

RECORDS MANAGEMENT AT DEBMARINE NAMIBIA

A research project report submitted in partial fulfilment of the requirements for the degree of Bachelor of Arts in Records and Archives Management (Honours) to the University of Namibia, Faculty of Humanities and Social Sciences, Department of Information and Communication Studies

By

Mulokoshi Selma

(STUDENT NO: 201501961)

2018

Supervisor: Prof. C.T. Nengomasha

ABSTRACT

This research project aimed at investigating records management at Debmarine Namibia. The main objective was to investigate records management practice at Debmarine Namibia. The sub-objectives were: To determine registry systems; To find out the nature of filing systems and procedures; To examine records standards and policies guiding records management; To find out how records are stored; To find out how electronic records are managed; To establish retention and disposal procedures and to make recommendations on how records management can be enhanced in Debmarine Namibia.

A case study research design was employed and data was collected using observations and interviews. The population of the study was Debmarine Namibia staff and the study made use of purposive sampling to select 4 staff members to respond to interview questions. The data collected was analysed through content analysis.

The study revealed that staff members at Debmarine Namibia did not have policies and procedures on the management of records. The organization experienced lack of storage space as the organization did not dispose of records. Some of the recommendations are that staff members should be trained on records management including electronic systems such as SAP and SharePoint. Debmarine Namibia should separate library and records management functions as this was a major challenge to staff because it caused confusion and slowed down operation.

DEDICATION

I dedicate this research project to my mother Vistorina Ndeshiteelela Haimene. She was my strength and motivation to work hard and complete my studies. To my father, Mulokoshi Levi, dad you have supported and encouraged me when I was at my lowest. This is for you Mom and Dad.

ACKNOWLEDGEMENT

Let me take this opportunity to thank all persons who in one way or another contributed towards the success of this research project.

First of all, I wish to thank the almighty God for his sufficient grace and for the gift of life and having granted me good health in my whole life and throughout my study.

Secondly, I would like to thank my supervisor Prof. C. T. Nengomasha for her guidance and encouragement throughout the entire project until completion and for not giving upon me.

Thirdly, to all the staff members from Debmarine Namibia who accepted to provide data that was used in my research, thank you.

Lastly, I wish to take this opportunity to thank those people who directly or indirectly contributed to the success of this project.

May the Lord bless you all.

DECLARATION

I, Selma Nangula Mulokoshi hereby declare that this study is a true reflection of my own research, and that this work, or part thereof, has not been submitted for a degree in any other institution of higher education.

No part of this research project may be reproduced, stored in any retrieval system, or transmitted in any form, or by any means (e.g. electronic, mechanical, photocopying, recording or otherwise) without the prior permission of the author, or the University of Namibia on her behalf.

I, Selma Nangula Mulokoshi, grant the University of Namibia the right to reproduce this research project as a whole or in part, in any manner or format, which the University of Namibia may deem fit, for any person or institution requiring it for study and research; providing that the University of Namibia shall waive this right if the whole research project has been or is being published in a manner satisfactory to the University.

.....
Student name

.....
Signature

.....
Supervisor's name

.....
Signature

Table of Content

ABSTRACT.....	i
DEDICATION.....	ii
ACKNOWLEDGEMENT.....	iii
DECLARATION.....	iv
LIST OF TABLES.....	ix
LIST OF FIGURES.....	x
LIST OF ABBREVIATIONS AND ACRONYMS.....	xi
CHAPTER ONE.....	1
1. Introduction.....	1
1.1 Orientation of the proposed study.....	1
1.2 Statement of the problem.....	3
1.3 Objectives of the study.....	3
1.4 Significance of the study.....	4
1.5 Limitation of the study.....	4
1.6 Literature Review and theoretical framework.....	4
1.7 Methodology.....	7
1.8 Research ethics.....	8
1.9 Summary.....	8
CHAPTER TWO.....	9
LITERATURE REVIEW.....	9
2.1 Introduction.....	9
2.2 Theoretical framework.....	10
2.2.1 The records management lifecycle.....	10
2.2.1.2 Current stage.....	11
2.2.1.3 Semi current stage.....	12
2.2.1.4 Non current stage.....	13
2.3 Records Continuum model.....	14
2.4 Records management programme.....	17
2.5 Classification Schemes.....	17
2.6 Records management responsibilities.....	18
2.7 Review of related studies.....	19
2.8 Records management policy.....	20
2.9 Management of electronic records.....	21

2.10 Summary	22
CHAPTER THREE	23
RESEARCH METHODOLOGY.....	23
3.1 Introduction.....	23
3.2 Research design	23
3.3 Data collection methods.....	24
3.3.1 Interviews	24
3.3.2 Observations.....	25
3.4 Population	26
3.5 Sample.....	27
3.6 Research Instrument.....	28
3.7 Trustworthiness of the study.....	29
3.8 Procedures.....	29
3.9 Data analysis	29
3.10 Research ethics.....	30
3.11 Summary	31
CHAPTER FOUR.....	32
DATA ANALYSIS AND PRESENTATION	32
4.1 Introduction.....	32
4.2 Participants of the study.....	33
4.3 Current Stage	34
4.3.1 Maintenance of records	34
4.3.2 Classification, filing and retrieval of records	34
4.3.3 Tracking of records	36
4.3.4 Retention schedules.....	36
4.3.5 Safety and Security.....	37
4.4 Semi current stage.....	37
4.4.1 Storage facilities	37
4.4.2 Record centre.....	38
4.5 Non current stage	39
4.5.1 Maintenances of inactive records	39
4.5.2 National Archive	40
4.6 Registry procedures	40

4.7 Staff training	40
4.8 Legal and regulatory frameworks	41
4.9 Electronic records management	42
4.9.1 Electronic records concept	42
4.9.2 Electronic records management system	42
4.9.3 Email management	42
4.9.4 Security measures.....	43
4.9.5 Document version control	43
4.10 Challenges of records management	44
4.11 Summary	44
CHAPTER FIVE	46
DISCUSSION OF FINDINGS, SUMMARY, CONCLUSION AND RECOMMENDATIONS	46
5.1 Introduction.....	46
5.2 Discussion of findings.....	46
5.2.1 Current stage	47
5.2.1.1 Maintenance of records	47
5.2.1.2 Registry procedures	47
5.2.1.3 Classification and retrieval of records	48
5.2.1.4 Tracking of records.....	48
5.2.2 Semi current stage	48
5.2.2.1 Storage facilities and records centre	49
5.2.3 Non current stage	49
5.2.3.1 Records retention and disposal	49
5.2.4 Staff training and skills	50
5.2.5 Legal and regulatory framework	50
5.2.6 Electronic records management	50
5.2.6.1 Management of electronic records	51
5.2.6.2 Electronic records management system	51
5.2.6.3 Email management	51
5.2.6.4 Document version control	51
5.2.6.5 Electronic records management safety and security.....	52
5.2.7 Challenges of records management.....	52
5.3 Summary of findings.....	52

5.4 Conclusion	53
5.4.1 To determine registry system	53
5.4.2 To find out the nature of filling system and procedures	53
5.4.3 To examine records standards and policies guiding records management	54
5.4.4 To find out how records were stored.....	54
5.4.5 To establish retention and disposal procedures.....	54
5.4.6 To find out how electronic records are managed	54
5.5 Recommendations.....	54
5.5.1 Area for further research	55
5.6 Final conclusion	55
REFERENCES	57
APPENDIX A.....	63
INTERVIEW GUIDE FOR RECORDS KEEPING STAFF.....	63
APPENDIX B	65
INTERVIEW GUIDE FOR ACTION OFFICER.....	65
APPENDIX C	66
INTERVIEW GUIDE FOR IT TECHNICIAN	66
APPENDIX D.....	67
OBSERVATION CHECKLIST OF RECORDS MANAGEMENT AT DEBMARINE.....	67
APPENDIX E	69
CONSENT FORM.....	69

LIST OF TABLES

Table 1.....	15-16
Table 2.....	33-34

LIST OF FIGURES

Figure 1.....	10
Figure2.....	39

LIST OF ABBREVIATIONS AND ACRONYMS

SAP- System Application and Product

CHAPTER ONE

1. Introduction

Chapter one introduces the research topic: Records management at Debmarine Namibia. This chapter brings forth the orientation of the study, statement of the problem informed by the research gaps, objectives of the study, significances of the study, and the limitation of the study. It also consists of a brief literature review and a summary of the methodology.

1.1 Orientation of the proposed study

According to Ginn (2011) organizations are increasing their use of information which is an important and valuable organization resource. To survive, organizations must have up to date information in the right place, in the right form, at the right time to make management decisions (Ginn, 2011). To achieve this, organizations need to manage their records efficiently and effectively.

Keakopa (2013) stated that records play an important role in ensuring that organizations achieve their mandate as they provide evidences of transactions. In addition, an effective and efficient records management is a must in organizations and must be treated like other organizational assets. Thus, records must be protected to ensure their accessibility. Records management controls all the stages of a records life cycle so that the right records are provided to the right people (Mfakose, 2017). An organization that practice good records management always provides better service delivery. It is on this basis that both the public and private sector need to understand the importance of records management because it enhances organizations performance and its decision making (Unegbu, 2008). Furthermore, it also allows for timely retrieval, safe storage, retention schedule and a proper filing system.

According to Franks (2013) recordkeeping can be traced back to prehistoric times when early cave dwellers documented their lives by painting murals on walls. In addition, since then advances in technology and techniques used to facilitate the creation and management of records introduced challenges that require records management solutions. It is however difficult to solve records management issues if organizations are not aware of records management practices (Frank, 2013). This is supported by several researchers (Nengomasha, 2009; Katjiveri 2013) who found that the public sector in Namibia did not practice good records management as a result of lack of awareness. Other problems identified were lack of trained staff, lost files, and lack of disaster plans.

According to Shepherd, Stevenson and Flinn (as cited in Keakopa, 2013) organizations need clearly defined policies and procedures to guide the implementation of a records management program. However, most organizations do not develop necessary policies and procedures for proper records and information management (Keakopa, 2013).

The core of the creation and management of records is the registry both in private and public organizations. This area of an organization is responsible for records from their creation, maintenance, use and to their final disposition. Furthermore, the section should be guided by a records manager who fully understands the practices and guide staff members. Frank (2013) added that records managers in private sectors should be able to identify records, develop file plans, develop retention schedules and provide records management guidance.

We are moving slowly but surely into the digital world and a records and information management must be equipped to manage paper until they are digitalized (Frank, 2013). The records that are digitalized need to be managed however, Nengomasha (2009) stated that electronic records management is poor. On this basis, the research will investigate whether problems identified by several authors also exist in Debmarmine Namibia.

Debmarmine of Namibia became operational in January 2002. It is a joint venture marine diamond prospecting and mining company owned in equal shares by the Government of the Republic of Namibia and De Beers.

1.2 Statement of the problem

Records are a vital asset in ensuring that an organization is governed efficiently and effectively and it is accountable to its staff and the community it serves (Coetzer, 2012). If records are not managed throughout their entire life according to a life cycle, it could affect the productivity of an organization. No study has been done on records management in the private sector in Namibia as far as this researcher is aware. Studies (Nengomasha, 2009; Katjiveri, 2013) concentrated on the public sector. Findings from these studies identified a number of problems which include: a lack of trained staff members, absence of filing systems, poor appraisal and disposal procedures, and lack of disaster preparedness plans. This research investigated whether these problems in the public sector as found by those researchers, apply to the private sector through a study of Debmarmine of Namibia.

1.3 Objectives of the study

The main objective of the study was to investigate the records management practices in Debmarmine Namibia. The sub-objectives were to:

- determine registry systems;
- find out the nature of filing systems and procedures;
- examine records standards and policies guiding records management;
- find out how records are stored;
- find out how electronic records are managed
- establish retention and disposal procedures; and
- make recommendations on how records management can be enhanced in Debmarmine.

1.4 Significance of the study

This study can be helpful to policies and practices at Debmarine of Namibia; as well as contribute to the existing body of knowledge in the subject specifically on records management in the Namibian private sector.

1.5 Limitation of the study

This study focused on Debmarine only, therefore the study findings cannot be generalized to the entire private sector.

1.6 Literature Review and theoretical framework

The study was partly guided by the records lifecycle theory as the study investigated if records were managed properly within the various stages of the records lifecycle. If records are not managed according to the life cycle concept, inactive records will be stored in expensive office space and misfiling will occur (Kazavanga, 2015). The study was also guided by the records continuum theory which is suitable for electronic records.

A record lifecycle has got three phases in which a record goes through. The current phase is where the record is created and used frequently in conduct of business activities. These records are kept in the registry office where it can easily be retrieved whenever it is needed for use by putting them in record series (Matangira, 2016). The semi current phase records are not frequently used and are transferred to the record center for a period of time. When they are needed officials request for them. The non-current phase is where the records are no longer needed by the creating agency. Those of enduring value are transferred to an archives and the rest are disposed of.

Frank (2013) states that, the task of managing records goes far back before the beginning of civilization. He added that people used to document their lives by painting on walls and cave.

This can be known as the earliest form of recordkeeping. In the second century China introduced the development of paper making which spread to the rest of the civilized world. The practice of records management developed in the 20th century but records management as a function has existed for some 7000 years (Penn et al., 2017). The federal government was the primary driver for records management in the United States but records management problems was already being experienced as a result of “lack of conformity in records management procedures” (Franks, p5, 2013).

According to Penn et al. (2017) records in an organization require a specific type of management in public and private sectors. In addition, he added that it is important that organization develop recordkeeping principles to establish consistent practices across a variety of business units. Frank (2013) shares similar sentiments and concluded that records should be managed effectively and efficiently. Penn et al (2017) argues that recordkeeping practices at most organization have taken many years to become cumbersome and unproductive. Furthermore, according to Matangira (2016) records management practices requires records to be treated as a strategic component of good governance. Ginn (2011) concluded from his study that anything that interferes with the records system creates problems and therefore hinders the effectiveness of records.

According to Katjiveri (2013) records management is guided by ISO 15489 standards, records lifecycle and the continuum model. The ISO standard has two parts, part1: gives a framework for the recordkeeping and explains the benefit of good records management and part2: gives guidelines in putting the advice given in part1 into practice. The records life is a fundamental aspect that organization need to understand. However, several studies criticized this traditional approach (Frank, 2009; Matangira, 2016). The Continuum model according to Nengomasha (2009) covers the design of records keeping system whereas the life-cycle starts from creation. In addition, through systems upgrade and migration, records can transform

into new records or format hence why there is a continuous regime for records keeping (Nengomasha, 2009). Matangira (2016) places emphasis on the involvement of both Record staff and Archivist in the creation of records until the last stage in the digital environment. Mfakose (2017) shared similar sentiments and added that the theory acknowledge that a record has got a life cycle and records should be managed according to the cycle. Frank (2013) argues that it is on this basis that organizations experience problems due to lack of understanding of records concepts.

Many African countries did not have an established archival institution but systems were in place for records and archive management (Matangira 2016, p63). Keokopa's (2013) study on the implementation of records management strategy in Botswana revealed that public organizations put less effort in designing records management policies and procedures and those that did have, not covered the whole life-cycle of records guided by ISO. In Zimbabwe a lot of complications in the public sector have been found: missing files, absences of ICT and electronic systems not backed up by up-to-date guides (Matangira, 2016). She adds that there is poor implementation of appraisal and disposal procedures as well as lack of trained staff. In Tanzania, Mayambula (2009), identified problems such as files not being closed which were not separated from current records that resulted in files clogging into office space. In Ghana however, government and private business kept records in whatever form they felt appropriate without the benefit of retention schedules, disposal guidelines and information lifecycle procedures (Tagbotor, Adzido & Agbanu 2015).

In Namibia Nengomasha (2009) highlighted the poor status of records management in the public sector. She found lack of trained personnel, lack of records management practices and absences of filing systems. In addition a study by Barata et al (2001) as cited by Katjiveri (2013) which focused on the Financial Management systems in Namibia revealed that there were no written procedures to help regulate financial records management.

1.7 Methodology

According to Katjiveri (2013) a research design is a plan of action which amongst others, sets out what the study will be about, why the study is being made, who the subject of investigation will be and how the data will be analysed. The study used an interpretative paradigm because it allows social actions and human activity to be seen as text and as a collection of symbol (Kazavanga, 2015). The research design for this study was a case study and it applied a qualitative research approach. The data collection methods used in this study was observations and face to face interviews. The population target for this study was staff members from Debmarine Namibia. The units of analysis were registry staff, IT staff, Records Manager and an action officer. The study used non-probability sampling method specifically the purposive sampling technique and selected four employees from Debmarine. This included one IT technician, one records manager, one registry staff and one action officer. The researchers choose the staff members based on who the records manager thought was appropriate for the study. The research instruments used in the study were four interview guides, one for each unit of analysis and an observation checklist.

Reliability is the degree to which investigating, testing observation or any other measuring procedure produces the same results on repeated trails (Howell et al, 2012). Trustworthiness is the degree to which we can depend on and trust given research findings (Shank, 2009). Therefore reliability and trustworthiness of the study was ensured by reporting the objective of the study in a truthful way and using the right data collection method to ensure that if another research with similar objective was to be carried out similar conclusions will be drawn.

The procedure was that the researcher got a permission letter from the University of Namibia (Department of Information and Communication studies). The authority letter received was then taken to Debmarine management for approval to conduct the study. Interview

appointments were arranged with the respondents with their approval. This study adopted a qualitative data analysis method and data was analysed through the process content analysis. Data was presented in form of descriptive narrative text.

1.8 Research ethics

Research ethics relate to moral standards that a researcher consider in all stages of a research (Shank, 2009). The researcher maintained a high professional conduct as well as honesty during the study. Participants were given an option to participate or not to and a consent form was signed to protect their rights. The researcher made sure that the people who agreed to take part in the research understood what they were consenting to participate in. Codes instead of names of participants were used to ensure confidentiality. The data that was collected was not manipulated but was reported in a truthful manner. The information that was gathered will be kept securely and disposed of after five years in line with best practices.

1.9 Summary

This study primarily focused on records management at Debmarine Namibia. Debrmarine is a joined venture marine diamond and mining company that become operational in 2002. The statement of the problem focuses on the opinion that Debmarine lacks trained staff to implement records management practices. The main objective of the study was to investigate records management practice at Debmarine Namibia. The study is significant in the view that the findings would be helpful to policies and practice at Debmarine. Furthermore, the study is limited to Debmarine only; therefore the findings cannot be generalized to other private sectors in Namibia. The next chapter discusses the literature review and theoretical framework.

CHAPTER TWO

LITERATURE REVIEW

2.1 Introduction

Literature review is a text of a scholarly paper, which include current knowledge including substantive findings as well as theoretical and methodological contribution to a particular topic (Lamb, 2014). Literature reviews are secondary sources and does not report new or original experimental work (Lamb, 2014). According to Nengomasha (2009), literature review enables a researcher to develop a clear understanding of the research topic; establish what has already been researched on the topic and identify gaps, which the researchers own study can fill. In addition a literature review also helps a researcher to formulate research questions and at the same time identify the relevant theories and related studies a researcher might adopt for their research (Ridley, 2012). Stilwell (2000) argues that “a good literature review needs to indicate the different views, agreements, disagreements and trends of thought on the topic of research and to be accurately and acknowledged in the text”. A literature review should be defined by a guiding concept for instance research objectives, theoretical framework or conceptual framework.

The literature review is on a theoretical framework centred mostly on the records lifecycle theory of managing records and to a lesser extent the records continuum theory. It provides a discussion on the activities involved under each phase that a record goes through. It is presented under the following subheadings; the records management lifecycle, current phase, semi-current phase, the non-current phase, the records continuum, record management programme, classification scheme, records management responsibilities, review of related studies, records management policies and management of electronic records. This chapter ends with a brief summary of what the whole chapter is about.

2.2 Theoretical framework

According to Cooper and Schindler (2008) state that the use of concepts and theories ensure that researchers are more in control of the direction, meaning and implications of their work. A theoretical framework is the structure that can hold or support a theory of a research study (Lamb, 2014). Nengomasha (2009) shared similar sentiment and state that theory shapes, directs and focuses a study. She added that in records management the rules that guide investigation of research into issues, concepts and problems are determined by records management theory and methods. Therefore the study is guided by the records lifecycle concept and to a lesser extent the continuum theory. The lifecycle concept is what helps records managers and archivist to come up with activities that can help manage records effectively. With doing this records managers come up with a records management programme which guides the entire records management practice.

2.2.1 The records management lifecycle

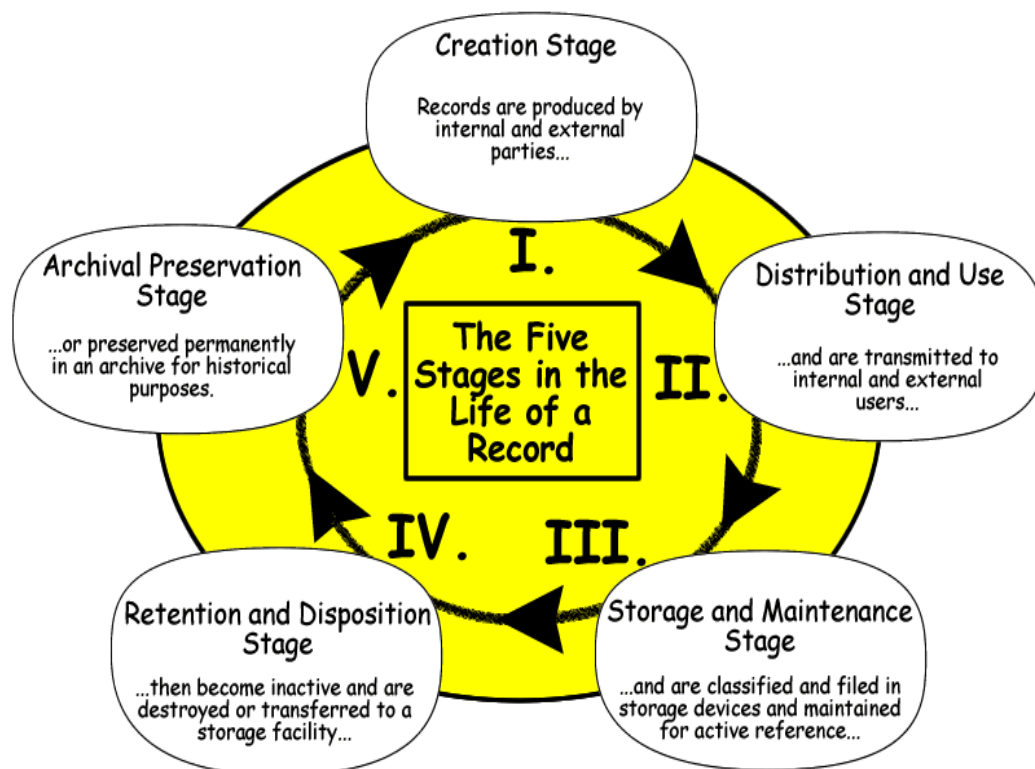


Figure 1: Records lifecycle model

Source: Idaho State University (2018)

A record is a document regardless of form or medium created, received, maintained and used by an organisation (public or private) in pursuance of legal obligations which provides evidences (IRMT,1999). In addition a records must possess content, structure and context and to be part of a recordkeeping system. IRMT (1999) argues that the effective management of records through their lifecycle is a key issue in organisations. Katjiveri (2013) concurs with IRMT (1999) and states that the records lifecycle is a fundamental aspect that organisation need to understand. The lifecycle concept indicates that records are not static but have a life similar to that of a biological organism; they are born, live through youth and old age and then die (Shepherd & Yeo, 2003). The lifecycle theory suggests that records pass through three stages (Figure 1): a current stage, when they are used for business; a semi current stage, when their business value is reduced and non- current stage, when they have little or no business (Shepherd & Yeo, 2003). The lifecycle concept has been useful in promoting a sense of order, a systematic approach to the overall management of recorded information (IRMT, 1999). Furthermore, Frank (2013) emphasised that the lifecycle brings balance and ensures that no part of record and information management get ignored or undervalued.

2.2.1.2 Current stage

According to IRMT (1999) records are regularly used for the conduct of the current business of an organisation or individual. Nengomasha (2009) states that, in the current stage records are created and accumulated. In this stage current records are maintained through various record keeping procedures such as classification to ensure easy retrieval of records. Frank (2013) argued that this stage involves the development of record inventories which is a detailed listing of all records their locations, dates, types and equipment. Furthermore, the inventory is usually prepared to facilitate evaluation, appraisal as well as for backup, disaster recovery, planning and procedures (Frank, 2013). At this stage records should be stored in filling cabinets that are arranged according to a classification scheme. In addition handling of

new records should be managed to ensure that they are complete. Nengomasha (2009) emphasised on tracking mechanisms that ensures that when a record is sent out to people who need them, the system will inform staff where a certain record is. This involves the use of out-going registers/despatch registry which contains details of the record, despatch date, name, address, and signature. Kazavanga (2015) added that the registry should also use file transit sheet, file movement slips and file transit ladder to record the movement of records within the organisation. The study will investigate how records are managed at this stage at Debmarine Namibia and the different activities the organization undertakes at each stage for effective management of records.

2.2.1.3 Semi current stage

This stage involves the maintenance and use of records. This is achieved by proper storage and retrieval systems (Penn et al, 2017). According to Shepherd and Yea (2003), records that are required infrequently in the conduct of current business are transferred from the creating office to a records centre pending on their ultimate disposal. This is indicated in the retention schedule where files are then removed from filing cabinets and labelled “closed”. Record centres are designed specifically to retain inactive records until they meet their retention requirements (Frank, 2013). In addition, a record centre should be managed by records staffs that ensure that if records are requested by the creating agency they will be able to provide them (Matangira, 2016). However, when records are provided to the owner they should fill in a record centre request form. The record centre should have mechanisms in place to ensure the safety of records to ensure that they are not missing or misplaced in the centre (IRMT, 1999). The study will investigate whether such activities are done at the organization.

2.2.1.4 Non current stage

At this stage records are no longer used for conduct of current business and therefore destroyed unless they have a continuing value (IRMT, 1999). Frank (2013) argues that when referring to the final stage in the records lifecycle it involves the destruction and transfer to the archives. The destruction should be authorized, appropriate, secure and timely. In addition, destruction can be done in a form of shredding, recycling and pulping. Another process involved at this stage as stated by the Society of American Archivist (n.d) is the transfer of those records with enduring value to the archival institutions. According to Hillary Jenkinson as cited in Frank (2013) archives are documents which formed part of an official transaction and were preserved for official reference. However, IRMT (1999) defines archives as records, usually but not necessarily non-current records of enduring value selected for permanent preservation. Nengomasha (2009) states that only 3.5% of records are preserved as archives and transferred to an archival institution. This institution guided by the archivist does appraisal, arrangement and description, preservation and acquisitions. Frank (2013) added that archives are guided by the archival science which support archives management practices. However, the study will investigate whether Debmarine transfers records to the Archive as well the retention and appraisal procedures.

Matangira, Katjiveri-Tjiuro and Lukileni (2014) allude to the fact that records need to be systematically and continuously be managed throughout their lifecycle in an integrated manner. They add that the management of institution records throughout their lifecycle is necessary in order to support strategic business objectives and to preserve corporate memory. IRMT (1999) underscores the above statement by saying that without the records lifecycle concept, vast quantities of inactive records clog up expensive office space, and it is virtually impossible to retrieve important administration, financial and legal information.

The records lifecycle has been criticised by scholars (Frank, 2009; Matangira, 2016; Yusuf & Chell, 2000) who observed that the model was more applicable to those studies dealing with the management of paper-based records in organisations. In addition Coetzer (2012) emphasised that the records lifecycle concept needed to be replaced by a model that appropriately reflected the both paper and electronic records. Frank (2016) shared similar sentiments and states that with the evolution of technology organisations need to be guided by both the records lifecycle and the records continuum model.

2.3 Records Continuum model

Coetzer (2012) provides the IRMT (1999) definition of the records continuum as a consistent and coherent regime of management processes from the time of creation of records (and before the design of recordkeeping systems) through the preservation and use of records as archive. In addition, the model consolidated the eight stages of the records lifecycle concept into four stages, namely: creation, classification, scheduling and maintenance and use of information (Coetzer, 2012). This model suggest that the registrar, records manager, record centre manager and archivist will all perform their own duties, but their work will be undertake within an integrated structure with no boundaries. An advantage of this is that archivist and records managers will be involved in all stages of managing records. IRMT (1999) alludes that the integration will enable the creation of the right records containing the right information in the right format; organising the records to facilitate their use; systematically disposing of records that are no longer required; and protecting and preserving records. If there is no integration record staff and archivist find that they are often duplicating each other's work or redoing task that could have been completed more efficiently had the two phases been considered part of a unified whole (Frank, 2013). According to Yusuf and Chell (2000) as cited by Nengomasha (2009) argues that organisations management of

records should incorporate both the lifecycle and continuum concept as they do not exist independently of each other.

Table1: Records Lifecycle Model VS Records Continuum Model (Source:Coetzer, 2012)

Model Aspect	Life Cycle Model	Records Continuum Model
Origins	<ul style="list-style-type: none"> • evolved from the need to effectively control and manage physical records after World War II (half a century ago) 	<ul style="list-style-type: none"> • evolving from the more demanding need to exercise control and management over electronic records for digital era (today)
Elements of Records Definition	<ul style="list-style-type: none"> • physical entity 	<ul style="list-style-type: none"> • content • context • structure
Major concerns in Records Management	<ul style="list-style-type: none"> • records-centered, redact-driven • focus on records as tangible physical entities, the physical existence of records themselves • paper world 	<ul style="list-style-type: none"> • purpose-centred, process- and customer-driven • focus on the nature of the records, the recordkeeping process, the behaviours and relationships of records in certain environments • digital world
Records movement patterns	<ul style="list-style-type: none"> • time-based: records pass through stages until they eventually die, except for the chosen ones that are reincarnated as archives • time sequence: records processes take place in a given sequence 	<ul style="list-style-type: none"> • multi-dimensional: records exist in space/time not space and time • simultaneity: records processes can happen at any point in the record's existence, or even precede it
Recordkeeping perspectives	<ul style="list-style-type: none"> • exclusive • single purpose • organizational or collective memory • current or historical value 	<ul style="list-style-type: none"> • inclusive • multiple purposes • can be organizational and collective memory • can have current, regulatory, and historical value from the time of creation simultaneously

		not Sequentially
Recordkeeping process	<ul style="list-style-type: none"> • There are clearly definable stages in recordkeeping and they create sharp distinctions between current and historical recordkeeping. 	<ul style="list-style-type: none"> • The recordkeeping and archiving processes should be integrated.
Criteria for selecting archives	<ul style="list-style-type: none"> • currency or historical value 	<ul style="list-style-type: none"> • continuing value, including current and historical value
Time of archival appraisal	<ul style="list-style-type: none"> • end of records movement 	<ul style="list-style-type: none"> • from beginning to end
Role of records professional	<ul style="list-style-type: none"> • passive and reactive • locked into custodial role and Strategies 	Proactive post-custodians: <ul style="list-style-type: none"> • recordkeeping policy makers • standard setters • designers of recordkeeping systems and implementation strategies • consultants • educators/trainers • advocates • auditors
Records management tasks	<ul style="list-style-type: none"> • things are done to the records in fixed stages, in a given sequence by particular professional group 	<ul style="list-style-type: none"> • integration of business process and recordkeeping processes

The difference between the models will allow records practitioners to be able to differentiate when and where to use the different kinds of records model and how they differ in terms of strategy (Coetzer, 2012). Matangira et al, (2014) state that the different models based on the lifecycle concept can help to identify stages and actions within a records management, programme and thus provide a useful framework for planning and implementation. Applying the records continuum theory, the study will investigate the management of electronic records.

2.4 Records management programme

In any organisation whether public or private, managing records should be a strategic function, with a continuing programme that is effective across the organisation as a whole (Shepherd & Yeo, 2003). Ngoepe and Van der Walt (2010) add that an effective and efficient records management programme is essential for the government of public and private sector. The control function it exercises can make a vital contribution to the achievements of business objectives and administrative efficiency. Taylor (1994) emphasised as cited in Nengomasha (2009) on the development of records management programmes in Namibia between 1978 and 1990 which comprised the following elements: compilation and approval of filing systems, office inspections, issues of disposal guidelines, office inspections; transfer of archives and training of officials in records management.

Ngoepe and Van der Walt (2010) agree with Taylor (1994) and added that a records management programme includes records management infrastructures, policies, strategies and filing systems. According to IRMT (1999) the records management programme is created to manage records from creation to disposal. This brings several advantages such as an improved efficiency as a result of complete and accurate information, avoidances of unnecessary cost of storage as well as constant training of staff members. However, Mampe and Kalusopa (2012) argue that records management in most African countries are plagued by various problems as a result of lack of staff to implement classification schemes.

2.5 Classification Schemes

A records classification scheme is a tool used to classify records and other business activities that generate records (Frank, 2013). Penn at al (2017) emphasise that grouping records by subject, all existing policies and procedures can be evaluated in order to prevent duplications,

gaps and conflicts. In addition they added that a classification scheme should be complete, flexible, logical and precise. ISO 15489 points that classification scheme is important because it:

- ensures that records are named in a consistent manner;
- assist in the retrieval of records relating to a particular function;
- distributing records for actions and
- determining appropriate retention schedules.

Mampe and Kalusopa (2012) pointed out that a classification scheme will allow for the ability to effectively locate and retrieve records required in the course of a business hence will contribute to good records management practice. However, most organisations have no written classification schemes other are not fully documented and updated (Mampe & Kalusopa, 2012). Nengomasha (2009) notes that classification of records is a pre-requisite for effective management of records and yet institutions in Namibia had no classification schemes and those that had, most are updated or not in use. Matangira et al. (2013) states that records management profession should ensure that organisations have a classification scheme to ensure that records are managed accordingly in each stage of the lifecycle. The study will investigate whether Debmarine has a classification scheme in place.

2.6 Records management responsibilities

Records management is a shared responsibility, therefore creators of records should be equipped with the necessary skills to capture and manage records (Ngoepe & Van der Walt, 2012). The Institute of Certified Records Management requires that a person to be a records manager should possess a Bachelor degree and at least three years' experience in the field (Dearstyne, 2008 as cited in Kazavanga, 2015). In addition a records manager should possess knowledge about records management practice and policies and believes in team work.

Hamutumwa (2004) adds that records management staffs are responsible for installing uniform, standard filing systems throughout the company; to provide limited access to an in-house records storage room by maintaining private records and to establish offsite storage centre with controlled access. Mampe and Kalusopa (2012) state that records staff are responsible of the use, creation and maintenance of records throughout their lifecycle. Hamutumwa (2004) shares similar sentiments and states that if records are managed according to the lifecycle concepts effective retrieval of records is faster which the number one strategy of the profession. In addition she added that this can be archived through training clerks in an in-house preservation, through workshops with practical task such as appraisal, conservation and use of information technology.

2.7 Review of related studies

Various studies on records management have been widely conducted especially in the public sector (Coetzer, 2012; katjiveri, 2013; Matangira, 2016; Mampe & Kalusopa, 2012; Mayambula, 2009; Nengomasha, 2009; Ngoepe & Van der Walt, 2010;). All this studies states that the records management practice in many countries is weak. According to Ngoepe & Van der Walt (2010) in their study conducted in the department of Cooperation Government and Traditional Affairs in South Africa revealed that records management systems in the department collapsed because registry clerks did not have the authority to formulate and implement overall records policies enforceable on staff. Furthermore, registry staff had little training and little experience in records keeping. A study by Mampe and Kalusopa, (2012) came up with similar findings, as most record personnel's lacked awareness on records management policy and procedure manuals; hence staff members were not aware of their roles and responsibilities. Keokopa (2012) in a study on the implementation of records management strategy in Botswana revealed that public organisations put less effort in

designing records management policies and procedures that covered the entire life-cycle. In Zimbabwe a lot of complications were found: missing files, absences of ICT and backup systems (Matangira, 2016). In Tanzania, Mayambula (2009) identified problems such as files not closed which resulted in files clogging into office space. In Ghana, government and private business kept records in whatever form they felt appropriate without retention schedules, disposal guidelines and lifecycle procedures (Tagbotor, et al, 2015).

In Namibia, Nengomasha (2009) highlights the poor statues of records management in the public sector. She found lack of trained personnel, lack of proper records management practices guided by policies and absences of filing systems. In addition a study by Barata et al (as cited in Katjiveri, 2013) revealed that there were no written procedures to help regulate financial records management in Namibia. With all these problems identified, Coetzer (2012) concludes that records management can be enhanced if organisation establish records management programmes, guided by records management policies and ensure that staffs are trained and fully understand the records lifecycle.

2.8 Records management policy

According to Kennedy and Schauder (as cited in Mampe & Kalusopa, 2012) a records management policy is the official charter for performing all records management functions. In addition they added that a records management policy should be clear and should outline records management functions in relations to the organisations recordkeeping requirements. Regarding standards for best practice in records management, Katjiveri (2013) states that the practice is guided by ISO 15489 which specify that, an organisation should establish documents, maintain and promulgate policies, procedures to guarantee its business needs of evidence and accountability. Part two gives guidelines in putting the advice in part one into practice. In addition the ISO 154889 stipulates that a records management policy and

procedures of an organisation should clearly demonstrate the objectives of the business processes. In the context of Namibia, most public organisations are guided by the Archives Act 12 of 1994. However, Ngeope and Keakopa (2011) note that organisations still face challenges in satisfying its role in the management of public records especially more on the development of policies and procedures. True to this statement, the study by Hamutuwa (2004) revealed that Home Affairs neither had a records management policy. According to Mampe and Kalusopa (2012) without a records management policy it is difficult to establish efficient records management systems that support decisions making.

2.9 Management of electronic records

According to Wamukaya et al (as cited in Nengomasha, 2009) there has been a number of organizations going online. Consequently there has been an increase in the number of electronic records created. Brendan (2012) commented that the entrance of ICTs into records and archives brought changes and made records keeping practice easier. An electronic record is a record which is created, maintained, used as evidences by an organization or person in pursuance of legal obligations and in the transaction of business activities (IRMT, 1999). Nengomasha (2009) added that an electronic record is that which is in digital format and can only be a record once it is placed in the records keeping system. Electronic records include word processes and emails. In addition for proper management of electronic records, records need to be managed with their structural metadata (Nengomasha, 2009).

According to Shepherd and Yeo (2003) asserted that any records management system that captures records must have system that allow users to use records systematically. However Nengomasha (2009) shared similar sentiments and states that an electronic system should be able to capture, provide file plans, retention and disposal as well as security measures and audit trails. However, emails are managed within an email system with their attachments and

outside an email system. Nengomasha (2009) argued that there are a lot of challenges with management of emails in the Public Service of Namibia which might contribute to national memory loss. Electronic records should be managed in such a way that they are accurate, reliable, complete and are useable for the future. There are several problems identified by Nengomasha (2009) with the management of electronic records and the biggest being digital obsolesces. This study is partly also looking at how Debmarine Namibia manages its electronic records and if problems identified by authors also exist in the organization.

2.10 Summary

This chapter discussed literature review on the records management practice. The literature view was guided using a theoretical framework of the records lifecycle concept. This chapter also discussed records management programs, records management responsibilities, classification schemes, review of related studies, records management policies as well as the records continuum model. Lastly this chapter discussed the management of electronic records. The next chapter is on methodology.

CHAPTER THREE

RESEARCH METHODOLOGY

3.1 Introduction

Methodology is a system of broad principle or rules from which specific methods or procedures can be derived to interpret or solve various problems within the space of a particular discipline. Research methodology on the other hand is a way to systematically solve the research problem (Dawson, 2003). It may be understood as a science of studying how research is done scientifically (Kothari, 2004). Essentially it is the procedure by which researchers go about their work of describing, explaining and predicting phenomena. Its aim is to give the work plan of research (Dawson, 2002).

This chapter describes the methods used to collect data for the case study on records management at Debmarine Namibia. This chapter discusses the research design, data collection method, population, sample, research instrument used, and trustworthiness of the study, procedures, data analysis and ethical consideration of the study. This chapter ends with a summary.

3.2 Research design

Research design is a plan of action that sets out what the study is about, why the study is being made, who the subject of investigation will be and how the data will be analysed (Katjiveri, 2013). This research was a case study. According to Yin (2009) a case study is a first-hand inquiry that investigates a current phenomenon in-depth and within its real life context. This case study made use of qualitative data collection methods. Thomas (2011) stated that qualitative methods are based on words, perceptions, feelings, rather than numbers and they include interviews, observations and focus groups. The study used this approach

because it is flexible making it suitable for providing in-depth information about records management at Debmarine.

3.3 Data collection methods

Data collection methods are the procedures, techniques and tools used when collecting data from a sampled population (Ngulube, 2006). This includes questionnaires, observations, interviews, focused groups etc. The task of collecting data begins when a research problem has been identified. The choice of the method depends upon the purpose of the study, the research available and the skills of the researcher. There are times when the methods most appropriate to achieve the objectives of the study cannot be used because of constraints such as lack of resources or required skills. Therefore, in such a situation the researcher should be aware of the problems that these limitations impose on the quality of the data.

Although several methods can be used, emphasis on this study was placed on face-to-face interview and observations as a method of collecting data at Debmarine. The reason for triangulation for using the two data collection methods is because they each have advantages and disadvantages; hence an advantage of one technique is an added advantage to the other (Ngulube, 2006). The techniques are discussed below:

3.3.1 Interviews

An interview is a purposeful discussion between two or more people that can help gather valid and reliable data that is relevant to research objectives (Olson, 2009). It allows for personal communication and makes it possible to gather more information for a study. The interview method of collecting data involves presentations of oral-verbal stimuli and reply in terms of oral-verbal response (Kothari, 2004). Such interviews involve the use of set of pre-determined questions which can yield more information in greater details. The interviews were individual, face-to-face and semi structured in order to pursue the same line of

questions. According to McCammon (n.d.) semi structured interviews are used to gather focused, qualitative textual data. In addition, conducting a good semi-structured interview requires a thoughtful planning which includes identifying respondents, deciding on the number of interviews and preparing for the interview. Such preparations are done using interview guides. The researcher interviewed staff members from Debmarine, specially the Senior Clerk, Action Officer, Information Coordinator and the IT technician.

Semi structured interviews have several strengths which are that it can be prepared ahead of time and appear competent during the interview. Matangira (2016) added that semi structured interviews provide similar topics and subject area to explore and probe; they list questions or issues to be explored but also bring in a degree of flexibility. Furthermore, it allows the participants to express their views in their own terms. The information obtained from semi structured interviews will provide not only answers but also reasons for the answers (McCammon, n.d.). McCammon also observed several weakness with semi structured interviews. They are time consuming, expensive and resource intensive. Kothari (2004,p.99) cautioned on one major limitation with interviews in that respondents may give distorted responses due to personal bias, anger, anxiety, politics and simple lack of awareness. In this study the researcher was cautious to avoid leading questions especially in view of the fact that information from the literature review was already painting a negative image about records management in Africa. Through the use of semi structured interview the researcher managed to obtain information about records management at Debmarine.

3.3.2 Observations

Observation is a technique that relies on researcher's ability to gather through his/ her sense (Zina, 2010). Observation is used in the social sciences as a method for collecting data about people, processes and cultures. There are many types of observations direct or indirect, participant or non-participant, obtrusive or non-obtrusive, structured or non-structured. This

study made use of direct observation method whereby the researcher needs to know about the physical settings and is trying to understand an on-going process or situation (Yin, 2009). The observations were done on the management of records to find out if the department has records management tools such as file movement cards, in-coming and out-going mail registries, mail circulation box, classification scheme and index.

The main strength of observations is that it provides direct access to the social phenomena under consideration. For instance in this study, instead of relying on interviewing people, the researcher also made observations on specific issues in the registry. The researcher gained a lot of insight through observing the records keeping environment at Debmarine as stipulated in the records lifecycle. However, Matangira (2016) cautioned on weakness of all observations by saying that it is susceptible to subjective bias on the part of the observer. However, the observation was on objects in form of facilities and tools for records keeping, therefore limiting the chances of observer bias. Narrations were written on what was observed. At times the observation was done in conjunction with the interview. For instance, the researcher would ask to see what the respondent spoke about.

3.4 Population

Population is the study objects that consist of individuals, groups, organisations, human products and events (Welman, Kruger & Mitchell, 2011). In addition a research problem therefore relates to a specific population from which the sample is taken. Population in other words is like a whole group that should be studied according to a particular phenomenon. The target population for this study were the staff members from Debmarine who dealt with records on a day-to-day basis. The units of analysis were action officers, IT staff, registry members and a records manager.

3.5 Sample

A sample is a group of representative individuals from the population which best represents the characteristics of the general public. This sample is studied in order to acquire some knowledge about the entire population. The main function of the sample is to allow researchers to conduct the study to individuals from the population so that the results of their study can be used to derive conclusions that will apply (Lim & Tinga, 2013). In addition, Lim and Ting (2013) stated that sampling is a give and take process whereby the population gives the sample and then it takes conclusions from the results obtained from the sample.

There are two types of sampling, probability and non-probability. With probability sampling, the researcher can determine the chance or probability of an element being included in the sample. This technique gives each and every member of the population an equal chance of being selected for the sample (Kothari, 2004). Examples of probability sampling include random sampling, stratified sampling and cluster sampling. The researcher used non-probability sampling particularly purposive sampling method.

Non-probability sampling is when a researcher has no way to determine the chances of inclusions of a particular element of the population in the sample. The sample may be drawn depending on a determined size in advance, but there is no assurance of representatives (Kothari, 2004). Examples of non-probability sampling include quota, snowball, sequential, theoretical, deviant and purposive sampling.

The study used non-probability sampling specifically purposive sampling. Purposive sampling is a deliberate selection of people who the researcher might want to examine because of the knowledge they have (Berends & Zottola, 2009). Purposive sampling method was used because it is judgemental, allowing the researcher to handpick certain groups or individuals according to their relevant to the issue at hand (Kothari, 2004). In other words,

the use of purposive sampling was aimed at getting as more relevant and valuable information for the research as possible.

A sample of four people was selected: one registry staff, one action officer, one information technology (IT) technician and one records manager. This sample was chosen because they are records management officers who deal with records of Debmarine on a day-to-day basis.

3.6 Research Instrument

Research instruments are very important because they determine the success of the researcher study. Research instrument can be referred to as tools which are used to gather data for a study being made (Kothari, 2004). In addition, a research instrument is what the researcher use to collect information in a qualitative field study or observation; it helps to keep track of what is to be observed and how to report it.

The research instruments used for the study were semi-structured interview guides and observation checklist. Semi-structured interview guides were used to investigate records management at Debmarine Namibia. An interview guide is an agenda for an interview with additional notes and list of questions to aid researcher (Mathews & Ross, 2010). The study used three semi-structured interview guides for the different units of analysis: one for the IT technician, one for action officers, one for the registry staff and for the records manager. This guide helped the researcher to remember the points to cover and gave the researcher careful use of interview time. The researcher conducted face-to-face interviews which were used to carry out the study with four respondents.

An observation checklist was also used which is a list of items that the observer is going to look at and systematically record the results of those observations. The research looked at file movement cards, mail circulation box, classification schemes and index and action ladder. The two instruments were preferred for this study because of their suitability in that the study

was seeking information about records management at Debmarine as they provided in-depth information on records management.

3.7 Trustworthiness of the study

Howell et al (2012) defined reliability as the degree to which investigating, testing and observation or any other measuring procedure produces the same results on repeated trails. Katjiveri (2013) stated that the goal of any research instrument is to provide a valid and reliable insight into the topic under investigation. Reliability was ensured by employing the right and most useful data collection instruments, namely face-to-face interview and observations. Trustworthiness is the degree to which we can depend on and trust the given research findings (Shank, 2009). Therefore, trustworthiness of the study was ensured by reporting the objectives and findings of the study in a truthful way to ensure that if another researcher with similar objectives is to be carried out similar conclusions will be drawn.

3.8 Procedures

The procedure used was that the researcher first got a permission letter from the researcher's supervisor from the department of Information and Communication Studies which seek for permission to conduct the research at Debmarine Namibia. The letter was taken to Debmarine management for approval to conduct the study. Appointments were made with the interviews respondents according to their suitable dates and time.

3.9 Data analysis

Data has no meaning unless it is analysed and interpreted. In addition, analysis plays an important role because it allows the researcher to generalise the findings form a specific sample used (Mathews & Ross, 2010). It is defined as the act of transforming data with the

aim of extracting useful information and facilitating conclusions to answer research objectives.

Data was analysed using content analysis. Content analysis is a research tool used to determine the presence of certain words or concepts within the text (Zina, 2010). This is because it provided insights and increased researchers understanding on a particular action specifically those within the records management field. The researcher read and listened carefully to all respondents' answers collected from the interview and grouped answers of the same question, which helped in understanding the data collected. The data was presented in a form of descriptive narrative text. This text was coded, and broken down into categories. Names of respondents were not stated to ensure confidentiality.

3.10 Research ethics

Research ethics relate to moral standards that a researcher consider at all stages of a research (Shank, 2009), and places emphasis on the human and sensitive treatment of research participants. Informed consent as earlier stated and voluntary participant was respected. According to Shank (2009) a consent form is a form that informs respondents and gaining permission for their participation in the study. Participants signed a consent form when they agreed to be interviewed. The identity of respondents remained unknown and their names were kept anonymous through the use of codes. The information gathered from the interview was kept confidential. Zina (2010) emphasized that researchers should make sure that participants in the study are duly protected in terms of confidentiality during the process of data analysis and when disseminating the outcomes of the study. The researcher also ensured that all data that was collected was not manipulated but reported in a trustful manner. The researcher explained the research objectives and its main purpose. Those who participated in the study were asked permission to tape record them.

3.11 Summary

This chapter explained what methodology is and the methods used to gather data and analyze. Qualitative approach was used to collect data using a semi-structured interview guide and observation checklist. Purposive sampling was used to select the number of participants who responded and participated in the study. The chapter outlined how the data was collected and how it was explained in a descriptive narration form. Lastly the chapter outlined issues of ethics. The next chapter is on data analysis and presentation.

CHAPTER FOUR

DATA ANALYSIS AND PRESENTATION

4.1 Introduction

This chapter presents the research findings which were centred on “Records Management at Debmarine Namibia”. According to Kirk and Miller (2006) data analysis is the process of extracting, compiling and modelling raw data for the purposes of obtaining constructive information that could be applied to formulating conclusions, predicting outcomes or supporting decisions on sciences and social sciences. In addition, data has no clear meaning unless it is analysed and interpreted. Data presentation on the other hand, is the method by which people summarize, organize and communicate information using tools such as diagrams, distribution charts, histograms and graphs (Auerbach & Silverstein, 2003). Data was collected through observations and interviews and analysed through the use of content analysis method.

In this chapter, codes were used to refer to the participants from various units in order to maintain confidentiality and anonymity of respondents. No specific reference to any particular individual was made in this chapter. The participants in the study were coded as W, X, Y and Z. Data was presented in a descriptive form. The data is organized according to thematic issues drawn from the research objectives and other which emerged from content analysis. The research sub-objective were: To determine registry procedures; To find out the nature of filing system and procedure; To examine records standards and policies guiding records management; To find out how records were stored; To establish appraisal and retention procedures, To determine e-records procedures and to make recommendations on how records management can be enhanced at Debmarine Namibia. The data from different

units of analysis were integrated within thematic areas; however, data collected from the observation checklist was presented within the emerging categories.

This chapter is arranged according to the data from the interview which is integrated under relevant subheadings:

- Participants of the study
- Current stage
- Semi current stage
- Non-current stage
- Staff training
- Legal and regulatory framework
- Electronic records management
- Challenges of records management
- Recommendation

4.2 Participants of the study

Data was gathered from the Records Management Unit; Information Technology Unit and Marine and Geology Unit. The details of the four participants are listed in table 1 below.

Table 2: Show the number of interviewees by position at Debmarine

Respondents	Unit	Codes	Years of service
Senior Clerk	Information Centre	W	36
Action officer	Mine and Geology Department	X	6
Information Coordinator (Records Manager)	Information centre	Y	14
IT Technical	IT	Z	11

Support officer	Department		
-----------------	------------	--	--

Participant W from the Information Centre Unit has been with Debmarine Namibia for 36 years. Participant X from the Mine and Geology department has been with Debmarine for 6 years. Furthermore, participant Y who is a Records Manager from the Information Centre Unit has been with Debmarine for 14 years. In addition, participant Z who served Debmarine for 11 years is from the IT department particularly an IT technical support officer.

4.3 Current Stage

4.3.1 Maintenance of records

The researcher asked if the organisation maintained any records and in what format. Respondents X, Y, Z said “yes”, they maintained records both in manual and electronic. Such as CD’s, gazettes, reports, DVD’s, correspondences, minutes, mandatory vessel records, samples, books etc. However, respondent W added that the organisation was in the process of going electronic. The researcher also asked who was responsible for the newly created records. All respondents said departments were responsible for the newly created records. The researcher also wanted to find out if respondents knew about the records lifecycle. Respondent Y answered saying it has stages where records are maintained until they are no longer needed to be preserved at the “archive”. However, respondents X, W, Z were not aware of a records lifecycle.

4.3.2 Classification, filling and retrieval of records

The researcher wanted to establish the filling system of Debmarine Namibia. Respondent W stated that the organisation had a standard filling system. In addition, the respondent stated that each department had their own filling procedure. According to her “the Geology department classify records like DBMN/MRU/INT RPT/18/31”. The first series was the

organisation name, the second being the department name followed by the record type, the year and the record number. However, respondent X was aware of the filing system within the Department. But according to this respondent there was a new and an old filing system. He added, "I did not use the new one but, I however request for the file number from the registry" (Respondent X). The researcher also wanted to find out how frequent respondent X requested for file numbers. According to the respondent he requested ones in a week. He added that records were classified according to box level. The information officers provide respondent X with boxes and bar codes. In addition, upon requesting for file numbers respondent X stated, "I keep my files in that cabinet, if I see that it is full I request for boxes provide an index of the records inside then paste it on top of the box. Upon request of that box I provide the bar code of that specific box to the record centre which I call directly".

However, respondent Y stated that each department sent an email to the information Centre which is CC both to respondents W and Y's computers upon request of files that are at the record centre. He added that "we facilitate the retrieval of records at the record centre". In addition respondent Y added that the office calls the record centre and requested boxes were delivered to the information centres office which were then taken to the department that requested for it by the messenger.

The searcher also wanted to find out how the organisation ensured easy retrieval of records. Both respondents W, X and Y stated that easy retrieval was ensured by making sure all files had a file number and was placed in the cabinet because of their current nature. According to the researcher's observation, the respondent's answers go hand in hand with what was observed because there was indeed a classification scheme within the organisation; however the scheme was not documented just an ordinary number on the board.

4.3.3 Tracking of records

The researcher posed a question: What are the procedures for tracking movements of records? According to respondent W "when a person requests for a current report the respondent enters the name of requester, title and references number of the report into the Genie system". A Genie system is a library and records management database which was used by the organisation. She went on to say: "We do not ask them to sign anything because we know the people". However, she emphasized that it caused a lot of challenges as reports were not returned. Respondent X stated, "If my boss request for a file in my cabinet I provide it because, he is responsible enough to give it back to me". However, respondent Y stated that they had a "retrieval form" given to those that requested for files and a copy was then kept in the information centre and filed.

However, according to the researcher's observation, there were no file movement cards, action ladders, and Transmit sheets. In most cases a person was given a report without signing any document.

4.3.4 Retention schedules

Respondent Y stated that the organisation did not have an approved retention schedules. This was asked because the researcher wanted to establish whether the organisation had an approved retention schedule. Respondent Y added, "I drafted a retention schedule but it was not approved". When asked why? Respondent Y emphasised that all organisational records were vital records and were retained for as long as the organisation was operational. Furthermore, respondent W also said that the organisation did not have a retention schedule. However, she had noticed a sentence in one of the IT policies that clearly explained that organisational records were to be retained and not destroyed.

4.3.5 Safety and Security

In response to the question: What are the safety and security procedures of both manual and electronic records within the organisation? Respondent W responded that the organisation had CCTV cameras in the building to prevent unauthorized access. Respondent Y on the other hand, added that confidential records were filled according to box level to ensure the safety of records. He added that when files were requested the record centre provided the whole box. Furthermore, boxes were represented with a bar code known by the Information Centre and the creating department. In addition disaster and theft was prevented by ensuring that the right people were given the records. He added that the organisation had fire extinguishers and records were stored in a “strong room”. In addition, respondent Z shared similar sentiments and added that all records were backed up on the server which was linked to the system and each computer within the organisation had a password. However, respondent Y highlighted a disaster that happened in 2006 where records were not backed up and employees almost got fired. According to him most records had to be migrated from South Africa. Respondent X also backed up the records.

According to the researcher observation, there were indeed security measures within the organisation. The researcher observed access cards, CCTV cameras in both the organisation and the record centre.

4.4 Semi current stage

4.4.1 Storage facilities

The researcher wanted to find out how and where semi currents records were stored and maintained. According to respondent Y semi current records were stored in the office, basement and record centre. Respondent W added that most of the files were written “closed” and send to the “Archive”. The term “Archive” was used by respondents to refer to a record

centre. However, respondent W did not know where semi current records were stored. Furthermore, respondent Z stated that records that were not frequently used were stored on external hard drive and taken to the Information Centre who then filed them in cabinets. Respondent X on the other hand answered that semi current records were stored in his cabinet and “If I see that the cabinet is full I request for boxes to make space for new records”.

According to the researcher’s observation, the respondent’s answers went hand in hand with the researcher observation. This was because there were cabinets within the registry where staff members kept files. There were files in vaults in the basement which was hardly used and not conducive as it was more of a dumping place. In addition, the basement had no fire extinguishers.

4.4.2 Record centre

Researcher wanted to find out what the record centre procedures were. Most respondents clearly stated that semi current records were stored at the “Archive”. The term “Archive” is used by respondents to refer to a record centre as earlier stated. According to respondent Y the “archival institution” was commercial which stored records according to the organisation requirements. Ask what such requirement were, respondent Y stated that they requested the “Archives” to have their own room “strong room” where Debmarine records were to be housed. However, respondent W was only at the record centre 4 years ago and most questions on the record centre respondent W referred them to respondent Y.

The researcher also wanted to find out about security measures at the record centre. Respondent Y stated that there were CCTV cameras, records were placed 2m above the ground. Only people from Debmarine were allowed in the strong room. However, respondent X had assistances that normally go to the “Archive” to put index list on the box in case respondent X forgot.

The researcher also wanted to find out about other services the record centre provided to Debmarine. According to Respondent W, the “Archive” provided boxes, delivered boxes and provided storage facilities. Asked how request for boxes were done, respondent Y stated that the departments send an email which was forwarded to the “Archive guys” and that email was printed out and the Information Centre employees signed it upon arrival.

This was in line with the researcher’s observation as there was indeed a record centre. However, the only problem was the differences in terms used by respondents. As researcher asked to see the record centre and respondents were confused about the name. In addition *see figure 2* the records centre was more of a dumping site for old materials.



Figure 2: Records centre Source: Observation checklist

4.5 Non current stage

4.5.1 Maintenances of inactive records

The researcher posed a question: how are inactive records maintained? According to respondents W, Y non- current records were stored at the “Archive” (term which referred to a record centre). The organisation did not dispose of records in any manner. However, respondent W stated, “We do shredding in different organisation but those are just duplications of records created”.

4.5.2 National Archive

The researcher wanted to find out if the organisation was guided by the National Archives Act 12 of 1994 of Namibia. Both respondents W, X, Y, Z emphasised on the fact that they were not guided by the National Archives Act. Respondent Y added, "I have not been to the archive" whereas respondent W confused between an Archive and a record centre.

4.6 Registry procedures

In responding to the question: What procedures do you use when you receive in-coming records from the registry? Firstly respondent X had a problem answering this question as he was not aware what a registry was. However, he answered by saying that he only received magazines and file numbers from the registry (when an explanation was given by the researcher about what a registry was). He added, "If I am not around my college take action on a specific report that needs to be taken to the information centre". Furthermore, respondent X added that in case respondent was not around an assistant ensured that everything was done.

4.7 Staff training

In response to the question: Have you received any training on records management? Respondent W received training on filling, updating the system which was in 2015. However, respondent W pointed out that the organisation did not have a training budget nor did they have a training manual. However, respondent X received training but everything was more of an on job learning. Respondent Y added, "For myself I have all the records management skills because, I have a diploma in Records and Archives Management". Respondent added that he went for records management training in Johannesburg. The training according to the respondent was done ones in a while because according to him it was not possible to go away

on training for a long time because it was going to jeopardize the service the office needed to give.

In addition respondent Z answered by saying they advised the entire department to take staff members on training on the electronic records management system however, it has been a challenge. Respondent added that they gave training were they could however, “one needs to have the skills before you come into the organisation, hence why we look for qualified people”. According to the researcher’s observation, there was no training manual.

4.8 Legal and regulatory frameworks

The researcher wanted to establish the different policies and standards that guided the records management practice at Debmarine Namibia. Respondent Y stated that there was a policy on the system but went on to say “I am not sure because if I speak to the company lawyer he has a different version of the document”. The respondent added “we have different policies but I do follow one”. The respondent looked confused when asked what the policy name was and no answer was provided. When researcher asked about the records management standards respondent Y confidently said “I don’t know what that is”. Respondent W however, did not know about any records management policy in the organisation. Respondent Z was aware of an IT policy and respondent X did not know about any records management policy.

According to the researchers observation there was no official records management policy, In addition, all the policies were just drafts which were not approved by management. However, respondent Y is correct because in one of the IT policy it referred to a retention policy which was not available on the system.

4.9 Electronic records management

As part of the objective the researcher wanted to find out how electronic records were managed. Electronic records system, email management, security of electronic records and document version control will be discussed here.

4.9.1 Electronic records concept

In responding to the question: What is your understanding of electronic records? Respondent Z stated that an electronic record was when an organisation has an electronic record in an inventory. Furthermore he added that such records were hardware, files of new employees which were given references numbers taken from the IT help desk. On the other hand, respondent W understanding of an e-record was those records on a computer.

According to the researchers observation there were records on the electronic management system such as petty cash, request forms and IT policies.

4.9.2 Electronic records management system

The researcher also asked whether the organisation had an electronic records management system. Respondents Y and Z stated that they had SharePoint and SAP. According to respondent Z the system accommodated issues of recovery of records in case a specific computer was lost with the help of data recovery system. This question was asked because researcher wanted to establish how electronic records were used over time.

4.9.3 Email management

The researcher wanted to find out if emails were considered official. According to respondent Z, “Jah, but, we don’t encourage users to keep it as a record”. According to him, departments such as Procurements exchanged records on email, but encouraged staff to upload records on SharePoint. Respondent Z added that emails were backed up just in case they were going to be needed together with their attachments. This was done through a daily backup, weekly

backup and full back-up (done on Sunday). These backups were stored off-site at Green strong room.

4.9.4 Security measures

Researcher wanted to find out about the safety measures put in place by the IT department. According to respondent Z they did security measures according to section, where they had custodians who gave approvals and a chain management form in case a person wanted to access a certain folder. On the form, the line manager provided access rights which were in three categories:

- *read and access rights,*
- *read right (only read and edit) and*
- *full back-up (delete, modify, and add).*

Respondent Y added that the whole building was highly secured. People came in with access cards into the organisation. Respondent W concurred and said' "Security is the number one priority in the organisation". Respondent Z added that the system was updated every 3rd year for security measures.

4.9.5 Document version control

The respondent had a problem responding to the question: How often does the organisation do a document version control? According to respondent Z it was done often, because they had packages that converted older version of documents to newer versions (was answered when researcher explained the question). The respondent gave an example of the advanced Microsoft office used which includes Excel, PowerPoint and Word. He added that if an employee loses a document the organisation kept an older version of that specific document. Respondent emphasised more by saying the staff gives the title and a specific metadata which helped for faster retrieval of the lost document.

4.10 Challenges of records management

The researcher wanted to find out about the different challenges faced by the organisation in terms of records management. According to respondent Z the biggest challenge was lack of approval from management for staff members to go on training for the SharePoint as an electronic system. Respondent Y emphasised that the main challenge was lack of qualified staff members with adequate records management skills. Respondent further added that, there was lack of approved policies by management. Respondent W added that they had issues of missing files and mini registry which was a very big issue in the organisation. Furthermore, respondent added that records management in general is not really recognised. There was also lack of awareness of the library services that the organisation provided added respondent W. Respondent X on the other hand, stated that there was lack of awareness between “storage people”(record centre) and the organisation as most people did not know where the place was.

The researcher then asked the respondents on different ways of addressing the challenges and enhancing records management. Respondent Z suggested that the organisation should not rely any longer on external guys (those responsible for backup) but rather rely more on internal people. Respondent X suggested that an online system was best that connects the system of the record centre and the different departments. Furthermore, respondent W suggested that the organisation needed more office space, stating ‘we need to use the basement, because the office is too small you can even see’.

4.11 Summary

This chapter has presented the research data from interviews and observation which was integrated and organised according to the thematic areas of the study. The researcher started by analysing data according to pre-determined thematic areas in line with the study’s objectives. However, in the process of analysing the data other categories emerged which

were incorporated and data has also been presented under these emerging categories. The findings showed that records management in Debmarine Namibia is weak. This was because the findings reveal that there are no standard procedures on how to maintain records. The findings also reveal that Debmarine respondents were not aware of records management practice in general including the terms. The next chapter 5 contains a discussion of findings, summary, conclusions and recommendations.

CHAPTER FIVE

DISCUSSION OF FINDINGS, SUMMARY, CONCLUSION AND RECOMMENDATIONS

5.1 Introduction

This chapter discusses and interprets the findings of the study in the previous chapter. The discussion is presented within the following subheadings: current stage; semi current stage; non-current stage; conclusion of the study; research objective as well as recommendations. The chapter also includes a summary of findings, conclusion and recommendation.

5.2 Discussion of findings

Discussion of findings entails a researcher discussing the results in relation to both the research question or objective and existing knowledge. According to Sarantakos (as cited in Nengomasha, 2009) states that discussion of findings is important as it offers some answers to the research question or objective and explains many issues including the research problem. Morris (2007) added that discussion of findings helps to highlight how ones research differs or confirms to current knowledge of the area in which the research chose to carry out the research.

The discussion of the findings is done under the following subheadings:

- Current stage
- Semi current stage
- Non-current stage
- Staff training
- Legal and regulatory framework
- Electronic records management
- Challenges of records management

5.2.1 Current stage

The current stage is the first stage of the records lifecycle. Maintenance of records, classification, tracking records, registry procedures will be discussed under the current stage.

5.2.1.1 Maintenance of records

Organizational activities naturally lead to the creation of records. According to Sichelwe, Ngulube and Stilwell (2012) records creation refers to the act of accumulating records or incorporating them into a records-keeping system. These records need to be captured to be secured into a record-keeping system where they can be maintained and used for as long as it is needed (Shepherd & Yeo, 2003). This records need to be adequately maintained with proper procedures being put in place such as filing procedures so that staff can have quick and easy access to the record required. Therefore, it was observed that Debmarine Namibia created different type of records both electronic and manual, which were created by different departments within the organisation. Furthermore, the research found that records were captured and maintained in records keeping system (Genie system) as well as SharePoint for electronic records.

5.2.1.2 Registry procedures

A registry is an administrative centre for the control of all records documents and information required by the department for its work (Hamutumwa, 2004). Every registry is basically responsible for opening emails, file creation, classification, circulations, storage, closer and disposal of records. It was observed and confirmed by all respondents that Debmarine had a registry which was called an Information centre because it practiced both library functions and records management functions. In addition the research also revealed that the Information Unit was a facilitator between the departments and the records centres.

It was observed that every action officer maintained their own records in their offices. Previous studies (Hamutumwa, 2004; Katjiveri, 2007; Nengomasha, 2009) also found that action officers managed their own records or records were managed by their secretaries of departments in different ministries and also at the University of Namibia.

5.2.1.3 Classification and retrieval of records

Records classification allows for certain actions such as grouping, naming, user permission, security protection and retrieval of records to be done with ease (Mampe & Kalusopa, 2012). Therefore if there is no classification scheme in an organisation there are several implications such as records may not be retrieved when needed. The finding of the study showed that Debmarine had a filing procedure in place however, there was no classification scheme document as number were simply written on a board in the Information centre.

5.2.1.4 Tracking of records

According to Ngoepe (2008), the purpose of tracking records is to document the movements of records so that an organization knows where its records are at any time; to monitor the use of records and to maintain an auditable trail of records keeping processes, such as access to records by the users. The findings revealed that there were no file movement cards, action ladders however according to the respondent there were retrieval forms which was not seen by the researcher during observation.

5.2.2 Semi current stage

The semi current stage is the second stage of the records lifecycle. Storage facilities and records centre will be discussed under this sub heading.

5.2.2.1 Storage facilities and records centre

According to Penn et al, (2017) storage facilities ensure proper maintains of the records especially those that are not frequently used by the organisation. According to Shepherd and Yeo (2003) records that are not frequently used in the conduct of business are transferred from a creating agency to a record centre with proper storage facilities to ensure records are retrieved when requested for. The study revealed that Debmarine stored most of their semi current records at the record centre. Consequently, the respondents also referred to the record centre as an Archive. The study also revealed that there were records stored in vaults in the basement.

5.2.3 Non current stage

Non-current stage is the last of the records lifecycle and disposal and retention will be discussed here because as supported by Frank (2013) that the last stage of records life cycle involve the destruction and transfer to the archive.

5.2.3.1 Records retention and disposal

Ngulube and Tafor (2006) state that scheduling of records is the most important element in any records management programme. In support Garaba (2015) argues that apart from facilitating business continuity, a records retention schedule reduces the cost associated with keeping everything. The study discovered that there was no records retention schedule. This was because Debmarine did not dispose of records but retained records at the record centre for as long as the organisation was operational as all records were considered vital. This has implications as highlighted by Ngoepe (2008) study which established the absences of records retention in an organisation leads to records being kept for too long resulting in more space needed for such records.

5.2.4 Staff training and skills

The study revealed that most staff members did receive training on filing, updating systems but only in 2004. Moatlhodi (2005) state that the quality of records management practices is directly related to the training received by records personnel. The study also revealed that only one respondent from the Unit had a diploma in Records and Archive management and the other three in other fields which respondents added themselves without pressure from the researcher. According to the researchers observation there was on training manual within the organisation.

5.2.5 Legal and regulatory framework

The finding from the study showed that Debmarine had drafts policies awaiting approval from management. This can cause a lot of implications because policies provide reliable and authentic information for the evaluation of actions and decisions (Hamutumwa, 2004). The study also revealed that Debmarine staff were not aware of organisational policies that are on the intranet while others are aware but simply do not use it. In addition the organisation did not have a records management policy nor were they guided by a records management standard and the Archives Act. The absences of records management policies and Debmarine imply procedures for records capturing, classifying, retaining, storing, accessing were impaired hence haphazard decision making.

5.2.6 Electronic records management

This part is going to look at the management of electronic records; electronic records management system; document version control and security measures.

5.2.6.1 Management of electronic records

The study revealed that Debmarine uses a hybrid system in managing organisational records. The study complements (Chaterera, 2012; Nengomasha, 2009) that revealed that most organisation in Africa were going electronic but also maintained paper records.

5.2.6.2 Electronic records management system

The study revealed that Debmarine used SharePoint and SAP which is a content management system. The system accommodates for issues of retrieval of records. Nengomasha (2009) agreed when she stated that records keeping system need to keep and support for the retrieval of records.

5.2.6.3 Email management

The study showed that Debmarine did not encourage users to use emails, but had departments that exchanged emails such as Procurement. The study also revealed that there were no guidelines how to manage emails. However the emails exchanged by staff members were backed up. This was similar finding by Nengomasha (2009) in the public Service of Namibia which revealed that control over emails was highly individual and often locked in organisational control which causes implications of loss of control which is an important problem for management, retrieval and use of messages.

5.2.6.4 Document version control

The study showed that Debmarine had preservation strategies in place. The organisation had packages that converted older version of documents to a newer version. Such packages were advanced Microsoft office which includes Excel, PowerPoint and Word. According to Nengomasha (2009) digital preservation measures is important for the use-ability of electronic records.

5.2.6.5 Electronic records management safety and security

The study found that there was security measures put in place at the organisation. Backup was done daily, weekly and a full backup done on Sundays. For a person to get access to an electronic record they had to get approval from a management who gave a change management form and give access rights. There were three categories of access: read and access only; read right (read and edit) and full access (delete, modify and add). The study also revealed that backup records were stored offsite as part of preservation strategies.

5.2.7 Challenges of records management

The findings found that Debmarine experienced shortage of adequate staff members with records management skills as there were only two officers a clerk and an Information officer serving the whole organisation. Another challenge was lack of proper records management procedures as a result of lack of policies. The study also revealed issues of missing files which was caused because the organisation had no means of tracking movement of records. The study also revealed that there were issues of mini registries; records stored in the basement had no security protection as the place was more of a dumping site. The study also revealed that there was lack of awareness on the usage of records management terms as respondents referred to the Record centre as the Archives. As a result the study showed that staff members were not knowledgeable about records management practices hence functions were not carried out effectively and productively.

5.3 Summary of findings

This study found that Debmarine managed records both electronically and manually. However, there were no standard guidelines on how to manage both paper and electronic records. The registry which was called Information centre dealt with Library functions and records management functions. There were no proper registry procedures such as file

movement cards, action ladders hence why there were issues of missing file. Individual creators of records were responsible for the management and storage of the current records but asked for boxes and bar codes from the Information centre when the cabinets were full. Those boxes were taken to the record centre which was a storage area for semi-current and non-current records. There was no retention or disposal schedules as records were retained for as long as the organisation was operational. Debmarine did not sent vital records to the Archives meaning they were not guided by the Archives Act 12 of 1992. The study also found that Debmarine had a number of security measures for electronic and paper records. However, there were records found in the basement. The basement did not have any fire extinguishers in an event of a fire. The study also found that there was lack of staff awareness on records management practices especially with classification as numbers were just written on a board in the Information centre unit.

5.4 Conclusion

The study was undertaken to establish management of records at Debmarine Namibia. These sections briefly show if research objectives have being meet.

5.4.1 To determine registry system

The organisation had a registry within the organisation. The unit was called the Information centre which carried out both library and records management functions.

5.4.2 To find out the nature of filling system and procedures

Each department within the organisation had its own classification procedures. The scheme for the Geology department was written on a board and when a staff member asked for a reference number another sequences was written. The IT department on the other hand asked their reference numbers from the help desk.

5.4.3 To examine records standards and policies guiding records management

The organisation did not have records policies and standards as most of them were awaiting approval from management.

5.4.4 To find out how records were stored

The organisation stored records in offices cabinet until they were full and were transferred to the record centre which retained records for as long as the organisation was operational. The organization staff indicated that records storage will be a concern in the future as the vaults in the basement and the strong room at the Record centre were full.

5.4.5 To establish retention and disposal procedures

Individual within different departments retained records until the cabinet was full and ask bar codes and boxes from the Information unit. The individual then prepared an index list which was pasted on the box and taken to the record centre. The organisation did not have disposal procedures as there was no disposal of records as there were all vital records.

5.4.6 To find out how electronic records are managed

The organization managed electronic records on an electronic records management system SharePoint and SAP. The organization had security measures in place such as backup which were done weekly, daily and fully on Sundays. In addition, there was an offsite electronic storage at Green. In addition, emails were not considered official because management encouraged staff members to use SharePoint and SAP instead of emails.

5.5 Recommendations

One of the objectives of the study was “To make recommendation on how records management can be enhanced at Debmarine”. The study recommends the following:

1. The organisation should restructure the Information Unit. The Library and Records management unit should each be separated.
2. The organisation should develop a records management policy as well as a classification scheme which is documented and given to all line managers.
3. The records management unit should be staffed with adequate personnel. Debmarine is a big organisation which has many department therefore two officers are not enough to service the whole organisation.
4. The organisation should develop a training manual. In addition staff members should be trained on how to use SharePoint and SAP so that there is no duplication of effort.
5. Make the management of emails official by developing an email system with a staff member who approves and rejects emails as official records.

5.5.1 Area for further research

This study like any research had limitations as it only focused on records management. Additional research is needed to assess the management of electronic records at Debmarine Namibia.

5.6 Final conclusion

This study was undertaken to establish the management of records at Debmarine Namibia. The study used a qualitative approach and the instruments were interview guides and observation checklist. The organization used a hybrid system in the management of organizational records. The type of records kept were correspondents; minutes, mandatory vessel records, administration records, CDs; gazettes etc. Debmarine only had one staff member with a Diploma in records and archives management whereas others had in other fields such as geology and one gained certificates from short courses offered on training. The records management policies were drafts awaiting management approval and

implementation. Debmarine had security strategies such as offsite storage at Green strong room. Debmarine experienced challenges such as loss of files; weak support of management to approve policies; weak organizational structure and storage space. Debmarine needs to separate library and records management because they are not similar. They also need to do a speedy approval of records management policies, provide training to staff more frequently for efficiency and productivity.

REFERENCES

- Berends, M., & Zottola, G. (2009). Research essential: An introduction to design and practices. In D.L. Stephen, & M.T Quartaroli (Eds.). *A primer of survey methods* (1st ed.). San Francisco, United States: Jossey-Bass.
- Brynard, D. J., Hanekom, S. X., & Brynard, P.A. (2014). *Introduction to research*. Pretoria, South Africa: Van Schaik Publishers.
- Coetzer, P. X. (2012). *The status of records management at the University of Zululand*. MA Dissertation. University of Zululand. Retrieved from <http://www.uzspace.uzulu.ac.za/bitstream/handel/105030/1219>
- Cooper, D. R., & Schindler, P.S. (2008). *Business research method*. New York, New York: McGraw-Hill Higher Education.
- Denzin, K. D., & Lincoln, S.L. (2011). *A hand book of qualitative research* (4th ed.). London, United Kingdom: SAGE Publications.
- Frank, P. C. (2013). *Records and information management*. Chicago, United States. Library of Congress.
- Ginn, R. (2011). *Records management*. San Francisco, United States: South western engage learning.
- Hamutumwa, N. (2004). *Records management in organisation: A case study of the Ministry of Home Affairs*. Undergraduate Research Project, University of Namibia.
- Howell, J., Miller, P., Park, H., Sattler, D., Schack, J., Sperry, E., Widhalm, S. & Palmquist, M. (2012). *Reliability and validity*. London, United State: Colorado State University. Retrieved from <http://www.writing.colostate.edu/guides.efm?guide>

Idaho State University. (2017). *Records lifecycle*. Retrieved from <http://www2.isu.edu/infomgmt/record.shtml>

International Records Management Trust. (1999). *The management of Public sector records: principles and context*. London: United States.

Katjiveri, M. (2013). *The management of semi current records in the public sector of Namibia*. Unpublished MA Dissertation. University of Botswana.

Kavaranga, U, (2015). *The status of records management in parastals in Namibia: A Case study of NAMCOL*. Unpublished undergraduate research project, University of Namibia.

Keakopa, S. M. (2013). Implementation of a records management strategy at the Botswana unified resource. *Journal of the South African Society of Archivist*, 46(2): 37-45.

Kirk, J., & Miller, L. M., (2006). *Reliability and validity in qualitative research*. California, United kingdom.

Kothari, C. (2004). *Research methodology: Methods and techniques* (2nd ed.). New Delhi, India: New Age International Publishers.

Lamb, D. (2014). *The users of analysis: Rhetorical analysis, article analysis and the literature review*. Retrieved from <http://www.web.archive.org>

Lim, W. M., & Ting, D.H. (2012). *Research methodology: A toolkit of sampling and data analysis techniques for qualitative research*. Norderstedt, Germany: GRIN Verilog Publications.

- Mampe, G., & Kalusopa, T. (2012). Records management and service delivery: The case of the Department of Corporate Service in the Ministry of Health in Botswana. *Journal of the South African Society of Archivist*, 45(2): 2-23.
- Manyambula, M.T. (2009). Public service reform, accountability and records management: A case study of Tanzania. *ESARBICA Journal*, 28(2), 2-33.
- Matangira, V. (2016). *Records and archives management in postcolonial Zimbabwe public sector*. Unpublished PhD Dissertation, University of Namibia.
- Matangira, V., Katjiveri-Tjiuro, M., & Lukileni, N. H. (2013). Establishing a university records management programme: A case study of the University of Namibia. *Journal for Studies in Humanities and Social Science*, 2(2), 103-117.
- Mathew, B., & Ross, L (2010). *Research methods: A practical guide for the social science (1st ed.)*. Harlow, England: Pearson Education limited.
- McCammon, B. (n.d.). *Design research techniques: Semi-structured interviews*. Retrieved from <http://www.designresearchtechniques.com/casestudies/semi-structured-interviews>
- Mfakose, L. (2017). *Records management at north east district Council in Botswana*. Unpublished undergraduate research project, University of Namibia.
- Moathodi, T.M. (2015). *An assessment of e-records readiness at the Ministry of Labour and Home Affairs headquarter in Botswana*, Gaborone: University of Botswana.
- Nengomasha, C.T. (2009). *A study of electronic records management in Namibia Public Service in the context of e-governance*. Unpublished PhD Dissertation, University of Namibia.

- Nengomasha, C.T. (2009). Managing public sector records in Namibia: A proposed model, *Information Development*, 25(2), 112-126.
- Ngoepe, M., & Van der Walt, T. (2010). A framework for a records management programme: lessons from the Department of Cooperative Government and Traditional Affairs in South Africa. *Mousaion*, 28(2): 82-106.
- Olsen, W. (2012). *Data collection: Key debates and methods in social research*. London, United Kingdom: Sage Publications.
- Penn, I. A., Pennix, G. B., & Coulson, J. (2017). *Records Management handbook*. New York, New York: Ashigate Publishing.
- Ridley, D. (2012). *The literature review: A step by step guide for students*. London: United Kingdom: SAGE Publications.
- Shank, D. G. (2009). *Qualitative research: A personal skills approach*. (2nd ed). New Jersey, United State: Pearson Education Publisher.
- Shank, G.D. (2006). *Qualitative research: A personal skills approach* (2nd ed.). Upper Saddle River, NJ, USA: Pearson.
- Shepherd, E., & Yeo, G. (2003). *Managing records: A handbook of principles and practice*. London, United States: Facet Publishing.
- Shepherd, E., Stevenson, A., & Flinn, A. (2011). Records management in the English local Government: the effect of freedom. *Records Management Journal*, 12(2), 122-154.
- Sichalwa, E. N., Ngulube, P., & Stilwell, B. (2012). Managing records as a strategic resource in the government ministries of Tanzania. *Information Department*, 27(4), 264-279.

Society of American Archivist (n.d.). *Records lifecycle*. Retrieved from <http://www2.archivists.org>

Tagbotor, D.T., Adzido, R.Y.N., & Agbanu, P.G. (2015). Analysis of records management and organisational performance. *Journal of Academic Research in Accounting, Finance and Management Science*, 5(2), 96-107.

Taylor, M. (1994). Records management in Namibia: prospects and problems. In C.T. Nengomasha (2009), *A study of electronic records management in Namibia Public Service in the context of e-government*. Unpublished PHD Dissertation. University of Namibia.

Thomas, G. (2011). *How to do your Case study: A guide for student and research*. London, United Kingdom SAGE Publisher.

Unegbu, V.E. (2008). Challenges of Records Management Practices in the Ministry of Information and Strategy. *Journal of Library and Information Science*, 3(2), 240-244.

USA: SAGE Publications.

Welman, C., Kruger, F., & Mitchell, B. (2005). *Research methodology (3rd ed.)*. Cape Town, South Africa: Oxford University Press.

Welman, C., Kruger, F., & Mitchell, B. (2011). *Research methodology*. New York, New York: Oxford University Press.

Yin, R. K. (2009). *Case study research: Design and methods (4th ed.)*. London, England: SAGE Publisher.

Yusof, Z.M., & Chell, R. W. (2002). The records lifecycle: an inadequate concept for technology generated records. *Information Development*, 16(3): 135-141.

Zina, O. (2010). *The essential guide to doing your research project*. Los Angeles, United States: SAGE Publisher.

APPENDIX A

INTERVIEW GUIDE FOR RECORDS KEEPING STAFF

Everything in bold is for the attention of the interviewee and not the interviewer

What is your position in the organisation?	
How long have you been in this position?	

Current Stage

1. Does your office maintain records?
2. What types of records do you maintain (Manual, electronic or both)?
3. What kind of filing system do you have?
4. How do you ensure easy retrieval of records?
5. How do you ensure the safety and security of records? In terms of disasters, thefts, viruses and issues of software and hardware.
6. How do you track movement of your records?
7. Have you ever experience an issue of missing files in the office?
8. Who is responsible for newly created records?
9. Do you have an official records retention schedule?

Semi current stage

1. Do you have records that are not used frequently in your office?
2. Where are those files stored and maintained?
3. How do you request for those files at record centres?
4. Is it a commercial or a national records centre?
5. Are you aware of any security measures at the record centre?
6. What other services does the records centre provide to the organization?
7. What happens from the records centre (are records transferred to the archives, or are they destroyed?)

Non-current stage

1. How do you handle records that you do not use anymore?
2. How long do you maintain records until they are considered inactive?
3. Who gives the directive to destroy records in your possession or at the records centre?

Registry procedures

1. What are the registry procedures upon request for files?
2. How does the registry track movement of files?
3. How does the registry handle emails?
4. Do you have a massager? If yes what are his/her responsibilities?

Staff skills

1. Have you received any training on records management?
2. Does the organisation have a training manual?
3. What are the key aspects (other skills) that are taught at the training?
4. How long (Often) is the training?

Legal and regulatory framework

1. Are there policies and regulations that guide you in the management of records?
2. Are you aware about records management standards?

Challenges and recommendations

1. What are the main challenges that the organisation is facing in terms of records management?
2. What do you suggest Debmarine should do to enhance records practices?

THANK YOU FOR YOUR TIME.

APPENDIX B

INTERVIEW GUIDE FOR ACTION OFFICER

Everything in bold is for the attention of the interviewee and not the interviewer

What is your position in the organisation?	
How long have you been in this position?	

General questions

1. Do you know if the organisation has a filing system?
2. Do you know how to use it and do you use it?
3. Does your office maintain records?
4. What type of records do you maintain (Electronic, manual or both)?
5. Do you always send records to the registry for filing or do you do filing yourself?
6. How do you ensure easy retrieval of records?
7. How do you ensure the safety and security of records?
8. How do you track movement of your records?
9. Have you ever experienced issues of missing files in the office?
10. Who is responsible for the newly created records?

Registry procedures

1. What procedures do you use when you receive in-coming records from the registry officer?
2. How long does it take for you to take action on a specific document?
3. Who takes actions in case an Action officer is not present?
4. When you request for a file at the registry are you required to sign for it?
5. Do you keep files in the registry until you are done working on the matter? Or do you simply keep it until you are done then return it?
6. Do you work with files or are you simply just given a letter take action on it and do whatever you want with the correspondences?
7. What happens when you receive an e-mail to take action on a specific document and you are not available?

Legal and regulatory framework

1. Are there policies and regulations that guide you in the management of records?
2. Are you aware about records management standards?
3. How often do you use them?

Challenges and recommendations

8. What are the main challenges that the organisation is facing in terms of records management?
9. What do you suggest Debmarine Namibia should do to enhance records practices?

THANK YOU FOR YOUR TIME.

APPENDIX C

INTERVIEW GUIDE FOR IT TECHNICIAN

Everything in bold is for the attention of the interviewee and not the interviewer

What is your position in the organisation?	
How long have you been in this position?	

E-records management

1. Does your office maintain e-records?
2. What is your understanding of e-records?
3. Does the organisation have an electronic records management system?
4. How often is the system updated?
5. Does the system accommodate for other types of records? (maps, etc)
6. How do you ensure the usage of electronic records overtime?
7. Is emails considered official?

Security

1. What security measures are put in place on who should access the system?
2. How often does the organization do document version control?
3. How often is the system updated?
4. Are staffs trained on how to operate the system?
5. What are the different backup procedures put in place by the organisation?

Challenges and recommendations

1. What are the main challenges the organisation has faced in regards to electronic records management?
2. What do you suggest Debmarine should do to enhance records practices?

THANK YOU FOR YOUR TIME.

APPENDIX D

OBSERVATION CHECKLIST OF RECORDS MANAGEMENT AT DEBMARINE

OBSERVATION ASPECTS	YES	NO	REMARKS
Registry			
Presences of records in offices			
Records on computer system e.g. e-mails			
Records in filing cabinets			
Records have folio numbers			
Records management policy			
Counters			
Classification scheme			
File movement cards,			
Transit sheets			
action ladders			
Are files written “closed”			
Cleanliness of registry			
Records retention			

schedules			
Training Schedules			
Records store room			
Sign of congestions			
No eating in the registry			
Record centre			
Fire extinguishers			
Files in acid free boxes			
CCTV camera			
Box indexed			
Presences of bar codes on boxes			
Locked doors			
Box 1.6 centimetres above the ground			

APPENDIX E

CONSENT FORM

Title of study: Records management at Debmarine Namibia

Researcher: Selma N. Mulokoshi

University of Namibia, Department of Information and Communication

Studies

Cell: +264814289646

E-mail: selmanangula3@gmail.com

My name is Selma Mulokoshi a 4th year student at the University of Namibia, currently doing a Bachelor of Arts Honour's degree in Records and Archives Management. As part of my course requirements I am conducting a research title, Records management at Debmarine Namibia.

The main purpose of this interview is to assess the records management practice at Debmarine. As a participant, you are assured that the interview is for research purposes only and information obtained thereof is confidential.

If there is any questions or were dissatisfied at any time with any aspect of this study, you may contact, anonymously if you wish me or my research supervisor in the Department of Information and Communication Studies, University of Namibia: Professor Cathrine T. Nengomasha, e-mail: cnengomasha@unam.na Tel: 061-2063641.

If you voluntarily agree to participate in this research, kindly indicate your consent by signing below:

Do you agree to be

YES
NO

 interviewed?

Signature _____ Date _____