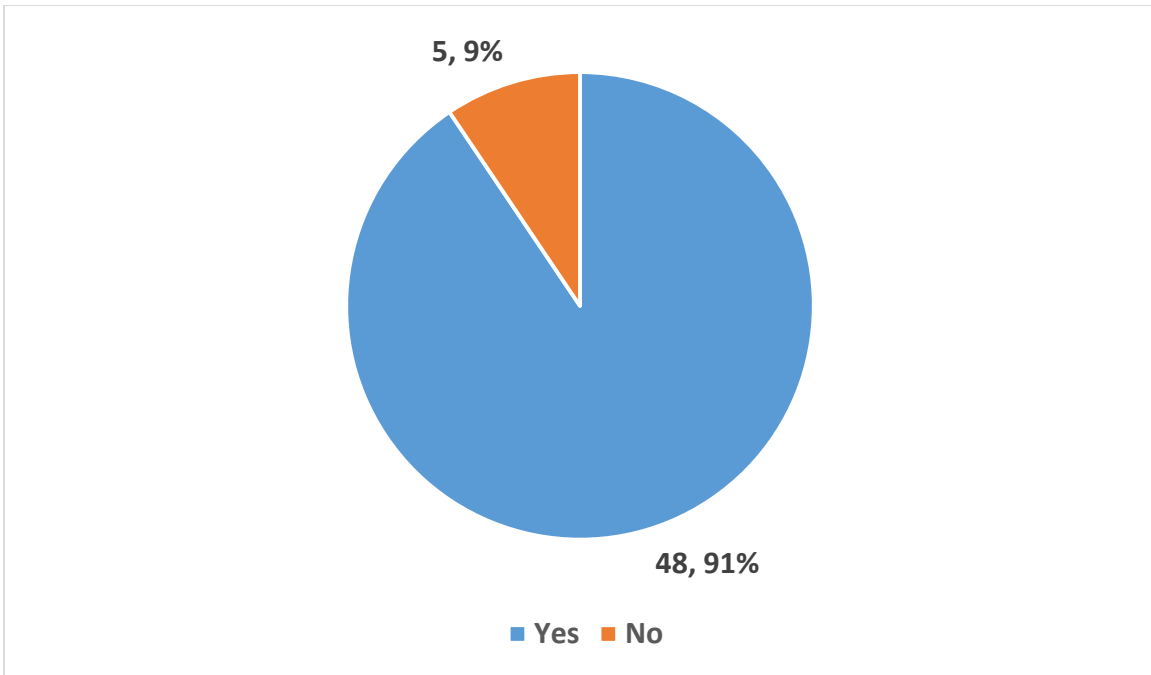


Figure 4.12 Departments' adherence to legislation governing records management

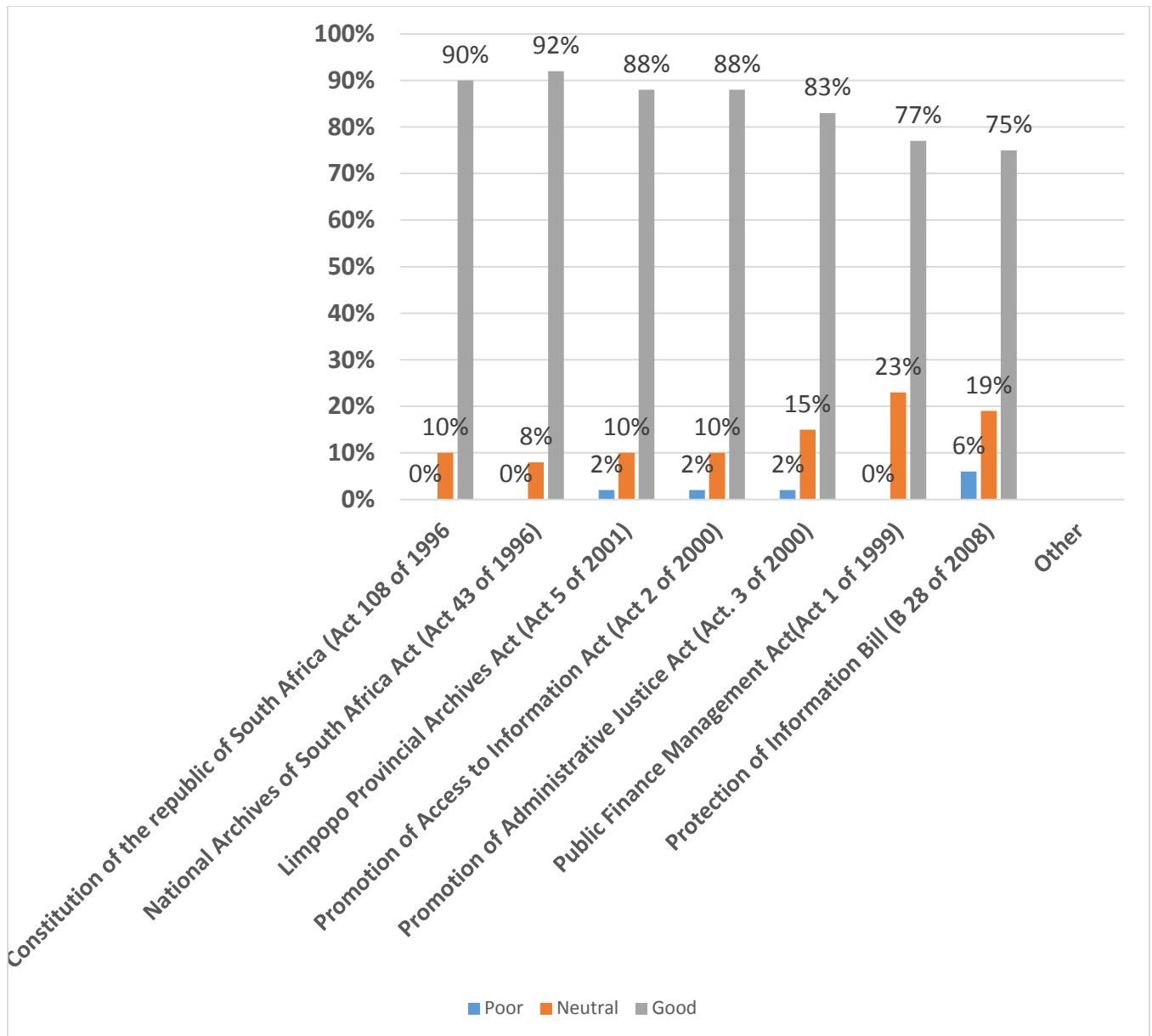


Figure 4.13 Departments’ level of adherence to legislation governing records management

The findings depicted in Figure 4.13 showed that 92% (44) of the departments said they adhered to the National Archives Act, while 8% (4) of the department were neutral on the adherence of the department to the National Archives Act. The findings also revealed that 90% (43) of the departments said they adhered to the Constitution, while 10% (5) of the departments were neutral.

A total of 88% (42) said they adhered to the Limpopo Provincial Archives Act, 10% (5) of the department were neutral, and 2% (1) did not adhere to the Limpopo Provincial Archives Act. The findings in Figure 4.14 also revealed that 88% (42) of the departments said they adhered to the PAIA, while 5 were neutral, and 2% (1) did not adhere to the PAIA. A total of 83% (40) of the respondents said their departments adhered to the PAJA, while 15% (7) were neutral and 2% (1) did not adhere to the PAJA. Seventy-seven per cent (37) of the department said they adhered to the Public Finance Management Act (No. 1 of 1999) while 23% (11) were neutral and 75% (36) said they adhered to the Protection of Information Bill (B 28 of 2008), while 19% (9) were neutral and 6% (3) did not adhere to the Protection of Information Bill (B 28 of 2008).

Additionally, the findings in Figure 4.14 revealed that 89% (47) of the respondents agreed that the LPARS enforced the implementation of records management legislation. Moreover, the findings depicted in Figure 4.14 revealed that 11% (6) of the respondents disagreed that the LPARS enforced the implementation of records management legislation. The questionnaire respondents indicated the following regarding archives' enforcement of implementation of records management legislation:

Respondent 1: "They always advise (the) department regarding records management."

Respondent 2: "Whenever you want to do many archival services, you need to be granted authority by the Provincial Archives Limpopo."

Respondent 3: "They do compliance monitoring and they advise when necessary."

Respondent 5: "Departments are workshopped and the necessary tools to perform duties in accordance with legislation are given thereof."

Respondent 6: "They are always available for consultations and always conduct records inspection".

Respondent 7: "They do inspections all the time".

Respondent 8: "Provincial archives conduct meetings to guide and educate departments on what is expected from them as (a) department".

Respondent 9: "Their work is done appropriately according to the legislation and they enforce all departments to work by the book".

Respondent 13: “They do follow-ups so that they can see that we follow all the records legislation”.

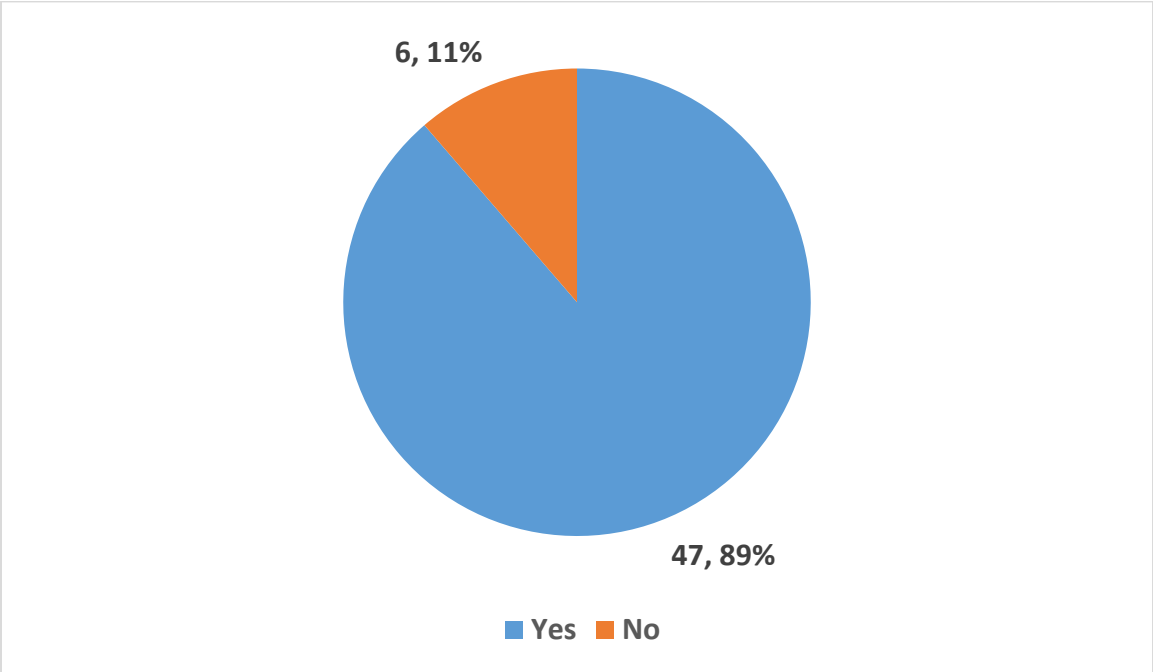


Figure 4.14: Limpopo Provincial Archives’ enforcement of the implementation of the records management legislation

Table 4.7: Actions taken by Limpopo Provincial Archives to enforce implementation of the records management legislation

ACTIONS	RESPONSES					
	DISAGREE		NEUTRAL		AGREE	
	Numbers	Percentages	Numbers	Percentages	Numbers	Percentages
The provincial archives sensitise the departments about the consequences stipulated in the National Archives Act of the person who wilfully damages any public or non-public record in the control of a governmental body, or otherwise than in accordance with this Act or any other law, removes, destroys, or erases such record. That is, a fine or imprisonment for a period not exceeding two years, or both such fine and imprisonment to a person, or a fine not exceeding R5 000.	2	4%	17	35%	30	61%
Provincial Archives take legal action against any person who fails to comply with a request.	3	6%	21	43%	25	51%
The provincial archives enforce the implementation of legislation through	4	8%	16	33%	29	59%

educating governmental departments regarding legislation.						
The provincial archives issues directives on a frequent basis guiding departments on what is expected of them.	3	6%	17	35%	29	59%
The provincial archives advises, in writing to the departments, when they are found to be disregarding legislation.	4	8%	15	31%	30	61%
The provincial archives advise through word-of-mouth the departments when they are found to be disregarding legislation.	29	14%	14	29%	28	57%
Other: Not allowing unlisted records to be disposed of, informing the HoD and MEC of non-compliance, and demanding action to be taken against officials who are found to be on the wrong side of the law.					3	6%

The findings presented in Table 4.7 revealed that 61% (30) of the respondents agreed that the LPARS enforced the implementation of records management legislation by sensitising the departments about the consequences stipulated in the National Archives Act regarding persons who wilfully damage any public or non-public records in the control of a governmental body, or other than in accordance with this Act or any other law, removes, destroys or erases such records. That is, a fine or imprisonment for a period not exceeding two years, or both such fine and imprisonment, or a fine not exceeding R5 000, while 35% (17) of the respondents were neutral regarding this action and 4% (2) of the respondents disagreed that the action was taken. Moreover, the findings set out in Figure 4.16 revealed that 61% (30) of the respondents agreed that the LPARS advises the departments in writing when they were found to be disregarding legislation, 31% (15) of the respondents were neutral on this action, and 8% (4) of them disagreed that the

LPARS advised the departments in writing when they were found to be disregarding legislation. Fifty-nine per cent (29) of the respondents agreed that the LPARS issued directives on a frequent basis guiding departments on what was expected of them, while 35% (17) were neutral on the action and 6% (3) of the respondents disagreed.

Table 4.7 further reveals that 59% (29) of the respondents agreed that the LPARS enforced the implementation of legislation through educating governmental departments regarding legislation, 33% (16) were neutral, while 8% (4) disagreed. The findings also revealed that 57% (28) of the respondents agreed that the LPARS informed the departments by word-of-mouth when they were found to be disregarding legislation, while 29% (14) of the respondents were neutral, and 14% (7) disagreed that this action was taken. A total of 51% (25) of the respondents revealed that the LPARS took legal action against any person who failed to comply with a request, while 43% (21) remained neutral, and 6% (3) disagreed. Six per cent (3) of the respondents indicated that the provincial archives enforced the implementation of legislation by not allowing the disposal of records without their approval, authority, and supervision. The interviewees indicated the following:

Interviewee 4: “The Limpopo Provincial archives enforce the implementation of the records management legislation by doing records management inspections at the governmental departments and municipalities”.

Interviewee 5: “Through the implementation of the objectives that are outlined in the Limpopo Provincial Archives Act”.

Interviewee 6: *“When conducting records management inspections. When conduction (of) records management training, the legislations governing records management are included in the presentation slides”.*

Furthermore, the findings from the document analysis revealed that all the departments had records classification systems required for the management of records. All the departments had file plans, records management policies, registry procedure manuals, and other policies and registers used for the management of records.

The findings of the document analysis revealed that records management policies used have been endorsed by the LPARS and the registry procedure manuals used have been approved by the LPARS. The findings of the document analysis also revealed that all the file plans used in the departments adequately covered all the functions and activities performed in their respective departments, and all the file plans used by the provincial departments contain general instructions to the file plan. The instructions provided guidelines on how the file plan had to be used and how records had to be handled. One of the instructions was an instruction of the destruction register. This instruction commands an organisation to have a destruction certificate for the purpose of recording the disposal year of records based on their disposal instructions to allow for a well-organised disposal process.

However, most organisations did not have a destruction register. The findings of the document analysis also revealed that the symbol AP was never used in the file plans found in the provincial departments. The symbols that were mostly used were A and D. The findings further revealed that all policy records were regarded as A20 and most of them did not meet the requirements to be transferred to the archives under normal circumstances. The questionnaire respondents were also asked to indicate the strategies that may be used to ensure compliance with records management legislation. The respondents indicated the following:

Respondent 1: "Provincial department of sport, arts and culture should monitor all departments regularly".

Respondent 3: "Quarterly support visit and inspections by the provincial archives".

Respondent 4: "Stay on track with changing laws and regulation, ensure employees follow procedures."

Respondent 5: "Provincial archives must ensure to inspect (the) records department at least twice quarterly and issue circulars and flyers (to) all departments."

Respondent 6: "Archives to brief management at all departments about the importance of legislation and compliance, management will then lead by example."

4.4.6 Strategies that can be used to ensure appropriate archival support for records management

The respondents were asked to suggest strategies that can be used to ensure archival support for records management. The intention of the question was to provide measures that can minimise some of the obstacles hindering the provision of archival support for records management. A lack of support for the archives has implications for both the archives and the stakeholders who require the services of the archives. The interviewees indicated the following regarding the strategies that can be used to ensure archival support for records management:

Interviewee 1: "...Strengthening of archives and records management structure to enable support to government departments. Also, provincial archives should communicate regularly with the key stakeholders to solve the issues related to records management. Development of (a) register for queries received from government departments. Provide feedback to the departments about their queries."

Interviewee 3: "Conduct training and provide guidelines regularly about the correct use of records keeping systems and records management procedures and policies."

Interviewee 4: "The provincial archives conduct the records management training to the government departments so that they know which records are archival and which one are non-archival."

Interviewee 5: "Develop a functioning provincial records management forum and platform for information exchange on best practices of records management".

Interviewee 6: "Provincial departments to be willing to accommodate the provincial archives at any scheduled time. Some departments are avoiding the provincial archives in terms of conducting the inspections."

Interviewee 7: "Top management must attend records management training so that they have (an) understanding and (are) skilled on records management so

(that) when there is change, they do not have problems. Also, enough funds must be allocated for archives.”

Interviewee 8: “Officials working in the provincial archives must be provided with resources that will enable them to give support to the government department and their officials.”

Interviewee 9: “Provision of all resources that are needed by archivists such as staff, budget, transport and etc.”

4.7 SUMMARY

Chapter 4 presented data addressing the different objectives of the study. The data presented in this chapter were collected through questionnaires, interviews, and document analysis. The data were presented together with qualitative data from interviews and document analysis used to complement quantitative data from questionnaires. The next chapter discusses and interprets the findings of the study based on the objectives.

CHAPTER 5

DISCUSSION AND INTERPRETATION OF THE FINDINGS

5.1 INTRODUCTION

The previous chapter provided a presentation of the findings. This chapter provides a discussion and interpretation of the findings of the study. The findings of the study were discussed and interpreted in line with the objectives of the study. Additionally, the findings of the study were discussed and interpreted based on the record life cycle, the theoretical framework for the study. The record life cycle was used to frame the study and to address the objectives of the study, demonstrating the role of archives in the life cycle of a record. Thus, it helped to determine the role archives play or ought to play in ensuring the care and management of records from their creation to their disposal.

5.2 DEMOGRAPHIC DATA

The aim of the study was to investigate the transversal records management mandate given to provincial departments by the LPARS. The respondents were also asked general questions that were aimed at soliciting demographic data such as gender, age, employer, section, job title, work experience, level of education, and tertiary field of study. Demographic data help to obtain an overview of the background of the population of the study. The population of this study were records officials in the Limpopo provincial government departments and officials of the LPARS. Records and archives officials were selected because they were responsible for records in their respective departments and they worked together; as such, their views and perceptions would add insight into the support that archives provide and how the archives can go about assisting and enforcing the implementation of the records management legislation.

The findings revealed that there were more females than males employed in the records management field. The employment of women is a move that will ensure that women are not treated as subordinate to men, because their role in society is no longer a domestic one.

The employment of women thus means that they have other roles beside their roles in their homes and they have the ability to participate in economic activities (South African History Online, 2011). The findings of the study also revealed that the majority of those working within the records management section were between the ages of 41 years and 55 years. This means that the millennial generation has not begun to reign in the records management field as expected; baby boomers and other generations were still in charge (Otieno & Nyambegera, 2019:70). The findings further revealed that the Department of Agriculture had more records officials than any other department in the Limpopo province. The results further revealed that the majority of the respondents are based at the registry and are employed as registry clerks. This could mean that the job titles of the respondents go hand in hand with the work they do.

Moreover, it is not surprising to have more registry clerks in records management sections as registries are the heart of any organisation, as records enter and leave the organisation through it. Failure to practice this leads to the improper management of records, resulting in missing, misplaced, and lost records (Harun, Yatin, Mobin, Norolamzmi, Mahathir, Ahmad & Kamal, 2018:261). The findings further revealed that respondents had extensive work experience in the field of records management – more than 10 years. Furthermore, the results showed that the respondents had a diploma and that the majority of the respondents held a qualification in public administration. Although having a tertiary qualification is satisfactory, it may not necessarily serve the purpose in this case, as the qualifications they held were not necessarily relevant to records management. This is very concerning because education goes hand in hand with the skills and experience one needs to do one's work.

5.3 DISCUSSION AND INTERPRETATION OF THE FINDINGS

5.3.1 Records management services

The first research question of the study was “Which records management services are provided by the Limpopo Provincial Archives to the provincial departments throughout the record life cycle?” The findings revealed that the majority of the respondents received the necessary services from the LPARS on an annual basis.

The findings further revealed that the services provided by the LPARS were the granting of disposal authority, facilitating and monitoring the disposal or transfer of records, conducting appraisal of records, assessing and approval of classification systems, providing records management training, and conducting records management inspections. Moreover, the findings also indicated that the LPARS monitored the government institutions for compliance with records management policies and procedure manuals and provided advisories on best practices of records management.

Section 5(2) of the National Archives Act affirms that the services provided by archives are training in archival techniques and the management of records, cooperation with organisations interested in archival matters or the management of records, and the provision of professional and technical support in aid of archival activities and the archival community. Yuba (2013) also states that the archives are responsible for the assessment of classification systems, granting disposal authority, and facilitating training. Hence, it can be concluded that the services provided by the LPARS were adequate to ensure the proper management of records throughout the life cycle of said records. Through the assessment and approval of classification systems and ensuring that approved file plans are used, provincial archives play a supportive role in ensuring that records are well managed from the creation stage. In the last stage of the life cycle of a record, the archival institution appraises the records, grants disposal authority, and facilitates the final destruction or transfer of records to an archival repository.

5.3.2 Records management support

The second research question of the study was “What records management support is provided by the Limpopo Provincial Archives to the provincial departments throughout the record life cycle?” The findings revealed that the LPARS provided support to departments in the form of advice on issues relating to records management, they oversaw and helped improve record-keeping processes, they served as the guardians of the rights of departments and records officials in issues relating to records management, and they provided measures on how to arrange, describe and retrieve records. The findings further revealed that archives provided support in assisting them with the development of records prescripts such as records procedure manuals that would guide record managers to manage current records created inside the institution.

In addition, the archives provided support by allowing the provincial departments to transfer archival records to the archives’ repository. The findings further revealed that although the LPARS provided support to departments, but this support provided was not sufficient because there was usually a delay when requesting services because the LPARS was responsible for many organisations and they had only a few archivists, therefore, the workload was too much for them. In addition, the LPARS did not have transport to support their regular visits. As such, it is not surprising that the departments deemed the support provided by the LPARS as not enough.

However, this may ultimately hinder the management of records throughout their life cycle, as the support provided by the archives forms part of a puzzle upon which effective records management rests. In accordance with section 5(1) of the National Archives Act, the archive is required to implement measures to arrange, describe, and retrieve records. The archive is also required to provide information, consultation, research, and other services related to records. Moreover, also performs outreach activities and functions by means of publications, exhibitions, and lending of records. Additionally, Ketelaar (2012) emphasises the need for archivists to take their role as both the guardians and servants of records seriously. However, none of this can be done if archivists lack the resources.

5.3.3 Resourcing of archives

The third research question of the study was “How is the Limpopo Provincial Archives resourced to support records management in the provincial departments throughout the record life cycle?” The findings revealed that the LPARS was not adequately resourced to render services and provide support to departments as expected. The findings also revealed that the LPARS was not sufficiently resourced to support records management services in the departments because there was a lack of staff, insufficient budget, and a lack of transport, stationery, tools, and protective clothing. These findings supported the findings of item 5.3.2 on records management support which indicated that the support provided by the LPARS was not sufficient due to a shortage of staff.

A study by Peterson (2018) also revealed that archives have financial constraints that hamper the implementation of records management programmes such as archives being unable to provide training for those manning records like registry clerks and records managers. Additionally, Garaba (2013) notes that archives are faced with a lack of resources and a lack of proper infrastructure, which affects proper records management, as most records management activities are dependent on finances, transport, equipment, and having stationery (Osebe et al., 2018:301).

5.3.4 Benefits of archival services

The fourth research question was “What are the benefits of services rendered by the Limpopo Provincial Archives to the Limpopo provincial departments in ensuring proper records management throughout the life cycle of a record in Limpopo Province?” The findings revealed that the benefit of archival services was that they enabled organisations to properly fulfil their records management mission. The mission is to have access to accurate information, promote cost-effective use of government resources, and help with the reduction of litigation costs. In addition, archival services help the government to conduct its day-to-day business efficiently, underpin the planning and the development of policies, and help departments to manage their storage areas well through appraisal and to avoid incurring high costs to keep records.

The findings further revealed that archival services help in ensuring the protection of records to ensure the long-term preservation of records, that control of records is exercised, and a loss of records is eliminated. Moreover, archival services ensure that records created or received are classified properly for ease of retrieval and access. In addition, archival services help with the implementation of an effective disposal programme and ensure that organisations are held accountable for their actions. This is done through keeping accurate and complete evidence of business transactions and communication. Thus, helping to promote openness and transparency of processes in governance. Archival services further help with the monitoring and evaluation of business activities.

Although it is evident that archival services have benefits, as clearly stipulated in section 10(1) of the National Archives Act, it can be concluded that the benefits are not fully enjoyed and may not cover the entire life cycle of a record. This is because of the findings in the previous items number 5.3.2 and 5.3.3, which revealed the insufficient records management support to departments and a lack of resources to render archival services and support to departments. As such, it becomes impossible for departments to fully enjoy the benefits of services and support which are not provided to their satisfaction. Failure to implement proper records management practices leads to compromised public accountability, poor service delivery, and failure of archives to implement their mandatory obligations (Msibi, 2015:04; Ngoepe & Jiyane, 2015:69; Motsi, 2017:23).

5.3.5 Legislation governing records management

The fifth research question was “How does the Limpopo Provincial Archives enforce the implementation of the records management legislation throughout the life cycle of a record?” The findings reveal that the LPARS enforced the implementation of records management legislation by sensitising the departments about the consequences stipulated in the National Archives Act for persons who wilfully damage any public or non-public records in the control of a governmental body, or other than in accordance with the archival act or any other law, removes, destroys, or erases such records.

The findings further revealed that the LPARS enforced the implementation of records management legislation by advising departments in writing when they were found to be disregarding legislation, and issue directives on a frequent basis guiding departments on what was expected of them. Additionally, the findings further revealed that archives ensure the implementation of records management legislation by educating the government department regarding these pieces of legislation. Furthermore, archives advise the departments via word of mouth when they are found to be disregarding legislation.

Furthermore, the archives discourage the disposal of records without their approval, authority, and supervision. Moreover, the findings revealed that the provincial archives enforce the implementation of records management legislation through the approval of policies, and classification systems. Additionally, the archives conduct inspections on the status of records and compliance monitoring. The findings of this study contradicted the literature review of the study. The literature revealed that in South Africa, organisations seem to lack attentiveness to follow guidelines and processes (Van der Walt & Schellnack-Kelly, 2015). In addition, a study by Hamooya et al. (2011:117) found that archives legislation in Zambia is outdated and therefore inhibits the National Archives of Zambia from playing a vital role in the management of public records.

However, the findings of the study revealed that departments do adhere to records management legislation, regardless of the Limpopo Provincial Archives Act being outdated and incomplete, as indicated in 4.6. Nonetheless, there is still room for improvement. For instance, the findings of the document analysis indicated that most departments did not have a destruction register. This may be the reason why departments keep records for longer than they are needed and subsequently have challenges with storage space. Moreover, there seems to be a lack of understanding regarding the instructions contained within file plans used in departments. For example, all underlined descriptions within a file plan indicate the subject heading only and a subdivision must be made for these subject descriptions as no file can be opened for any underlined descriptions (National Archives and Records Service of South Africa, 2003:08).

Regardless of this instruction, most departments have assigned retention periods to such descriptions. Furthermore, there seems to be a lack of understanding and the incorrect use of disposal symbols. The findings of the document analysis revealed that the symbol AP was never used in the file plans in the provincial departments. The symbols that were mostly used were A and D. This resulted in all policy records being regarded as A20, while most of the policy records did not even meet the requirements of being transferred to the archives under normal circumstances. This is because the A20 symbol indicates records that were found to have archival value.

The mother body must keep such records for 20 years from the date the record was created. After 20 years have passed, such records must be transferred to archives in accordance with section 11(2) of the National Archives Act. Policy records that did not meet the requirements of being transferred to archives for permanent preservation, may be given the AP symbol and may be preserved permanently within the institution. Such records can only be transferred to the archives if an organisation closes down. In view of all these shortfalls, the findings of the study revealed the following strategies that can be used to ensure that departments fully adhere to legislation and regulations throughout the life cycle of a record. These strategies are as follows:

- The LPARS should monitor all departments regularly. These visits should be unplanned to provide assistance to all government departments to ensure uniformity and compliance with legislation.
- The LPARS should inspect the records department at least twice quarterly and issue circulars and flyers to all departments.
- The LPARS and departments should stay on track with changing laws and regulations, and ensure their employees follow procedures.
- The LPARS should brief the management at all departments about the importance of legislation and compliance, and the management should then lead by example.
- All employees should be trained or workshopped on policies, acts, and legislation, and should be supplied with said policies, legislation, and acts.

- The LPARS should take actions against any persons who fail to abide by the laws of the archives.
- Heads of departments and members of the executive council should become involved in matters related to records management and should be hands-on and provide support financially on records management matters.

5.3.6 Strategies for appropriate archival support for records management

The sixth research question was “Which strategies can be proposed to ensure appropriate archival support for records management to government departments?” The findings of the study revealed that archival support for records management can be improved through the allocation of archives staff per department to provide support. Furthermore, archives can provide support by conducting educational workshops for officials who are given the task or responsibility of managing records. Moreover, support can be provided through the issuing of continuous circulars and development of an archives roster to know when they will visit the department. In addition, the findings revealed that archives should enforce departments to hire more staff as records management is very broad and needs a team to realise their goals.

Limited staff will ultimately fail them (archivist). Furthermore, archives must provide support and training to employees who are working with records on a day-to-day basis. This is to ensure the protection of records and to conduct inspections on a regular basis, provide actions regarding non-compliance, and annual awards for best performers. The findings further revealed an urgent need for the archives to be supported in terms of providing training to archivists and the establishment of information and knowledge-sharing forums. Other strategies include the provision of resources to render archival services and an increase of monetary resources. The lack of resources at archives has been highlighted in item 5.3.3 and, as such, it does not come as a surprise that the resourcing of the archives is also highlighted here.

5.4 SUMMARY

This chapter provided the discussion and interpretation of the findings in accordance with the research questions and objectives. The findings identified the records management services and support provided by the archives. The findings further showed how archives are resourced and the benefit of archival services. Moreover, the findings showed how adherence to records management legislation is enforced and the strategies that can be used to ensure archival support. The next chapter provides for the summary, conclusion, and recommendations of the study.

CHAPTER 6

SUMMARY, CONCLUSION AND RECOMMENDATIONS

6.1 INTRODUCTION

The previous chapter provided the discussion and interpretation of the findings. This chapter provides the summary of the findings, conclusions, and recommendations of the study in accordance to the objectives of the study. Chapter 6 further provides the limitations of the study and the recommendations for further studies.

6.2 SUMMARY OF THE FINDINGS

This section provides the summary of the study thematically based on the objectives.

6.2.1 Summary of the findings on records management services

The summary of the first objective relate to records management services provided by the LPARS to the provincial departments throughout the record life cycle. Records management services provided by the archives are as follows:

- Granting of disposal authorities
- Facilitating and monitoring the disposal or transfer of records
- Conducting appraisal of records
- Assessing and approval of classification systems
- Providing records management training
- Conducting records management inspections
- Monitoring of the government institutions for compliance with records management policies and procedure manuals
- Providing advisory on best practices of records management

6.2.2 Summary of the findings on records management support

The summary of the second objective pertaining to the records management support provided by the LPARS to the provincial departments throughout the record life cycle is as follows:

- Archives advise on issues relating to records management.
- Archives oversee and provide assistance to improve record-keeping processes.
- Archives serve as the guardians of the rights of departments and records officials in issues relating to records management.
- Archives provide measures on how to arrange, describe and retrieve records.
- Archives assist departments with the development of records prescripts such as records procedure manuals.
- Archives provide support through allowing the provincial departments to transfer archival records to the archives' repository.

6.2.3 Summary of the findings on resourcing of archives

The summary of the third objective pertaining to the extent to which the LPARS was resourced to render their services to support records management in the provincial department throughout the record life cycle is as follows:

- Archives are not adequately resourced to render services and provide support to departments.
- The archives lacked staff such as strategic personnel, such as a provincial archivist.
- The budget allocation is insufficient.
- There was a lack of transport for archivists to use in order to provide archives services to the departments and for the transportation of records. Archives officials used their own transport to help provincial departments and this hinders them from fully extending their services to other departments outside Polokwane.
- There is a lack of stationery, tools, and protective clothing.

6.2.4 Summary of the findings on benefits of archival services

The summary of the fourth objective pertaining to the benefits of the services rendered by the LPARS to the provincial departments in ensuring proper records management throughout a record life cycle in Limpopo is as follows:

- Archival services enable organisations to fulfil proper records management missions to have access to accurate information.
- Archival services promote the cost-effective use of government resources and help with the reduction of litigation costs.
- Archival services help government in the efficient conduct of its day-to-day business.
- Archival services underpin the planning and development of policies and help departments to manage their storage areas well through appraisal and to avoid incurring high costs to keep records.
- Archival services help in ensuring the protection of records to ensure long-term preservation.
- Archival services ensure that control of records is exercised and loss of records eliminated.
- Archival services ensure that records created or received are classified properly for ease of retrieval and access.
- Archival services help with the implementation of an effective disposal programme.
- Archival services ensure that organisations are held accountable for their actions; they keep accurate and complete evidence of business transactions and communication.
- Archival services help to promote openness and transparency of processes in governance.
- Archival services further help with the monitoring and evaluation of business activities.

6.2.5 Summary of the findings on legislation governing records management

The summary of the fifth objective pertaining to the extent to which the LPARS enforced the implementation of the records management legislation throughout the record life cycle is as follows:

- Provincial archives enforce the implementation of records management legislation.
- There seems to be unwillingness to develop and use a destruction register.
- There is also a lack of understanding regarding instructions contained in file plans used in departments.
- There is a lack of understanding and incorrect use of disposal symbols. The A20 symbol is overly and incorrectly used because files that do not meet the requirements have been assigned the A20 symbol.

6.2.6 Summary of the findings on strategies that can be used in ensuring appropriate archival support for records management

The summary of the sixth objective pertaining to recommended strategies that may be used in ensuring appropriate archival support for records management is as follows:

- Archival support for records management can be improved by allocating archives staff per department to provide support.
- Archival support can also be provided by conducting educational workshops for records officials and providing training for records officials and archivists.
- Moreover, archival support can be improved through the issuing of circulars on matters regarding records management.
- Archival support for records management can also be improved through conducting inspections on a regular basis, the provision of resources to render archival services, and an increase of monetary resources.

6.3 CONCLUSIONS

This section provides the conclusion of the study based on the objectives

6.3.1 Conclusions on records management services

The study concludes that the records management services provided by the archives can help to ensure the proper management of records throughout their life cycle. The records management services provided by archives throughout the life cycle of a record are the granting of disposal authority, facilitating and monitoring the disposal or transfer of records, conducting appraisal of records, assessing and approval of classification systems, providing records management training, and conducting records management inspections. Moreover, records management services provided by archives throughout the life cycle of a record entail the monitoring of the government institutions for compliance in terms of records management policies and procedure manuals and providing advice on best practices of records management.

6.3.2 Conclusions on records management support

The study concludes that the LPARS provided support to departments by advising on issues relating to records management and overseeing and helping improve record-keeping processes. The LPARS served as the guardians of the rights of departments and records officials in issues relating to records management and provided measures on how to arrange, describe and retrieve records. It was also concluded from the study that the support provided was not sufficient to ensure proper records management throughout the life cycle because there was usually a delay between when services were requested and when it was given, and support was only provided when requested. In addition, the provincial archives did not regularly visit departments to check if they were complying with the management of records. The process of disposal also took long.

6.3.3 Conclusions on resourcing of archives

The study concludes that the LPARS was under-resourced to provide support to departments. The archives lacked sufficient staff, budget, of transport, stationery, tools, and protective clothing. The inadequate resourcing of the LPARS hindered it from providing the departments with the support required for the effective management of records throughout their life cycle. Hence, the study indicated that the archives might be prioritising the main records management services over records management support due to the lack of resources.

6.3.4 Conclusions on benefits of archival services

The study concludes that archival services have benefits for departments. Archival services enable the proper management of records throughout their life cycle. More importantly, archival services also have a profound impact on the overall functioning of departments and service delivery. However, the departments in Limpopo did not fully enjoy the benefits of archival services because of the shortage of staff, inadequate budget, lack of transport, and lack of stationery that was found at the archives. Inadequate resourcing hindered the LPARS from functioning efficiently and effectively for the benefit of departments.

6.3.5 Conclusions on legislation governing records management

The LPARS was doing well in enforcing the implementation of records management legislation. However, due to a lack of resources to fully support departments in ensuring proper records management throughout the life cycle of records, there were still areas in which the implementation of legislation was not fully enforced. For instance, although all departments had functional file plans, they did not fully adhere to instructions contained in the file plans. Some instructions were overlooked, such as the instruction that required a department to have a destruction register. The register is meant to guide departments on the life span of their records and when they can be disposed of. The lack of such register led to records being kept longer than required.

6.3.6 Conclusions on strategies that can be used to ensure appropriate archival support for records management

The study concludes that archival support for records management can be improved through allocating sufficient archives staff per department to provide support and conduct educational workshops for records officials. Furthermore, support for records management can be improved by providing training for records officials and archivists, and issue circulars on records management matters. Archival support for records management can also be improved through conducting inspections on a regular basis, providing resources to render archival services, and increasing monetary resources.

6.4 RECOMMENDATIONS

6.4.1 Recommendations regarding records management services

The records management services provided by the archives were adequate to ensure the proper management of records throughout their life cycle. However, there was a need for improvement in the overall functioning and service delivery of the LPARS. Even running machinery constantly needs servicing for optimal functionality. There is also a greater need for both the LPARS and the departments to ensure collaboration among themselves. This would assist in ensuring effective records management services.

6.4.2 Recommendations regarding records management support

The study recommends that the LPARS must ensure their frequent visibility in the department. This can be done through regularly conducting inspections and performing support visits to departments to check if the departments are complying with the management of records. The study further recommends improvement on the time taken to provide services and support to departments.

6.4.3 Recommendations regarding resourcing of archives

The study recommends that the LPARS should be provided with resources and an increased budget to ensure they are able to provide records management support throughout the record life cycle. There is a need to appoint enough archivists to be able to cover the institutions serviced by the provincial archives. In addition, there is also a need for the provision of working resources like transport for archivists to ensure they are able to visit the departments as and when required. Furthermore, there is a need for a sufficient supply of stationery, tools and protective clothing for archivists to do their work diligently.

6.4.4 Recommendations regarding benefits of archival services

In order for the benefits of archival services to be fully realised and enjoyed by governmental institutions, the challenges faced in rendering archival services and support have to be addressed. Only when archives are able to provide services and support for records management as required, will the benefits of archival services be unquestionable.

6.4.5 Recommendations regarding legislation governing records management

The study recommends strategies that can help to improve adherence to records management legislations throughout the life cycle of a record and that the LPARS should monitor all departments regularly. The visits should be unplanned to provide assistance to all government departments to ensure uniformity and compliance with legislation. Moreover, records management inspections should be conducted at least twice quarterly and circulars and flyers issued to all departments. The LPARS and departments should stay on track with changing laws and regulations and ensuring that their employees follow procedures. The management of all departments should be briefed about the importance of legislation and compliance with records management. There is a need for employees to be trained or workshopped on policies, acts, and legislation, and to be supplied with policies, legislation, and acts. Also, the LPARS should take actions against any person who fails to abide by law of the archives.

It will also be beneficial for heads of departments and members of the executive council to become involved in matters related to records management. Thus, it might also help to ensure that records management is given the necessary support and resources.

6.4.6 Recommendations regarding strategies that can be used to ensure appropriate archival support for records management

On strategies that can be used to ensure the appropriate archival support for records management throughout the record life cycle, the Limpopo Department of Sport, Arts and Culture, together with the National Archives and Records Services, needs to provide appropriate support to the LPARS. The Limpopo Department of Sport, Arts and Culture needs to support the archives in the process of recruiting archives staff. Once the recruitment is done, the archives have to allocate an archivist per department to provide support and render records management services as per departments' demands and needs. The department also needs to provide monetary support, resources, and transportation to the archives to enable them to be optimally functional. This will enable the archives to conduct educational workshops for records officials, to provide training for records officials and archivists, and to conduct inspections on a regular basis. There is also a need for the archives to frequently issue circulars and directives to the departments and communicate matters of records management and developments within the field.

6.5 LIMITATIONS OF THE STUDY

One limitation of the study was that the target population of the study from the Department of Education, the Department of Health and the Department of Co-operative Governance, Human Settlement and Traditional Affairs did not take part in the study because permission was not granted; as this required changes be made to the study. Furthermore, due to covid-19 restrictions and regulations, other participants could not be reached. This affected the response rate; however, it did not have a considerable impact, hence the study went on as planned.

6.6 RECOMMENDATIONS FOR FURTHER STUDIES

This study aimed to investigate the transversal records management mandate to provincial departments by the LPARS. The study was limited to the head office of the provincial departments based in Polokwane and excluded district offices, facilities, and parastatals. As such, it is recommended that other studies be rolled out to all governmental institutions in Limpopo making use of archives services. This study highlighted the lack of understanding of disposal periods among departments. Retention periods play an important role in determining the life span of a record and determining the value of a record. Therefore, it may be beneficial for a study to be conducted focusing solely on the understanding and the use of retention periods within provincial departments. The resourcing of archives has been painted as the number one factor hindering the records management support for effective records management throughout the life cycle of a record. Based on that, a study focusing on resourcing of archives and measures to improve the resourcing of archives could be beneficial.

6.6 CONCLUSION

The study intended to investigate the transversal records management mandate given to provincial departments by the LPARS. Should the recommendations of the study be taken into consideration, the study has the potential to improve records management for the Limpopo provincial government. Proper records management can improve accountability with regard to government dealings and provision of services, thereby leading to improved service delivery. Through the recommendations of the study, the study may help to ensure archival support to the LPARS. Provision of adequate resources to the archives can help to ensure that the archives would be able to render records management services and support as required by the departments. Furthermore, having adequate resources can help the archives to ensure the implementation of records management legislation. Subsequently, this could lead to proper records management in the provincial government.

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APPENDICES

APPENDIX A: QUESTIONNAIRE – RECORDS MANAGEMENT OFFICIALS

Dear Participant

My name is Ouma Malatji, a student at the University of South Africa studying towards a Master's degree (MA). I am conducting a research study entitled ***Limpopo Provincial Archives in support of records management in the provincial departments*** under the supervision of Dr NS Marutha. You are hereby invited to partake in the study. The study has the potential to provide an overview on the role of records management in support of service delivery. Having an overview and understanding of this and the role of archives may lead to the value of records management being realised within government. As records officials, you are selected to participate because you work alongside with the archives and use its services to ensure proper records management practices. As such, you have valuable insight on the support archives provides.

In case those views were taken into consideration, you can benefit by getting better services. Kindly note that participating in this study is voluntary and you are under no obligation to consent. If you do decide to take part, you are free to withdraw at any time and without giving a reason. However, once the questionnaire is submitted it may not be withdrawn. This study has received written approval from the Research Ethics Review Committee of the *Department of Information Science*, Unisa. A copy of the approval letter can be obtained from the researcher if you so wish. Feel free to contact the researcher to require any further information or want to inquire about any aspect of this study.

Thank you for your participation

Section A: General questions

Please make a clear cross (X) where appropriate

1. Please indicate your gender.

Male	
Female	

2. What is your age group?

19-24	
25-30	
31-35	
36-40	
41-45	
46-50	
51-55	
56-60	

3. Which department are you employed in?

Office of the Premier	
Department of Agriculture and Rural Development	
Department of Education	
Department of Social Development	
Department of Health	
Limpopo Provincial Treasury	
Co-operative Governance, Human Settlement and Traditional Affairs	
Department of Transport and Community Safety	
Limpopo Department of Economic Development, Environment and Tourism	
Department of Safety, Security and Liaison	
Department of Sport, Arts and Culture	

Department of Public Works Roads and Infrastructure	
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4. Where are you placed within the records management section?

Registry	
HR records	
Other; please specify.....	

5. What is your job title (designation)?

Director	
Deputy Director	
Assistant Director	
Senior registry Clerk	
Registry Clerk	
Records officer	
Other; please specify.....	

6. How long is your experience in records management field?

Less than a year	
1 -3 years	
4-5 years	
6-7 years	
8-9 years	
10+ years	

7. What is your educational level?

Doctorate	
Master's	
Honours	

Degree	
Diploma	
Matriculate	
Below Matriculation	

8. If post-matric qualification, what is your educational field of study?

Archives and records management	
Information science/studies	
Information management	
Knowledge management	
History	
Public administration	
Business administration	
Other; please specify	

9. Are you aware of the existence of archives?

Yes	
No	

Section B: Archival services

Please make a clear cross (X) where appropriate

10. Has your department been provided with sufficient archives services from Provincial Archives?

Yes	
No	

11. Please provide reasons for your answer in number 10

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12. How often does your department receive/use archives services from Provincial Archives in a year?

The department I work for does not make use of or receive archives services	
Quarterly	
More than once in a quarter	
Half yearly	
Yearly	
Other; please specify.....	

13. Which of the following service(s) have been provided by the Provincial archives to your department? **Please tick all that are relevant or applicable.**

Records management training	
Conduct records management inspections	
Conduct appraisal of records	
Grant disposal authorities for records to be disposed	
Facilitates and monitors the disposal or transfer of records	
Assess and approve classification systems(e.g. file plan, registry procedure manuals)	
Providing templates for classification systems	
Ensure compliance to records management policies and legislation	
Provide publications that shape records management policies	
Issue directives and instructions as to the management and care of public records	
Provide guidance and approval for conversion of records formats	
Provide guidance and approval of electronic system	
Develop and provide policy guidelines for records management	
Other, please specify.....	

Section C: Archival support for records management

14. Do you think your department is receiving sufficient archival support from the Provincial Archive? *Please make a clear cross (X) where appropriate*

Yes	
No	

15. Please support your answer in number 14 with reasons

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16. In addition to providing the above-mentioned service(s) in 13, the archives have also provided the following support to the department I am employed at:

Please tick, more than one answer is allowed.

The archives serve as the guardians of the rights of departments and records officials in issues relating to records management	
Oversee and help improve record-keeping processes	
Provide advice on issues relating to records management	
Provide information, consultation, research, and other services related to records;	
Safeguard the integrity of records/material and protect it from any forms of manipulation, mutilation, falsification, or censorship.	
Form part of records management forum in the department I am employed	
Provide measures on how to arrange, describe and retrieve records	
Other; please specify	

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.....

Section D: Benefits of archival services

Please make a clear cross (X) where appropriate

17. Do you think archival services have benefits to the department?

Yes	
No	

18. If your answer in 17 is Yes, please indicate the extent to which you agree with the following statements regarding the benefits of archival services in your department based on a scale of 1-5 (1=strongly disagree, 2=disagree, 3=neutral, 4=agree, 5=strongly agree)

Archival services	1	2	3	4	5
Archival services enable the management of records through support for effective records management programme					
Archival services enable organisations to fulfil proper records management mission to have access to accurate information					
Archival services promote cost-effective use of government resources (for example reduction of storage costs due to disposal of records)					
Archival services help with reduction of litigation costs as records are located in time when requested;					
Archival services have a direct benefit to government in the efficient conduct of its day-to-					

day business and underpins planning and the development of policies					
Archives provide support for appraisal and disposal that help organisations in managing their storage areas well and to avoiding incurring high costs to keep records.					
Archives support with appraisal helps with reduction of litigation costs as located in time when requested					
Archives provide support for protection of records to ensure long-term preservation					
Archives support with proper records management that ensures control of records is exercised and loss of records is eliminated					
Archives assist with proper file plan to ensure that records created or received classified properly for ease of retrieval and access.					
Archives provide guidance and approval to file plan that helps with implementation of an effective disposal programme.					
Archives assist with proper records management to ensure that organisations are held accountable for their actions, keep accurate and complete evidence of business transactions and communication, and promoting openness and transparency of processes in governance.					
With archival support, reliable records are kept for business activities monitoring and evaluation, to assess whether individual organisations have actually carried out the actions and transactions that they had to execute, or whether they ensured					

that these actions and transactions meet the criteria of efficiency, legitimacy or the principles of good governance					
Other; please specify:.....					

Section E: Records management legislation

Please make a clear cross (X) where appropriate

20. Are you knowledgeable about legislation governing records management?

Yes	
No	

21. Please support your answer in 20

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22. Do you think your organisation adheres to legislation governing records management?

Yes	
No	

23. If your answer 22 is Yes, please rate your department's level of adherence to the following legislation on a scale of 1-5 (1=very poor, 2=poor, 3=neutral, 4=good, 5=very good).

Legislation	1	2	3	4	5
Constitution of the republic of South Africa (No. 108 of 1996)					
National Archives of South Africa Act (No. 43 of 1996)					
Limpopo Provincial Archives Act (No. 5 of 2001)					

Promotion of Access to Information Act (No. 2 of 2000)					
Promotion of Administrative Justice Act (No. 3 of 2000)					
Public Finance Management Act (No. 1 of 1999)					
Protection of Information Bill (B 28 of 2008)					
Other; please specify					
.....					
.....					
.....					

24. Do you think Limpopo Provincial Archives enforces implementation of the records management legislation?

Yes	
No	

25. Please provide reasons for your answer in 24

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26. If your answer in 24 is Yes, please indicate the extent to which you agree with the following statements regarding how the Limpopo Provincial Archives enforces implementation of the records management legislation based on a scale of 1-5 (1=strongly disagree, 2=disagree, 3=neutral, 4=agree, 5=strongly agree).

Enforcement of records management legislation	1	2	3	4	5
Provincial archives sensitise the departments about the consequences stipulated in the National Archives Act of the person who wilfully damages any public or non-public record in the control of a governmental body, or other than in accordance with this act or any other law, removes, destroys or erases such record. That is, a fine or imprisonment for a period not exceeding two years or both such fine and imprisonment to a person, or a fine not exceeding R5 000.					
Provincial archives take legal action against any person who fails to comply with a request.					
Provincial archives enforce implementation of legislation through educating governmental department regarding legislation					
Provincial archives issue directives on a frequent basis guiding department on what is expected of them					
Provincial archives advise in writing the departments when they are found to be disregarding legislation					
Provincial archives advise by word of mouth the departments when they are found to be disregarding legislation					
Other actions to enforce legislative framework by archive, please list					

27. What is it that you think the Provincial Archives are not doing to enforce compliance to legislation in the department?

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28. Which strategies do you propose in ensuring appropriate archival support for records management to government departments?

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29. Which strategies do you think may assist in ensuring compliance to legislation by departments?

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Thank you for your participation

APPENDIX B: INTERVIEW SCHEDULE- ARCHIVES OFFICIALS

Dear Prospective Participant

My name is Ouma Malatji, a student at the University of South Africa studying towards a Master's degree (MA). I am conducting a research study entitled ***Limpopo Provincial Archives in support of records management in the provincial departments*** under the supervision of Dr NS Marutha. You are hereby invited to partake in the study. The study has the potential to provide an overview on the role of records management in support of service delivery. Having an overview and understanding of this and the role of archives may lead to the value of records management being realised within government. As archives officials, you have been chosen to partake in the study as you in a better position to provide insight on the support archives provides to provincial departments as its stakeholders, archives services resourcing and the extent to which archives upholds and enforces implementation of the records management legislation

Kindly note that participating in this study is voluntary and you are under no obligation to consent. If you do decide to take part, you are free to withdraw at any time without giving a reason. However, once the questionnaire is submitted it may not be withdraw. This study has received written approval from the Research Ethics Review Committee of the *Department of Information Science*, Unisa. A copy of the approval letter can be obtained from the researcher if you so wish. Feel free to contact the researcher to require any further information or want to inquire about any aspect of this study.

Thank you for your participation

Questions

- 1. What records management service(s) do you think are provided by the Limpopo Provincial Archives to the provincial departments?

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- 2. What records management support do you think is provided by the Limpopo Provincial Archives to the provincial departments?

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- 3. To what extent do you think is the Limpopo Provincial Archives resourced to support records management in the departments? Are they receiving enough resources? Please justify your answer

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4. How does the Limpopo Provincial Archives enforce implementation of the records management legislation?

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5. Which strategies do you think may assist in ensuring archival support to provincial archives?

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6. Which strategies do you propose in ensuring appropriate archival support for records management to government departments?

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Thank you for your participation

APPENDIX C: CONSENT FORM

CONSENT TO PARTICIPATE IN THIS STUDY

I, _____ (participant name), confirm that the person asking my consent to take part in this research has told me about the nature, procedure, potential benefits and anticipated inconvenience of participation.

I have read (or had explained to me) and understood the study as explained in the information sheet.

I have had sufficient opportunity to ask questions and am prepared to participate in the study.

I understand that my participation is voluntary and that I am free to withdraw at any time without penalty (if applicable).

I am aware that the findings of this study will be processed into a research report, journal publications and/or conference proceedings, but that my participation will be kept confidential unless otherwise specified.

Participant Name & Surname..... (please print)

Participant Signature.....Date.....

Researcher's Name & Surname.....(please print)

Researcher's signature.....Date.....

APPENDIX D: ETHICAL CLEARANCE FROM UNISA COLLEGE OF HUMAN SCIENCE



COLLEGE OF HUMAN SCIENCES RESEARCH ETHICS REVIEW COMMITTEE

07 September 2020

Dear Mrs Ouma Malatji

NHREC Registration # :
Rec-240816-052
CREC Reference # : 2020-
CHS -56820720

Decision:
Ethics Approval from 17 August
2020 to 31 August 2024

Researcher(s): Mrs Ouma Malatji

(56820720@mylife.unisa.ac.za)

Supervisor: Dr NS Marutha

(emarutns@unisa.ac.za)

Title: Limpopo Provincial Archives in Support of records management in the Provincial Departments

Degree Purpose: Masters

Thank you for the application for research ethics clearance by the Unisa College of Human Science Ethics Committee. Ethics approval is granted for three years.

The *low risk application* was reviewed and expedited by College of Human Sciences Research Ethics Committee, on **03 September 2020** in compliance with the Unisa Policy on Research Ethics and the Standard Operating Procedure on Research Ethics Risk Assessment.

The proposed research may now commence with the provisions that:

1. The researcher(s) will ensure that the research project adheres to the values and principles expressed in the UNISA Policy on Research Ethics.
2. Any adverse circumstance arising in the undertaking of the research project that is relevant to the ethicality of the study should be communicated in writing to the College Ethics Review Committee.
3. The researcher(s) will conduct the study according to the methods and procedures set out in the approved application.




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4. Any changes that can affect the study-related risks for the research participants, particularly in terms of assurances made with regards to the protection of participants' privacy and the confidentiality of the data, should be reported to the Committee in writing, accompanied by a progress report.
5. The researcher will ensure that the research project adheres to any applicable national legislation, professional codes of conduct, institutional guidelines and scientific standards relevant to the specific field of study. Adherence to the following South African legislation is important, if applicable: Protection of Personal Information Act, no 4 of 2013; Children's act no 38 of 2005 and the National Health Act, no 61 of 2003.
6. Only de-identified research data may be used for secondary research purposes in future on condition that the research objectives are similar to those of the original research. Secondary use of identifiable human research data require additional ethics clearance.
7. No fieldwork activities may continue after the expiry date (**31 October 2023**). Submission of a completed research ethics progress report will constitute an application for renewal of Ethics Research Committee approval.

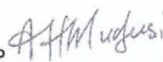
Note:

*The reference number **2020-CHS- 56820720** should be clearly indicated on all forms of communication with the intended research participants, as well as with the Committee.*

Yours sincerely,

Signature : 

Dr. K.J. Malesa
CHS Ethics Chairperson
Email: maleski@unisa.ac.za
Tel: (012) 429 4780

Signature : PP 

Prof K. Masemola
Executive Dean : CHS
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APPENDIX E: ETHICAL CLEARANCE FROM UNISA DEPARTMENT OF INFORMATION SCIENCE



DEPARTMENT OF INFORMATION SCIENCE ETHICS REVIEW COMMITTEE

11 December 2020

Dear Mrs Ouma Malatji

Decision:

**Ethics Approval from 11
December 2020 to 11
December 2025**

DIS Registration #: Rec-11122020

References #: 2020-DIS-0034

Name: O Malatji

Student #: 56820720

Researcher(s): Mrs Ouma Malatji
56820720@mylife.unisa.ac.za

Supervisor(s): Dr NS Marutha
emarutns@unisa.ac.za

Limpopo Provincial Archives in support of records management in the provincial Departments

Qualifications: Masters Study



University of South Africa
Preller Street, Muckleneuk Ridge, City of Tshwane
PO Box 392 UNISA 0003 South Africa
Telephone: +27 12 429 3111 Facsimile: +27 12 429 4150
www.unisa.ac.za

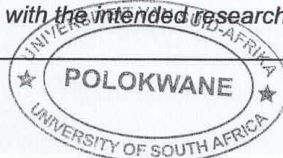
Thank you for the application for research ethics clearance by the Unisa Department of Information Science Research Ethics Committee for the above-mentioned research.

The **low risk application** was reviewed and expedited by the Department of Information Science Research Ethics Committee on 11 December 2020, 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 **11 December 2025**. Submission of a completed research ethics progress report will constitute an application for renewal of Ethics Research Committee approval.

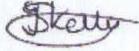
Note:

*The reference number **2020-DIS-0034** should be clearly indicated on all forms of communication with the intended research participants, as well as the Committee.*



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www.unisa.ac.za

Yours sincerely



Dr Isabel Schellnack-Kelly
Department of Information Science: Ethics Committee
schelis@unisa.ac.za
012 429 6936



University of South Africa
Preller Street, Muckleneuk Ridge, City of Tshwane
PO Box 392 UNISA 0003 South Africa
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APPENDIX F: INTRODUCTORY LETTER



University of South Africa
School of Arts
Department of Information Science
P.O Box 392
UNISA
0003
Tel: (012) 429 6709
E-Mail: emarutns@unisa.ac.za
www.unisa.ac.za

07 August 2020

To whom it may concern

This letter serves to introduce Mrs. Ouma Malatjie, who is registered as a master's student in the Department of Information Science at the University of South Africa (UNISA). She is currently carrying out a study titled "*Limpopo Provincial Archives in support of records management in the provincial departments*". The aim of the study is to study the support provided by Provincial Archive for management of records in the government departments of the Limpopo Province of South Africa. Adding to supporting service delivery to the business that create records, the significant of proper records management in building up the archival collection as a future memory of the state cannot be overemphasised.

In discharging the research project, Mrs Malatji will need to collect data using the questionnaire, interview, observation and document analysis in the Limpopo Provincial Archives and Provincial Departments. It is on that basis that the Department of Information Science is kindly requesting you to provide any possible support for her to collect the data for the study with ease.

In instances where you need any further clarity about the study, please feel free to contact the supervisor of the research study, Dr Marutha Ngoako on telephone (012) 429 6709; Cellphone 081 728 0706; E-mail emarutns@unisa.ac.za.

Thank you for the support in anticipation

Yours faithfully

A handwritten signature in black ink, appearing to read 'NS Marutha', is written over a horizontal line.

Dr NS Marutha
Research Project Supervisor
Department of Information science



University of South Africa
Pretia Street, Midrand, City of Tshwane
PO Box 392 UNISA 0003 South Africa
Telephone: +27 12 429 3111 Facsimile: +27 12 429 4190
www.unisa.ac.za

APPENDIX G: REQUEST TO CONDUCT RESEARCH



P O Box 439
Polokwane
0700
08 January 2021

To: The Director General
Office of the Premier
Private Bag X9483
Polokwane
0700

Attention: Records management section

To whom it may concern

Request for permission to conduct research at Office of the Premier

1. This matter bears reference
2. My name is Ouma Malatji, a student at the University of South Africa studying towards a Master's degree (MA). I am conducting a research study entitled *Limpopo Provincial Archives in support of records management in the provincial departments* under the supervision of Dr Marutha NS, Doctor in the Department of Information Science.
3. I hereby request permission to conduct research at Office of the Premier. I also request permission to have access to your records management policy, file plan(s), registry procedure manual and other policies and regulations related to records management.
4. The purpose of the study is to investigate the support provided by Provincial Archive for management of records in the government departments of the Limpopo Province of South Africa.
5. The department was chosen because they are likely to have information which can be used to answer the research questions of the study. The study will entail the collection of data from records officials through the use of questionnaires.
6. With regard to the benefits of the study, the study has the potential to provide an overview and add new knowledge to existing literature on records management support to service delivery. It may also add literature about resourcing of archives to enables rendering of services to government bodies responsible for records management. The study further provides an overview on the benefits of the services rendered by archives to governmental bodies in ensuring proper records



University of South Africa
Pretor Street, Middelburg Ridge, City of Tshwane
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www.unisa.ac.za

CONFIDENTIAL

LIMPOPO PROVINCIAL RESEARCH COMMITTEE

APPLICATION FOR RESEARCH PROPOSAL APPROVAL

- Type in the required information.
- Complete all the forms

FORM A – PART I

PROJECT TITLE: Limpopo Provincial Archives in support of records management in the provincial departments


PROJECT LEADER/SUPERVISOR: DR NS Marutha

DECLARATION

I, the signatory, hereby apply for approval of the research proposal and declare that:

1. The proposal is my original work and
2. I undertake to provide every person who participates in this research project with the relevant information

Name of Researcher: Malatji Ouma

Signature: 

Date: 10/02/2021

For Official use by the Research Committee:

Approved/Not approved

Remarks:.....
.....
.....

Signature of Chairperson:.....

Date:.....

APPENDIX H: PERMISSION TO COLLECT DATA FROM OP

CONFIDENTIAL



OFFICE OF THE PREMIER

Office of the Premier

Research and Development Directorate

Private Bag X9483, Polokwane, 0700, South Africa

Tel: (015) 230 9910, Email: mokobij@premier.limpopo.gov.za

LIMPOPO PROVINCIAL RESEARCH ETHICS COMMITTEE CLEARANCE CERTIFICATE

Meeting: February 2021

Project Number: LPREC/23/2021: PG

Subject: Care of Records in the Provincial Departments by the Limpopo Provincial Archives

Researcher: Malatji O

Dr Thembinkosi Mabila

Chairperson: Limpopo Provincial Research Ethics Committee

The Limpopo Provincial Research Ethics Committee (LPREC) is registered with National Health Research Council (NHREC) Registration Number REC-111513-038.

Note:

- i. This study is categorized as a Low Risk Level in accordance with risk level descriptors as enshrined in LPREC Standard Operating Procedures (SOPs)
- ii. Should there be any amendment to the approved research proposal; the researcher(s) must re-submit the proposal to the ethics committee for review prior data collection.
- iii. The researcher(s) must provide annual reporting to the committee as well as the relevant department and also provide the department with the final report/thesis.
- iv. The ethical clearance certificate is valid for 12 months. Should the need to extend the period for data collection arise then the researcher should renew the certificate through LPREC secretariat. PLEASE QUOTE THE PROJECT NUMBER IN ALL ENQUIRIES.

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LIMPOPO
PROVINCIAL GOVERNMENT
REPUBLIC OF SOUTH AFRICA

OFFICE OF THE PREMIER

TO: MS MALATJI O

FROM: DR T MABILA

ACTING CHAIRPERSON: LIMPOPO PROVINCIAL RESEARCH COMMITTEE (LPRC)

DATE: FEBRUARY 2021

**SUBJECT: CARE OF RECORDS IN THE PROVINCIAL DEPARTMENTS BY THE LIMPOPO
PROVINCIAL ARCHIVES**

RESEARCHER: MALATJI O

Dear Colleague

The above researcher's research proposal served at the Limpopo Provincial Research Committee (LPRC). The committee is satisfied with the methodological soundness of the proposed study.

Decision: The research proposal is granted full research approval.

Regards

Acting Chairperson: Dr T Mabila

A handwritten signature in black ink, appearing to be 'T Mabila'.

Secretariat: Ms J Mokobi

A handwritten signature in black ink, appearing to be 'J Mokobi'.

Date: 15/03/2021

APPENDIX I: PERMISSION TO COLLECT DATA FROM DARD



DEPARTMENT OF AGRICULTURE AND RURAL DEVELOPMENT

Ref: 12R

Enquiries: Dr T. Raphulu

05 May 2021

Ouma Malatji
UNISA

RE: APPLICATION TO CARRY OUT RESEARCH UNDER THE DEPARTMENT OF AGRICULTURE & RURAL DEVELOPMENT IN LIMPOPO PROVINCE

1. Your letter/email dated 03/05/2021 of request for permission to do research has reference.
2. Kindly take note that your request to conduct research titled "Care of records in the provincial departments by the Limpopo Provincial Archives" has been granted. Permission to conduct research is valid from 10th May 2021 to 30th July 2021.
3. You are required to contact the office of the Deputy Director: HR Records to brief them on the study, to request records management officials participation and the assistance in accessing records.
4. The Research team is required to conform to lockdown regulations in order to mitigate the spread of COVID 19.
5. Kindly take note that you will be expected to hand over a copy of your final report to the Department for record purposes as well as for reporting. You may also be invited to share your findings in the Departmental Research Forum.
6. Hoping that you will find this in order.

Kind regards

A handwritten signature in black ink, appearing to read "T. Raphulu".

Dr. T. Raphulu
Chairperson: Research Committee

10/05/2021

Date

67/69 Biccand Street, POLOKWANE, 0700. Private Bag X9487, Polokwane, 0750

Tel: (015) 294 3155 Fax: (015) 294 4512 Website: <http://www.dla.gov.za>

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APPENDIX J: PERMISSION TO COLLECT DATA FROM DSD



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LIMPOPO
PROVINCIAL GOVERNMENT
REPUBLIC OF SOUTH AFRICA

DEPARTMENT OF SOCIAL DEVELOPMENT

Ref : S4/3/2
Enq : MJ Moloisi
Tel : 015 230 4381 / 082 457 7120
Email : MoloisiMJ@dsd.limpopo.gov.za

Ms O Malatji
P O Box 439
Polokwane
0700

Dear Ms Malatji

**SUBJECT: CARE OF RECORDS IN THE PROVINCIAL DEPARTMENTS BY THE
LIMPOPO PROVINCIAL ARCHIVES**

The above matter has reference.


This serves to acknowledge receipt of the research review outcome from the Limpopo Provincial Research and Ethics committees which sit at the Office of the Premier certifying that Ms O Malatji has been granted full approval and ethical clearance to conduct a study titled: "*Care of records in the Provincial Departments by the Limpopo Provincial Archives*".

The purpose of the study is to investigate the care of records throughout their life cycle by the Limpopo Provincial Archives in the provincial departments. The study is significant because it has the potential to provide an overview and add new knowledge to existing literature on records management support to service delivery.

The total population of the study is 173 participants, comprising of 163 records management officials from the various provincial departments and 10 archivists from provincial archives and records service in Limpopo Province. In case of the Limpopo Department of Social Development, three (3) record management officials will be selected for participation in this study.

In view of the above, this letter grants Ms O Malatji permission to conduct research interviews with the three (3) officials attached to Records Management section at the Limpopo Department of Social Development.

We trust you will find this to be in order.


Acting Head of Department
Limpopo Department of Social Development

31/03/2021
Date

21 Biccard Street, Polokwane, 0700, Private Bag x9710, POLOLKWANE, 0700
Tel: (015) 230 4300, Fax: (015) 291 2298 Website: <http://www.dsd.limpopo.gov.za>

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APPENDIX K: PERMISSION TO COLLECT DATA FROM LPT



LIMPOPO
PROVINCIAL GOVERNMENT
REPUBLIC OF SOUTH AFRICA

PROVINCIAL TREASURY

Enq : Ms Manabalala M L

Tel : 015 298 7190

Ms O Malatji
P O Box 439
Polokwane
0700

Dear Ms Malatji

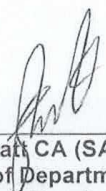
**RE: REQUEST FOR PERMISSION TO CONDUCT ACADEMIC RESEARCH AT
LIMPOPO PROVINCIAL TREASURY**

Your letter dated 08 January 2021 regarding the above mentioned matter bears reference.

Kindly be informed that your request to conduct an academic research study at Provincial Treasury regarding "Limpopo Provincial Archives in support of records management in the Limpopo Provincial Treasury" is approved.

You are requested to adhere to the protection of information ACT 84 of 1982 section 4 in conducting your research.

Lastly, I wish you all the best for your studies.


G C Pratt CA (SA)
Head of Department
Limpopo Provincial Treasury
Date:

APPENDIX L: PERMISSION TO COLLECT DATA FROM DPWRI

LekganyaneSS <LekganyaneSS@dpw.limpopo.gov.za>

Tue, Apr 13,
8:47 AM

to Duba MJ, me

Good morning

Ms Ouma Malatji a permission has been granted that you may come and conduct a research on care of record at our Department(Department of Public Works, Roads, and Infrastructure) as approved by Limpopo Provincial Research Committee.

Regards

Lekganyane SS

Email Disclaimer:

This message contains confidential information and is intended only for the individual(s) addressed in the message. If you are not the intended recipient of this message, please notify the sender immediately, and delete the message and any attachments. Any disclosure, reproduction, distribution or other use of this message or any attachments by an individual or entity other than the intended recipient is prohibited.

APPENDIX M: PERMISSION TO COLLECT DATA FROM DTCS



LIMPOPO
PROVINCIAL GOVERNMENT
REPUBLIC OF SOUTH AFRICA

DEPARTMENT OF
TRANSPORT AND COMMUNITY SAFETY

To: Ms Mulaudzi LJ
Acting HoD: Transport and Community Safety

Ref: S5/3
Enq: Matsena PJ
Ext : 8255

From: Mr Mtebule J
Director: HRM & D

**SUBJECT: REQUEST FOR AUTHORITY TO CONDUCT RESEARCH IN THE
DEPARTMENT: OUMA MALATJI STUDENT NO. 56820720**

1. PURPOSE

This memorandum seeks to request authority to conduct research within the Department of Transport and Community Safety by O Malatji.

2. BACKGROUND

Academics from different Universities are obliged to undertake research in different Institutions as part of their condition for completion of master's degree. Human Resource Development (HRD) as the custodian of development and have drafted a policy that serves as a guideline for the academics intending to undertake research within Department. Researchers are therefore given an opportunity to conduct research on different aspects of their studies.

**SUBJECT: REQUEST FOR AUTHORITY TO CONDUCT RESEARCH IN THE
DEPARTMENT: OUMA MALATJI STUDENT NO.56820720**

O Malatji is currently studying with University of South Africa (UNISA) for the completion of her studies. She has requested to undertake research in the Department.

3. DISCUSSION

The research conducted in the Department will be used for academic purpose only. The researcher will conduct research titled "*Limpopo Provincial Archives in support of records management in the provincial departments*". The researcher will be required upon receipt of an approval to fill in Departmental consent form before commencement of this research. This will ensure that the researcher understands that she has to treat without failure every finding with confidentiality and only use it for her academic purpose only and not share her findings for any reasons beyond her completion of studies.

4. PERSONNEL IMPLICATIONS

Officials in the Department will be requested to assist O Malatji during office hours for filling of questionnaires to be conducted by the researcher for the purpose of the study.

5. FINANCIAL IMPLICATIONS

There will be no financial implications for the Department as the researcher has initiated to conduct the research.

6. COMMUNICATION IMPLICATIONS

O Malatji will be informed as soon as an approval is granted.

7. LEGAL IMPLICATIONS

Legal actions will be taken if the researcher is found not following the code of conduct outlined in the HRD policy.

**SUBJECT: REQUEST FOR AUTHORITY TO CONDUCT RESEARCH IN THE
DEPARTMENT: OUMA MALATJI STUDENT NO.56820720**

8. STRATEGIC FOCUS

To improve institutional capacity by 2020 through provision of quality administration support, government, fleet services, ICT and Corporate governance, sound financial management and procedures.

9. RISK MANAGEMENT PLAN

Attached consent form will be filled and signed before the commencement of the research.

10. ATTACHMENTS

- Consent forms
- A letter from O Malatji

11. RECOMMENDATION/S

It is hereby recommended that Acting HoD approve that O Malatji to conduct research within the Department.




Mr Jabu Mtebule

Director: HRM & D

Date: 2/04/2021

Recommended / not recommended and/or

For approval



Mr Ngoako Mangena

CD: Corporate Services

Date: 12/04/2021

**SUBJECT: REQUEST FOR AUTHORITY TO CONDUCT RESEARCH IN THE
DEPARTMENT: OUMA MALATJI STUDENT NO.56820720**

Approved / ~~Not Approved~~ and/or


Ms Mulaudzi LJ
Acting HoD: Transport and Community Safety
Date: 2021/04/13

APPENDIX N: PERMISSION TO COLLECT DATA FROM LDEDET



LIMPOPO
PROVINCIAL GOVERNMENT
REPUBLIC OF SOUTH AFRICA

DEPARTMENT OF
ECONOMIC DEVELOPMENT, ENVIRONMENT & TOURISM

Ref : S5/5/1
Date : 24 March 2021
Enq : Mathedimosa L.E @ 015 293 8419

To : Ms Malatjie M
From : Director: HRD & PMS

APPROVAL TO CONDUCT RESEARCH ON LIMPOPO PROVINCIAL ARCHIVES IN SUPPORT OF RECORDS MANAGEMENT IN THE PROVINCIAL DEPARTMENTS

1. The above matters bears refers
2. We have pleasure in informing you that your request to conduct research at Department of Economic Development, Environment and Tourism (LEDET) has been approved by the Head of Department.
3. Your request is captured as follows:
 - Limpopo Provincial Archives in support of records management in the Provincial Department.
4. You are permitted to contact the Director Ms Ramadisha MF, information and Records Management to commence with your study. You may contact her at 0825621356

Kind Regards



DIRECTOR
HRD & PMS

HEAD OFFICE

20 Hans Van Rensburg Street / 19 Biccard Street, Polokwane, 0700, Private Bag X 9484, Polokwane, 0700
(Switchboard) Tel: +2715 293 8300 Website: www.ledet.gov.za

 LimpopoLEDET  [www.Facebook.com/pages/LEDET](https://www.facebook.com/pages/LEDET)  @LimpopoLEDET

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APPENDIX O: PERMISSION TO COLLECT DATA FROM DSAC



LIMPOPO
PROVINCIAL GOVERNMENT
REPUBLIC OF SOUTH AFRICA

DEPARTMENT OF SPORT, ARTS AND CULTURE HEAD OFFICE

Ref: S.5/8
Enq: Makgoka K.S
Tell: 015 284 4223
Date: 19 January 2021

To: Head of Department

REQUEST FOR PERMISSION TO CONDUCT RESEARCH: MALATJI O.

1. The above matter refers.
2. The Human Resource Development section has received a special request from one of the post graduate students, Ms Malatji O (student number 56820720) from University of South Africa (UNISA) in the field of Information Science to conduct research for academic purposes only.
3. The research is titled "Limpopo Provincial Archives in support of records management in the provincial departments" (see attached).
4. Ms Malatji O, will sign the oath of secrecy before commencing with the study and also share the research findings with the department. It is therefore recommended that permission be granted for her to conduct research and fulfil her academic requirements.
5. The permission will also serve as part of enabling and promoting the nation to be skilled as provided by Skills Development Act 97 of 1998.

Rakumako AM
Deputy Director: Career Management

21/01/2021
Date

21 BICCARD ST, POLOKWANE, 0699, Private Bag X9549, POLOKWANE, 0700
Tel: 015 284 4000, Fax: 015 284 4508
Website: <http://www.limpopo.gov.za>

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REQUEST FOR PERMISSION TO CONDUCT RESEARCH: MALATJI O.

Recommended/ Not-Recommended

.....
.....



.....
Moatshe M
Chief Director: Cultural Affairs

27. 01. 2021

.....
Date

~~APPROVED/ NOT APPROVED~~

.....
.....



.....
Tsebe NN

19/01/2021

.....
Date

APPENDIX P: LETTER CONFIRMING EDITING

37A Hilltop Road
Hillcrest
KwaZulu-Natal
South Africa
3610
Cell No: 0846668351

6 September 2021

To Whom It May Concern

EDITING OF ACADEMIC DISSERTATION

I hereby confirm that I, Barbara Dupont, edited the dissertation written by **Ouma Malatji** titled '**Transversal Records Management Mandate to Provincial Departments by the Limpopo Provincial Archives**' and commented on the grammatical anomalies in MS Word Track Changes and review mode by the insertion of comment balloons prior to returning the document to the authors. Corrections were made in respect of grammar, punctuation, spelling, syntax, tense, and language usage as well as to sense and flow. Reference guidelines and additional comments were provided to assist with corrections.

I have been teaching English for the past 12 years and have a Cambridge CELTA diploma in teaching English as a foreign language. I am also employed by the British Council as an official IELTS examiner for Southern Africa. I have been editing academic and other documents for the past five years, regularly editing the research dissertations, articles and theses of the School of Nursing, Environmental Studies and various other schools and disciplines at the University of KwaZulu-Natal and other institutions, as well as editing for publishing firms and private individuals on a contract basis.

I trust that this document will prove acceptable in terms of editing criteria.

Yours faithfully

B Dupont

Barbara Dupon

APPENDIX Q: LETTER CONFORMING EDITING

LETITIA GREENBERG
LANGUAGE SPECIALIST

Cellphone: 084 077 1580
Email: lgletitia@gmail.com

31 Aland Road
Valhalla
0185

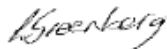
21 November 2021

To whom it may concern

With this letter, I confirm that I have language edited the thesis entitled *Transversal records management mandate to provincial departments by the Limpopo Provincial Archives* by Oouma Malatji with student number 56820720.

With a relevant degree and honours degree, I am fully qualified to undertake such editing.

Yours faithfully



Letitia Greenberg