**ASSESSMENT OF RECORDS KEEPING FOR PUBLIC SECTOR SERVICE DELIVERY IMPROVEMENTS: THE CASE OF UWASA IN TANGA-REGION, TANZANIA**

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**A DISSERTATION** **SUBMITTED IN PARTIAL FULFILMENT OF THE REQUIREMENTS FOR THE DEGREE OF MASTER OF LIBRARY AND INFORMATION MANAGEMENT (MLIM)**

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**20****22**

**CERTIFICATION**

The undersigned certifies that he have read and hereby recommends for acceptance by the Open University of Tanzania a dissertation entitled: “*Assessment of records keeping for public sector service delivery improvements: The Case of UWASA in Tanga-Region, Tanzania.****”*** in partial fulfillment of the requirements for the Master of Library and Information Management.

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Date

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**DECLARATION**

I, **Said Justin Mbelwa**, declare that, the work presented in this dissertation is original. It has not been presented to any other University or Institution. Where other people’s works have been used, references have been provided. It is in this regard that I declare this work as originally mine. It is hereby presented in partial fulfilment of the requirement for the Degree of Master of Library and Information Management (MLIM).

………………………………..

Signature

……………………………..

Date

**ACKNOLEDGEMENT**

First of all, I would like to thank God for giving me sustained health and keeping me in good health during the whole period of my studies. This work would not have been possible without the helpful propositions and encouragement I received from different individuals.

My special thanks go to my supervisor Dr. Henry L. Mambo for his constructive criticisms, encouragement and moral support and for ensuring that the work is accomplished and submitted as required and within the required timeframe. I would like also to thank my lovely mother Mtoveka Said for her endless love and support to me.

I am also grateful to my brother and sisters for their cooperation and moral support. Finally, my sincere acknowledgement goes to my lovely wife Sheila Mmbaga for her love, support and encouragement.

**DEDICATION**

This work is dedicated to my lovely daughter Asia Said for being humorous all the time when she beside me of which gave me strength when doing my work, I pray for her to grow well and become a strong women in this world.

**ABSTRACT**

The study on record keeping practices in public sector service delivery improvements was conducted in Tanga-UWASA. The study was guided by four specific objectives of; assess record keeping policy; examine contribution of record keeping on public service delivery; to assess personnel capacity on records keeping and identify challenges Tanga-UWASA face in records keeping. Fifty nine staff and 6 heads of department participated in this study. These respondents were randomly and purposively selected. The study employed both Qualitative and Quantitative research design. Questionnaire and interview methods were used in data collection. Findings revealed that 91.5% of the respondents agreed that there was record keeping policy and it really helped them in performing records keeping activities. The study also reveal that 100% of the respondents were in agreement that record keeping contribute to improvement of the record keeping system and effective use of disposition record to meet with customer expectation.

Moreover the study indicate that inadequate trained personnel on records keeping inadequate equipment and storage facilities, lack of awareness on the importance of records and records management among non-records keeping staff hinder effectiveness of record keeping. Ultimately, the study concluded that record keeping partly record keeping practices implemented effectively though guidelines, record keeping policies and procedures need to be improved and upgraded. The study recommends that the institution should automate its records keeping functions and implement records keeping awareness programs for non-records keeping staff.

**Keywords:** *Records Keeping, Public Sector, Service Delivery Improvements, Tanzania.*

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# LIST OF ABBREVIATIONS

IRMT International Records Management Trust

RAMD Records and Archives Management Department

PSRP Public Sector Reform Programme

UWASA Urban Water Supply and Sanitation

WHO World Health Organization

ICA International Council on Archive

USA United States of America

ACCIS Advisory Committee for the Coordination of Information System

SMEs Small and Medium Enterprises

UNRA Uganda National Road Authority

# CHAPTER ONE

**BACKGROUND TO THE STUDY**

* 1. **Introduction**

The chapter describes background of the study, statement of the problem, research objectives, research questions, significance of the study, scope and limitation of the study and definition of key terms.

**1.2 Background of the Study**

Record keeping involves activities related to the creation, maintenance and disposition Clear, comprehensive and accurate records are essential to communicate the delivery of professional services and to support professionals in responding to accountability issues (Geyer, 2005). Record keeping should be approached in an organized and systematic manner that will support the creation of efficient records, maintain their confidentiality and prevent unauthorized disclosure. Record keeping is a fundamental activity of public administration (Smith, 2007). Without records there can be no rule of law and no accountability. Public servants need information to carry out their work, and records represent a particular and crucial source of information.

Smith (2007) narrate that, public sectors can no longer justify taking action with little or no reference to past performance or future goals. Neither they can justify parallel or duplicate services when they can combine services and reduce costs. Client service, quality performance of tasks, and measurable outcomes are increasingly important responsibilities, and these aspirations all depend on accessible and usable records.

In early history of records keeping, there were simply no set rules or regulations governing record retention. Business and governments held onto documents according to their own individual needs (Yeo, 2015). Practical considerations like finance, space and resources played a huge role in determining how records were kept and for how long.

In many countries around the world, record keeping systems are unable to cope with the growing mass of unmanaged records (Bantin, 2008). This is particularly true in countries with limited financial or administrative resources or where records and archives managers lack training or professional development opportunities (Gupta, 2008). Administrators find it ever more difficult to retrieve the information they need to formulate, implement, and monitor policy and to manage key personnel and financial resources. This situation impedes the capacity to carry out economic and administrative reform programs aimed at achieving efficiency, accountability, and enhanced services to citizens. Moreover, the decline, and in some cases total collapse, of record keeping systems makes it virtually impossible to determine responsibility for actions and to hold individuals accountable (IRMT, 2000).

In the last decade of the twentieth century record keeping professions archivist, records and information managers began to re-invent themselves largely but not exclusively, in response to the change from paper based to electronic record keeping systems (Adam, 2008). This is evidenced by changing language of the record keeping professions, the recognition of related interdisciplinary research and knowledge and the re-evaluation of record keeping theories and practices. However the process of re-invention is a continuous one and many record keeping concepts are being further refined as a result of the impact of the internet and other communication technologies. The use of electronic record keeping developed countries such as United States, Britain, Germany, China, Japan and Singapore has played an important role in enhancing delivery of quality public services and maintenance of high level of accountability and transparency in use of public resources (Mitiri et al, 2019).

In 2002 the Government of Tanzania established the Records and Archives Management Department (RAMD), in which the department was given power and responsibilities to contribute to the efficiency, effectiveness and economy of the government by ensuring that public officers follow good records keeping systems (Mhina, 2012). Mazikana (2009) is of the opinion that most archival institutions with the mandate to provide records keeping service to the public service lost an opportunity to push the records keeping agenda during public reform exercises. He cites Tanzania made records keeping one of the core components of its Public Service Reform Programme. Tanzania Government introduced the Tanzania Public Service Colleges in which produces a number of skilled people in keeping and management of records under the ambit of the executive Agencies Act No. 30 of 1997 to ensure the values and principles of public service apply to public service in all State organs in both levels of government; and all state corporations.

The Governments carry out several activities to provide citizens with services and at the same time guarantee that these services are provided in accordance to the rule of law. Humphreys (1998) stated that better service delivery begins with good records keeping practices. This is because government or public departments can only take appropriate action and make correct decisions if they have sufficient information at their fingertips.

These values and principles of public service according to the constitution include high standards of professional ethics, efficient, effective and economic use of resources, responsive, prompt, effective, impartial and equitable provision of services, involvement of the people in the process of policy making accountability for administrative acts transparency and provision to the public of timely and accurate information and representation of Tanzania’s diverse communities and affording adequate and equal opportunities for appointment, training and advancement at all levels of the public service. Despite initiative of service reform program launched in 1999 effectiveness and efficiency in record keeping in public organization are not managed well. Study by Ndenje-Sichalwe (2011) revealed that although the introduction of the Public Sector Reform Programme (PSRP) had resulted in some efforts in reforming the records keeping practices in the public service, still records in the government ministries are not well managed (Kemoni, and Ngulube, 2008).

Tanga UWASA since its commencement in 1998 has been providing water supply and disposal service efficiently and effectively. It has been justified that records and information keeping system enable the authority to make appropriate decisions to its day to day responsibilities. Despite the role it plays, covered area and the number of customers served, the authority lacked the policy to govern the collecting, processing, storing, retrieving, using and disposing records. As a result, the authority faced challenges in keeping its records and information. The challenges faced are centered to areas of collecting, processing, classifying, storing and retrieving records and information. Unethical using, failure of tracking, unauthorized accessing and unclear disposing schedules of the records and information are among the challenges faced in authority (Tanga-UWASA records policy, 2015). Being the case, the authority has established a policy that guides the management of records and information in its department/sections and authority in general (Tanga-UWASA records policy, 2015).

The policy aimed to ensure all departments and sections comply with good records and information keeping practices, guiding the best practices in collecting and processing records and information in the Authority. It also assist to oversee the best practices in preserving and retrieving records and information for various uses in the Authority, as well as ensuring timely disposal of records and information with no more extended value to the authority and its stakeholders. Records and information keeping in the Authority is essential for ensuring availability of accurate records and information that shall enable effective and efficient service delivering to customers.

* 1. **Statement of the Problem**

Effective and efficient public service delivery has become essential emphasis in most public institutions now days as it competes with nonpublic sectors to make sure they become trusted and satisfying their customer needs (Cunningham and James, 2011). Smith (2007) insist that, this is only possible when there is a good record keeping practices where it simplifies job descriptions and increase accountability to public servants. Although public institutions have been struggling in making sure the provision of services to customers is better, they still have some challenges on how to maintain good record keeping practices to improve good services delivery to the public.

Tanga-UWASA is one among public institutions which depends much on record keeping practices in services delivery improvements to their customers and organization. Therefore, this study assessed how records keeping practices is done on public sector and its contribution in services delivery.

* 1. **Objectives of the Study**
		1. **General Objective**

The general objective of this study was to assess how records keeping can improve public sector service delivery with special reference to UWASA in Tanga Region.

# 1.4.2 Specific Objectives

The specific objectives of the study were:

1. To assess record keeping policy at Tanga-UWASA;
2. To examine contribution of record keeping on public service delivery at Tanga-UWASA;
3. To assess personnel capacity on records keeping at Tanga-UWASA; and
4. To identify challenges Tanga-UWASA face in records keeping.
	1. **Research Questions**

**The following research questions guided the study:**

1. What was record keeping policy at Tanga-UWASA?
2. What was the contribution of records keeping on service delivery at Tanga-UWASA?
3. What was the personnel capacity in record keeping at Tanga UWASA?
4. What challenges did Tanga-UWASA experience in keeping records for public service delivery?
	1. **Significance of the Study**

According to Ngulube, (2000) quality records keeping is the key for the institutions in delivering services to public because of having clear information that will help them to know what service needed and how will be delivered to the public. The World Health Organization (WHO) is a good example in keeping quality records especially at this moment when the world is suffering COVID-19. WHO keeps the records of all countries about the condition of the disease which help them to know which nation and what kind of people are more affected and what assistance should be given. Tanzania has a National Records Center (Dodoma), where record keeping practices is at highest stage in the sense that all records keeping requirements are in place and delivery of services to public is the best compared to many public institutions in the country (United Republic of Tanzania, 2011).

The findings of this study would help Tanga-UWASA to suggest ways of improving the services it delivers to the public through emphasizing on the importance of records keeping as a critical component in promoting and improving service delivery. The study also aims to enlighten the top management and staff of Tanga-UWASA on the importance of good and proper records keeping in provision of service delivery, the need to establish good records keeping program that includes policies, procedures and standards that govern records keeping in the organization.

* 1. **Scope and Limitation of the Study**

**1.7.1 Scope of the Study**

The study generally was confined on the assessment of record keeping for public sector service delivery improvement at Tanga-UWASA. Geographically Tanga City located between latitude 40 and 60 south of the Equator and between longitudes 370 and 390east of Greenwich with a total population of 2,048,205 (URT, 2012). Specifically the study assess record keeping policy at Tanga-UWASA, examine contribution of record keeping on public service delivery, assess personnel capacity on records keeping and identify challenges Tanga-UWASA face in records keeping. The study also employs case study research design coupled with quantitative and qualitative approaches in data analysis. Questionnaire and interview method used in collecting qualitative and quantitative data.

# 1.7.2 Limitation of the Study

The study encountered financial constraint and overlapping of research time table schedule with other activities that were supposed to be done at the same time within the framework of this research project. In attempt to financial constraint the researcher requested financial assistance from relatives and use the available money with economy in all the steps in order to come up with the desired outcome. With that monetary discipline this study was done to its best. In case of time scheduling the researcher uses extra time and other convenient weekdays to finalize and make this study in the best format agreed for the dissemination and submission. It was also subjected to problem of respondents’ reluctance to participate in data collection and provide validity and reliable information pertaining to the study. The researcher used to convince the respondents to contribute and give their responses on the questions by explaining clearly the purpose of the study and seek respondents consent.

# CHAPTER TWO

# LITERATURE REVIEW

# 2.1 Introduction

This chapter presents a review of related literature in the area of records keeping, public service delivery and how good records keeping practices can help promote efficient and effective public service delivery. Dawadowicz (2006) explain that a literature review is a thoughtful and logical discussion of related literature which builds a logical framework for the research and locates it within a tradition of enquiry and context of related studies.

The literature review covers related studies in records keeping with reference to the purpose of records keeping, the theoretical models that inform the study, and the current status of records keeping in the government institutions. The literature review also relates proper records keeping to the improvement of service delivery since proper records keeping improves business transactions in any organization. The chapter starts with the definition of operational terms used in the study.

* 1. **Definition of Key Terms**
		1. **Record**

Record refers to a document that memorizes and provides objective evidence of activities performed, events occurred, results achieved or statements made. Records are created or received by an organization in routine transaction of its business or in pursuance of its legal obligation (Adam, 2008).

* + 1. **Record Keeping**

According to Geyer (2005) Record keeping is the activity of organizing and storing all the documents, files, invoices etc. relating to a company’s or organization’s activities.

* + 1. **Public Services**

Public Services are the services which are provided by government or its agencies including TANGA-UWASA to people living within its jurisdiction, either directly (through the public sector) or by financing private provision of services (Gurtoo, 2015). The term is associated with a social consensus (usually expressed through democratic elections) that certain services should be available to all regardless of income even where public services are neither publicly provided nor publicly financed, for social and political reasons they are usually subject to regulation going beyond that applying to most economic sectors (Cunningham and James 2011).

# 2.2.4 Public Service Delivery

# According to Humphreys (1998), Public Service Delivery is the designing and provision of services to the members of the public. Smith (2007) stated that, Public Records are all documents, papers, letters, maps, books, photographs, films, sound recordings, magnetic or other tapes, electronic data-processing records, artifacts, or other documentary material, regardless of physical form or characteristics, made or received pursuant to law or ordinance in connection with the transaction of county business.

**2.3 Overview of Record Keeping**

According to Geyer (2005) Record keeping is the act of keeping records or units of preserved information in some permanent form (written documents, photographs, recordings, etc.) Records can also refer to a collection of such items or a history in general. Record keeping is typically used in a context of accounting, especially for businesses or other organizations as it facilitates evidence-based policy making and supporting the administration of data protection principles and effective implementation of freedom of information and other legislation through good organization of records. Other benefits include supporting accountability by providing reliable records of actions and decisions and knowledge management across sectors of government by making reliable information available for sharing, extraction and summarization (Kemoni, 2008).

# 2.3.1 Record Keeping in Tanzania Government Institutions

The guiding principle of records keeping is to ensure that information is available when and where it is needed, in an organized and efficient manner and in a well-maintained environment. (Bowen, 2006). In today’s society Record Keeping is more important than ever but unfortunately is still overlooked and under-funded at all levels of government. A sound records keeping program must focus on improving customer service, increasing staff efficiency, allocating scarce resources, and providing a legal foundation for how an agency conducts its daily mission (United Republic of Tanzania, 2002).

Government institutions face various challenges with regard to the keeping of records. African countries have tried to undertake civil service reforms but they have not been successful as anticipated. Some areas of which most of public institutions have not achieved in records keeping is delaying access to records when needed and also records security is not well achieved where some of institutions experienced on losing records either by their faults or through hackers (United Republic of Tanzania, 2011).

Yeo (2015) explained that these reforms cannot be fully achieved without proper reliable and effective record keeping programs. This is based on the fact that records play a critical role in service delivery. For instance, records play a central role in combating vices such as corruption, promoting accountability, good governance, transparency and protection of citizens’ rights (Ngulube, 2000). As such, any governments should support sound records keeping programs as a priority area in its ministries.

In recent years and as part of its public sector reform, the Government of Tanzania has made some efforts to make sure its institutions are keeping records systematically to ensure better service delivery. For example, the teaching by Tanzania Public Service Colleges on how to document and keep public and nonpublic records all over the regions whereby graduated students have been employed in various public and non-public institutions. Apart from that, the constitution of Tanzania gives freedom to the society to access government information wherever they need. This has improved much in proper keeping records and resulted to improve service delivery in public institutions.

# 2.4 Theoretical Framework

According to Egbert and Sanden (2014) a theoretical framework may be used to test, apply or merely locate a proposed study within established theory. Fern (2001) explained more by asserting that the theoretical framework assists in identifying the variables that will be investigated and provide a frame for analyzing and interpreting the findings.

In records keeping the term model and theory in most cases are used interchangeably. This is further emphasized by Ngulube (2000) who stated that the term model is often used instead of, or interchangeably with, theory. In that light, the terms are used interchangeably in this study. The study therefore, guided by Record Continuum Theory/Model, the Records Life Cycle Concept theory and Model of Service Quality Gaps (5Gap Model).

**2.4.1 Record Continuum Theory**

Record Continuum Theory/Model developed by Australian theoreticians Frank Upward in the mid 1990’s. The continuum approach accepts that record-keeping practices carry records forward for multiple purposes by many people over time (Pearce-Moses, 2005). It depicts a continuous usage of records without marked ends thus resembling a loop or cycle. In a continuum, approach records continue being used and referred to by different people and researchers from all over the world.

According to the Australian standard (AS) 4390, and the International Council on Archive (ICA), a record continuum is a dependable and coherent process of records management throughout their life, from the development of recordkeeping systems, through the creation and preservation of records, to their retentions and use as archives. A records continuum model advocate for the continuum of tasks related to records keeping regimes that capture, manage, preserve and represent records as proof of social business activities, and cultural purposes for as long as they have the value be it for a short time or for many years (Dunbar, 2018).

Upward (2005) offered a variant of records continuum model that he considered a paradigm shift. It consists of four dimensions and four continue axes. The four dimensions are create, capture, organize and pluralize while the four axis are identity, transactional, recordkeeping and evidential. The theory however, is relevant in this study since records play a significant role in organizational governance, regulating relationships and continuity of information resources which make part of corporate assets and collective institutional memory to cater for current and future generations (McKemmish, 2016). This is relevant in the situation of Tanga-UWASA where records for staffs and customers are normally retrieved to settle claims of bill payment and reminding customers about their charges of water consumption. Thus, improve customer services delivery and attract customer seeking service from the organization.

# 2.4.2 The Records Life Cycle Concept

One of the core concepts in records keeping is that of the record’s life cycle. It is invariably used in records keeping textbooks and widely accepted by professionals in the field. As an important concept ‘the life cycle’ provides the greatest potential for effective keeping of recorded information, particularly where records are held in paper form.

Yeo (2015) explained that in the American context, the life cycle of records begins when records are first organized, maintained, and actively used by the creators. It continues as records are stored for an additional period of infrequent or dormant use in offsite records centers, and ends when their operational use ends entirely, or when they are selected as archives and transferred to an archival institution, or declared of no value and destroyed. The life cycle of records reflects the opinion that all records, irrespective of form and purpose, pass through certain well defined phases. Read (2015) emphasizes that the record’s life cycle means a movement of records in logical steps from the creation, through its use, storage, and retention in active files, to its transfer to inactive files, storage, and finally disposal.

According to Yusof and Chell (2000) the development of the life cycle concept began in the United States of America in the 1930s. It consisted of three phases which included the creation phase, maintenance and use phase and disposition. The concept was founded and invented by the National Archives of the USA in response to the ever increasing volume of records produced by organizations. The concept stated that records have a clearly defined life from birth to death, and the life cycle concept was regarded as very relevant in providing a framework for identifying the specific elements, or functions of records keeping.

Taylor (2007) states that life cycle concept has also been regarded as a theory which provides a framework for the operation of a records keeping programme. This concept is that recorded information has a ‘life’ similar to a biological organism. The theory explains the existence and keeping of records as undergoing through distinct lifecycle phases that can be viewed in two perspectives of age and use. The age perspective asserts that records go through three stages of current, semi-current and non-current stages. The use perspective asserts that a record goes through the three phases of its usability which are active, semi-active and non-active use.

Different scholars have had different opinions on the number of stages in the life cycle model, some arguing there are three stages and others five stages. Bantin (2008) observes that in the United Kingdom the record’s or information life cycle is usually considered to be composed of at least three stages. However, in the USA the usual interpretation is that there are five stages in the information life cycle: creation; distribution and use; storage and maintenance; retention and disposition; and archival preservation.

Kemoni (2007) points out that Richard Roper was amongst the earliest to verify the stages of the record’s life cycle. Records pass through three stages that include active or current; intermediate or semi-current; and finally archives or non-current. These three stages in the life of a record are basic to any records management programme. These stages include: the current stage when the records are active; the non-current stage when the records are inactive; and the archival stage when records are useful for historical rather than business purposes. IRMT (1999) defines these stages as follows:

**Current Records:** Records that are regularly used for the current business of an agency or organization and continue to be maintained in their place of origin or receipt; records in this stage are sometimes called active records.

**Semi-Current Records:** These are those records that are required so infrequently for current business that they should be transferred to a records centre pending their ultimate disposal.

**Non-Current or Inactive Records:** Records which are no longer required for current business and should be either destroyed or transferred to an archival repository.

The stages in the life cycle were expanded also by Smith (2007), who mentions that regardless of the medium, records have a four-phase life cycle based on their relative business value over time. These are: the period in which records are created; a period of active and frequent use; a phase of semi-active or archival use; and a period when they become obsolete and should be destroyed. The Advisory Committee for the Coordination of Information Systems (ACCIS) has also placed itself in this four stages group by outlining that 15the four stages comprise of the creation and identification, appraisal, control and use, and disposition in their guideline (2005).

Geyer (2005) supports this division into four stages by corroborating that these stages include creation, active use and maintenance, inactive and storage; and destruction. On the other hand Ricks, Yeo (2015) argued that records should undergo five stages in their life cycle. These stages include creation stage which consist the distribution and the use stage, the storage and maintenance stage, the retention and disposition stage, and archival preservation.

Regardless of the number of stages involved and the descriptions given to explain the lifecycle of records, it is obvious that paper records pass through various stages in their lives. Every record, particularly in paper format, has to be created, used, maintained and stored, and finally either be destroyed or retained in to an archive. Often, the division and the meaning of the life cycle stages depend with individual organization. In some organizations the disposition stage would mean ultimate destruction whereas in another it means sending those records to the archive (Yusof and Chell, 2000).

Therefore this theory is relevant in this study since most public offices including Tanga-UWASA has active maintenance and use f paper based system in record keeping though there is abruptly change or shift to e government record keeping model. Beside, the IRMT (1999) asserts that it is the content of the record and no longer the medium that becomes the concern of records management in this later environment. As records are technology dependent, the content is prone to transformation and conversion. It is in this regard that the concept of the continuum has been promoted in the records management world. If the life cycle works well for paper-based records,

On other hand Ngulube (2006) states that a continuum is something continuous of which no separate parts are discernible, a continuous series of elements passing into each other. A records continuum perspective can be contrasted with the life cycle model. The life cycle model argues that there are clearly definable stages in recordkeeping, and creates a sharp distinction between current and historical recordkeeping. The records continuum, on the other hand, has provided Australian records managers and archivists with a way of thinking about the integration of record keeping and archiving processes.

# 2.4.3 Model of Service Quality Gaps (5Gap Model)

 The model developed by Parasuraman, Valarie Zeithaml and Leonardin 1985 with a focus of analyzing gaps and problems between organizations and customers. It creates a roadmap for the overall service delivery process and identifies the gap between the processes so that the complete model works efficiently and effectively. On the other hand five gap model identifies five gaps that can lead to unsuccessfully delivery of service quality.

Service quality signifies the extent to which a service meets customers’ needs or expectations (Gurtoo, 2015). Service quality makes a distinction between customer expectations of service and perceived service. If expectations are greater than performance, then perceived quality is less than satisfactory and hence customer dissatisfaction occurs (Antoney, 2019). The Gap model of service quality identifies four specific gaps leading to a fifth overall gap between customers’ expectations and perceived service (Antoney, 2019). These five gaps include the following:

# 2.4.3.1 Knowledge Gap

Knowledge gap denotes the difference in customer expectations and management’s perception of customer expectations. In most cases knowledge gap happens if management does not take into account customer expectation thoroughly. It is likely to be affected by a number of factors including; the failure to listen to customer complaints, insufficient relationship focus as well as in absence of proper communication between service employees and management (Gurtoo, 2015).

# 2.4.3.2 Policy Gap

Policy gap indicate a distinction between management understands of the customer needs and the translation of that understanding into service delivery policies and standards. It can be associated with lack of customer service standards, poorly defined service level and failure to regularly update service level standards.

# 2.4.3.3 Performance Gap

The third gap represents the variation in service design and service delivery. Known as the performance gap, its extent is a function of many variables involved in the provision of service. Since individuals perform the service, the quality may be affected by such factors as skill level, type of training received, degree of role congruity (agreeability) or conflict, and job fit. Service recovery efforts along with extent of responsibility and empowerment also affect the size of this gap (Gurtoo, 2015).

# 2.4.3.4 Communications Gap

The fourth gap is called the communications gap. It is the difference between what is promised to customers, citizens or being people being served either explicitly or implicitly and what is being delivered (Antoney, 2019).

**2.4.4.5 The Customer Gap**

This is clearly stipulating the difference between customer expectations and perception. The gap occurs because customers do not always understand what the service has done for them or they misinterpret the service quality. This gap can happen because the customer perceives the quality of the service incorrectly. Customer or those being served have consistently stated that an organization’s ability to deliver promises is the most vital factor to providing service quality.

The model however, used in examining the ways in which knowledge gap, policy gap, performance gap, communication gap and customer gap contribute to the improvement of service delivery in Tanga-UWASA. The study findings reveled that record keeping does not keep pace with customer expectation as there is no effective and efficient means of record keeping. Thus it anticipated that poor service provision is highly associated with improper means of record keeping.

**2.5 Empirical Literature Review**

**2.5.1 Record keeping Policy**

Records provide information for planning and decision making, form the foundation for government accountability, and are often subject to specific legal requirements (Manyambula, 2007). Records are essential for effective and efficient administration, but if poorly kept they can become a liability, hindering operations and draining resources. Effective records keeping program helps an organization get the most out of its records. It also helps limit costs and the risks that can lead poor keeping records. Smith (2007) note that records keeping program should capture all records keeping processes and ensure there are policies, procedures and skilled personnel in charge of ensuring all procedures, policies and standards are adhered to.

Moreen and Sheila (2011),did a study on impact of record keeping on service delivery in public entities. A case of Uganda National Road Authority. The study identify the reasons as to why public entities keep records, evaluate the effectiveness of service delivery and establish the relationship between record keeping and service delivery in public entities. The study found that the organization has a good record keeping system where all records are filed in a file plan following a standard procedure of keeping and maintaining records and the organization has computerized its records.

Olufemi and Oladimeji (2019) did a study on the Impact of Record Keeping on the Performance of Selected Small and Medium Enterprises in Lagos Metropolis**.** The study set out to analyze the extent to which accounting information is being used to measure the financial performance of SMEs. Questionnaires were administered to 200 SMEs owners out of which 197 questionnaire were valid and analyzed using Likert scale. It was observed that while respondents agree that major benefits of keeping proper records is to know the performance of the business and that record keeping is key to the success of the business, majority of the SMEs owners lack basic accounting knowledge and decry the cost involved in preparing financial statement hence they keep the records themselves manually. The study recommends that SMEs operators should endeavor to keep proper records and where necessary seek the services of SME professionals to do so at minimal cost because the cost involved in business failure as a result of lack of proper record keeping far outweigh the cost of good record keeping for a business concern.

Mampe, (2012), did a study on Records management and service delivery: the case of Department of Corporate Services in the Ministry of Health in Botswana. The study findings established that the records keeping practices in the Corporate Service Division were not well established that undermining service delivery. This was evidenced by lack of awareness and existence of the records management policy, procedures manual based on RMU service standards from the Botswana National Archives; lack of security and preservation measures with rampant cases of missing files, folios and torn folders; delays in access and use of records; lack of a elaborate electronic records management programme and low levels of skill and training opportunities in records management. In order to enhance service delivery, the study recommended that a regulatory framework for records management should be developed and implemented. It is also recommended that management together with the Records Manager should identify training needs for records users and records management personnel.

**2.5.2 The Contribution of Record Keeping in Public Service Delivery**

Shonhe and Grand (2018), on A service delivery on improvement strategy for a record management programe. The study findings revealed that the TLB has implemented various initiatives as a way of improving the record keeping processes. As a result, the land board has improved its service delivery as there is adherence to policies, reduction of errors, online services, improved security of records and easy access to records. It is, therefore, recommended that organizations should move with time and continue to improve recordkeeping practices to remain relevant in the current environment.

Moreen and Sheila (2011), impact of record keeping on service delivery in public entities. A case of Uganda National Road Authority. the study identify the reasons as to why public entities keep records, to evaluate the effectiveness of service delivery and establish the relationship between record keeping and service delivery in public entities. The study findings showed a positive relationship between records keeping and service delivery with correlation coefficient r = 0.965. However, UNRA has faced problems that have hindered its service delivery plan. The study recommended that local government should exert considerable pressure on managing the entity’s financial resources and with this, frequent trainings, supervision and monitoring of staff.

**2.5.3 Challenges of Records Keeping and that Affect Service Delivery**

Sanga et al (2014) conduct a study on A Challenge of Business Record Keeping for Tanzania Small and Medium Enterprises (SMEs): A Case of Madukani Ward Dodoma Region. The study assesses the general attitude of SMEs owners from Madukani ward- Dodoma on record keeping and its challenges emanating therein. Quantitative and qualitative approach coupled with semi structured questionnaire method supplemented with in depth interview and observation methods used. The findings indicate that cost associated, time consuming and Tax avoidance deter compliance to proper record keeping for their business. The study further revealed that inadequate education and training in particularly record keeping skill and knowledge area and the absence of guidelines that equally to their size of their business affect proper record keeping and management. The study concludes that a concerted effort should be made by the government and other stakeholders to set out proper guidelines for record keeping and proposes that SMEs owners be trained on key skills for records and information management.

Study by Newa and Mwantimwa, (2019), on E- Record management in Tanzania Public Service: determinant Perceived importance and barriers. The study’s findings reveal that determinant factors for e-records management are not in a state to speed up the take-off of e-records management initiatives of the RAMD. Shortage of competent staff for e-records management, dwindling of budget to support training and maintenance of infrastructure, and weak implementation of policies, circulars, and standards are among the challenges faced by efforts to manage e-records.

**2.6 Knowledge Gap**

Generally record keeping provide an organization with accurate records of staff performance, simplifies the whole process of service delivery in an effective and efficient manner. Studies by Moreen and Sheila (2011), Shonhe and Grand (2018), revealed that record keeping contribute to better service delivery in either public or private organization. However, Sanga et al (2014),

Newa and Mwantimwa, (2019), observed that effectiveness and efficient record keeping in Tanzania face a number of challenges including shortage of competent staff in e-record keeping, cost associated and tax avoidance. The assumption of this study therefore is that if these challenges would have been solved service provision in public and private organizations would have been improved. The study will fill the existing knowledge gap by assessing the ways in which records keeping improve public sector service delivery in Tanzania specifically Tanga-UWASA as there is scarce study related to record keeping and service delivery in Tanzania.

**2.7 Conceptual Framework**

Lawrence (2014) defines conceptual framework as a set of broad ideas taken from relevant fields of enquiry, intended to assist a researcher to develop awareness and understanding of the situation under scrutiny and to communicate. It also aims to assist the researcher organize her/his thinking, and explain relationship among interlinked concepts.

Record keeping policy

Contribution of record keeping

Personnel capacity

Improvement of service delivery

Challenges

**Figure 2.1: Conceptual Framework**

**Source**: The Author, 2020

Figure 2.1 describe the linkage between independent and dependent variable. Independent variables include recording keeping policy, contribution of record keeping, personnel capacity and challenges. While dependent variable is improvement of service delivery. These factors play a significant role in establishing the relationship between the two variables. The study findings revealed that improvement in service delivery offered in Tanga UWASA is highly contributed by record keeping policy.

# CHAPTER THREE

# RESEARCH METHODOLOGY

# 3.1 Introduction

This chapter discussed methodological issues was used in this study including research design, study area, the target population, sampling design, sample size, sampling methods and data collection methods, instruments and data analysis and presentation.

# 3.2 Research Design

A research design is a procedural plan that was adopted by the researcher to answer questions validly, objectively, accurately and economically. (Kumar, 2011)The study used both qualitative and quantitative research designs. Qualitative design used to ensure more descriptions, interpretations, verification and evaluation of data. Lawrence (2014) argues that it is appropriate to use a qualitative design borrowed from anthropology since the ‘what’ and ‘why’ questions are used in an exploratory study. While Quantitative design used so as to provide the exact figures of variable in numerical data hence it is more statistical summarized approach.

# 3.3 Area of the Study

Area of the study is also known as study area, is the area where research is undertaken in which contains all categories of the conducted research including the specific and interdisciplinary nature of research (Levy &Lemeshow, 2008). This study conducted at TANGA-UWASA located at Tanga City. URT (2014) reported that Tanga UWASA stands as the best of all urban water and sewerage authorities in Tanzania on record keeping services and quality public service delivery. Thus, the improved and quality record keeping services at Tanga-UWASA raises curiosity of the researcher to conduct a study on how records keeping can improve public sector service delivery.

# 3.4 Study Population

According to Levy &Lemeshow (2008) population in research means the group of people, events, or things of interest for which the researcher wants to make inferences. Population must be specific enough to provide readers with a clear understanding of the applicability of the study to a particular situation, affecting the population and also build an understanding of the same population. The population of the study included managers of various department, registry staff, records manager, and staff in every department or division in Tanga-UWASA. This was done so because population dealing with the management of records uses or generally creates or used records in making decisions that affect service delivery at the institution.

# 3.5 Sampling

Sampling is the process of selecting items from the population so that the sample’s characteristics can be generalized to the general population. Sampling involves both design choices and sample size decisions (Thomson, 2012). A research sample is expected to mirror the population from which it comes. However, there is no guarantee that any sample will be precisely representative of the population from which it comes (Dattalo, 2008). Through the above mentioned departments, it is where the sample developed.

# 3.6 Sampling Techniques

Sampling is a technique of selecting individual members or a subset of the population to make statistical inferences from them and estimate characteristics of the whole population. The study used random sampling and purposive sampling to come up with the study sample (Kothari, 2012). Purposive sampling applied to managerial officials while random sampling used for those operational workers of the institution.

**3.6.1 Stratified Random Sampling Technique**

Stratified sampling used to place employees into five categories as per departments found in Tanga UWASA. The respondents were stratified on the basis of their department and job position. The technique is chosen because it enables the researcher to evaluate data from different departments and the nature of the study is homogeneous (that is only TANGA UWASA employee). The respondents from the study area has been stratified and randomly selected by the use of employee inventories from Human Resource Management and head of departments. Stratified random sampling technique involves dividing the population into homogenous subgroups and then taking sample in each sub group (Kothari, 2004). This ensured that representative sample of employees to be obtained from each department.

**3.6.2 Purposive Sampling Technique**

Purposive sampling is a deliberate selection of particular units of the universe for constituting a sample on the basis that the small mass that they so select out of huge one will be typically or representative of the whole (Kothari, 2004). Purposive sampling procedure was used in selecting the area of the study and top management including the Managing Director, Human Resource Manager and HR Officer. The respondents were selected purposively as they have prior knowledge and detailed information related to extent in which record keeping can improve public sector service delivery and challenges experienced at Tanga-UWASA in ensuring effective records keeping.

# 3.7 Sample Size

Dattalo (2008) defines sample size as a number of people the researcher wants to speak to during data collection. The selected members or part of the entire population is called the sample (Thomson, 2012). Therefore the sample size of the study was comprised of 65 units out of 180 employees including 59 employees, 5 head of departments and 1 human resource manager.

**Table 3.1: Sample and Sampling Frame**

|  |  |  |  |
| --- | --- | --- | --- |
| **Respondents by Departments** | **Employees** | **Expected Sample** | **Sampling Technique** |
| Departments/Managing staffs | 14 | 5 | Purposive sampling |
| Human Resource | 3 | 1 |
| Technical staff | 72 | 27 | Stratified random sampling |
| Finance | 26 | 10 |
| Customer service | 65 | 22 |
| **Total** | **180** | **65** |

# Source: Research data, (2022)

# 3.8 Data Collection Methods

Data collection refers to the gathering of information to serve or prove some facts. (Kothari, 2014). In this study primary data was collected through the use of survey and interview based on strength and weakness of each method. While documentary review method used to obtain secondary data

# Interviews

An interview is a direct face-to-face attempt to obtain reliable and valid measures in the form of verbal responses from one or more respondents (Foddy, 1999). It is a conversation in which the roles of the interviewer and the respondent change continually. The study used semi-structured interview to tap information from head of departments and human resource manager related to the contribution of record keeping on public service delivery at Tanga-UWASA and challenges experienced at Tanga-UWASA in ensuring effective records keeping that affect service delivery. The method was used to supplement data gained from the questionnaires.

**Documentary Review**

Documentary review involves the process of going through different types of documents so as to get useful information for the study. Denscombe (1998) asserts that documentary review is cost effective with the advantage of providing a vast amount of permanent and cross-checkable information. The method is used in investigating and categorizing physical sources, most commonly written documents, whether in the private or public domain (Payne and Payne 2004). The study reviewed secondary sources on record keeping policy, contribution of record keeping, personnel capacity in record keeping as well as challenges in record keeping. Documents like dissertations, published and unpublished thesis, books, reports, journal articles, brochures and resources retrieved from the internet were consulted and used to build up discussion of the entire document.

**3.8.2 Data collection Instruments**

The following instruments used in data collection.

# Questionnaire

Questionnaire is an instrument used for collecting data in research. It usually includes a set of standardized questions that explore a specific topic and collect information about demographics, opinions, attitudes, or behaviors (Foddy, 1999). The reason for using a questionnaire is that the opinions of respondents can be obtained in a structured manner. Questionnaires are the most common method applied to diagnose the functioning of institutions. Questionnaires were self-administered to a total sample of 59 employees of five departments. The advantage of using questionnaires in research was to allow wider range and distribution of samples, providing an opportunity for respondents to give frank answers and allowing greater economy of effort (Dawadowicz, 2010).

**Interview Questions**

Interview questions are an instrument consisting of a series of questions that gives an idea about individual skills, and technical qualifications to the employer. Interview question was successful used in collecting qualitative data related to record keeping policy, contribution of record keeping, personnel capability and challenges the organization face in record keeping. The instrument was administered to Managing Director, Human Resource Manager and Human Resource Officer as they provided researcher with detailed information related to record keeping practice on the direction of service delivery improvements.

Thus, in this study both interview and questionnaire tools was successful used as in data collection as information that was not captured through the use of questionnaire supplemented by interview. Foddy(1999) explained the use of more than one data collection method in conducting research, a method they refer as the triangulation technique. Triangulation technique enabled the researcher to use a combination of two methods and thus was enabled to capitalize on the respective strength of the methods to be used, or to counteract the perceived limitations of each.

# 3.9 Data Processing and Analysis and Presentation Procedures

**3.9.1 Data Processing and Analysis**

The data after collection has to be processed and analyzed in accordance with the outline laid down for the purpose at the time of developing research plan (Kothari, 2004). Data processing includes data editing, coding, classification and tabulation. This ensured that the study has all relevant data for making contemplated and analysis.

Data analysis refers to the computation of certain measures along with patterns of relationships that exist among data groups in order to determine what validity data can be held to draw conclusions (Kothari, 2004). It is a study of something by examining its parts and their relationship. The study analyzed data through organization, verification, compilation, coding and summarization of primary data. In the data presentation, tables, graphs and coding were applied in analyzing the data. Therefore, procedure for data analysis involved qualitative and quantitative data analysis.

**3.9.2 Data Presentation Procedures**

Data presentation is the process of using various graphical formats to visually represent the relationship between two or more data sets so that an informed decision can be made based on them. In this study therefore tables, graphs, frequency and percentage used in data presentation based on research objectives. On the other hand quotation used in presenting qualitative data analyzed from the use of interview.

#  Validity and Reliability of Research Instrument

Reliability refers to the measure of the degree to which the research instruments yield consistent results (Mugenda & Mugenda, 2003).While validity defined as the extent to which the test-items measure what they purport to do (Auka et al, 2012). In this study reliability of researcher instrument was assured through pre-testing of questionnaire tool and it was found that all questions captured the targeted information. However items found to be difficult rectified before actual data collection. On the other hand, validity of instrument was attained through adequate coverage of the research objectives and proper preparation of questionnaire instrument with adequacy and sufficient items related to objectives.

# 3.11 Ethical Considerations

Ethics is the norms or standards of behavior that guide moral choices about our behavior and our relationships with others (Saunders et al, 2009). Ethical clearance has been requested from the Open University of Tanzania and being provided with research permit letter. The researcher was also seeking for permission of doing research from Tanga UWASA management before data collection. To add employees’ consent was maintained by eliminating identification and made clear explanation to the respondents that the collected data were mainly for academic purpose and not otherwise.

**CHAPTER FOUR**

**DATA PRESENTATION, ANALYSIS AND DISCUSSION**

**4.1 Introduction**

This chapter presents, analyzes and discusses key findings of this study. Data was collected using a questionnaire and key informant interview guide. Findings are organized into five parts namely; demographic characteristics of the respondents followed by record keeping at UWASA in Tanga Region, the contribution of record keeping on public service delivery, capacity of records keeping staff and challenges experienced at Tanga-UWASA in insuring effective records keeping that affect service delivery. These represent specific objectives of this study.

Both open and closed ended questions were included in the questionnaire which was supplemented by face to face Key Informant interviews. A total of 59 employee selected using random sampling techniques and 6 head of departments (Key informants) were purposively selected participated in this study. This chapter also quantitatively and qualitatively analyzed and discussed the findings and finally suggested the strategies needed to improve records keeping for better service delivery by Tanga-UWASA.

**4.2 Demographic Information of Respondents**

**4.2.1 Sex of Respondents**

Respondents were asked to state their sex that identified them. Responses are presented in Table 4.1.

**Table 4.1: Sex of Respondents (N=59)**

|  |  |  |
| --- | --- | --- |
| **Category** | **Frequency** | **Percentage** |
| Male | 39 | 66.1 |
| Female | 20 | 33.9 |
| **Total** | **59** | **100** |

**Source:** Field Data (2021)

Table 4.1shows that 39 (66.1%) of respondents participated in this study are male and 20 (33.9%). It implies that the majority of the respondents that participated in this study were male. This happens by chance and not the intentionally.

**4.2.2 Age Groups of Respondents**

Respondents were asked to indicate their age groups that best represent their age. The findings presented in Table 4.2.

**Table 4.2: Age Groups of Respondents (N=59)**

|  |  |  |
| --- | --- | --- |
| **Category** | **Frequency** | **Percent** |
| 18-29 | 10 | 16.9 |
| 30-54 | 44 | 74.6 |
| 55 and above | 5 | 8.5 |
| **Total** | **59** | **100** |

**Source:** Field data (2021)

Findings in the Table 4.2 revealed that, 44 (74.6%) of respondents participated in this study are in the age category of 30-54, respondents 10 (16.9%) were in the age of 18-29 while 5 (8.5%) were at the age group of 55 and above.

These findings meant that, more employee 74.6 percent were youth together with adult and they were able to handle well records keeping activities and provision of good services to their customers as well, 16.9 percent who were at the age of 18-29 they were purely youth and having ability in performing records keeping practices and provision of services regarding to adult instructions. The 8.5 percent of respondents to this study were very few and mostly imparting their knowledge to youth because they preparing to retire. This group was also believed provides accurate information to this study because it had a lot of knowledge and hence it provided relevant information for accomplishment of this study.

**4.2.3 Workers Experience in their Area of Specialization in Years**

Researcher wanted to know workers experience in their area of specialization in term of years. Responses are presented in Table 4.3.

**Table 4.3: Workers experience of Respondents (N=59)**

|  |  |  |
| --- | --- | --- |
| **Category** | **Frequency** | **Percent** |
| 1-5 | 5 | 8.5 |
| 5-10 | 20 | 33.9 |
| More than 10yrs | 34 | 57.6 |

**Source:** Field data (2021)

Table 4.3 shows that 34 (57.6) of respondents had experience of more than ten years in their area of specialization, 33.9% of respondents had experience of 5-10 years at work while 8.5 % had experience of 1-5 years of working in their area of specialization. These findings revealed that 57.6% of respondents had more than 10 years of working experience of which enabled them to provide accurate, enough and detailed information related to the study. Other respondents were also important in this study as they provided some more important information.

**4.3 Records Keeping Policy of Tanga-UWASA**

In response to these respondents were requested to state if the organization had the policy guiding in record keeping and how effective it is in attracting customer. The responses organized into four categories of: availability of record policy, aspect covered in the policy and management grant support.

**4.3.1 Availability of Records Policy at Tanga-UWASA**

Respondents were asked if there was record keeping policy. In respect to this, 91.5% of the respondents agreed that there was record keeping policy and it really helped them in performing records keeping activities while 8.5% of respondents claimed that the organization has no record keeping policy. This is because they were not aware of records activities since they were none records personnel. The observed high percentage of the response on the existence of record keeping policy at Tanga UWASSA associated with government policy which enforces all public organization to have their own guidelines in fulfilling daily routine. Contrary to this study by Njeru (2018) on records management practices at the parliamentary Service Commission in Kenya found that there is no framework for effective and efficient records management; there are no institutional policies, guidelines and regulations for records management and basic record management skills among staff were inadequate.

**Table 4.4: Availability of Records Keeping Policy (N=59)**

|  |  |  |
| --- | --- | --- |
| **Category** | **Frequency** | **Percent** |
| Yes | 54 | 91.5 |
| No | 5 | 8.5 |
| **Total** | **59** | **100** |

**Source:** Field Data (2021)

**4.3.2 Aspects Covered in Records Keeping Policy**

Respondents were asked if they agreed on the presence of records keeping, what aspects are covered by the records keeping policy in the records activities. The study findings indicated 59.5% of the respondents opined that records keeping policy provides guidelines on how records management such as disposition, filing and storage were ought to be carried out, 16.9% argued that records keeping policy had best records keeping practices, made reference to records keeping standards which both scored, 6.8% respondents cited that records keeping policy has clearly outlined responsibilities of each records keeping personnel in Tanga-UWASA (Table 4.5). The implication here is that availability of records keeping policy helps records managers to handle well records activities for better service delivery.

**Table 4.5: Aspects Covered by the Records Keeping Policy (N=59)**

|  |  |  |
| --- | --- | --- |
| **Category** | **Frequency** | **Percent** |
| Has best record keeping practices | 10 | 16.9 |
| Makes reference to records keeping standards | 10 | 16.9 |
| Has clearly outlined responsibilities of each record keeping personnel in Tanga-UWASA | 4 | 6.8 |
| Provide guidelines on how records management such as disposition, filing and storage are ought to be carried out. | 35 | 59.4 |
| **TOTAL** | **59** | **100** |

**Source:** Field data (2021)

**4.3.3 Support Granted by Top Management towards Records Keeping Activities**

Respondents were further asked to state if the top management supports records keeping activities or not. Responses are shown in Figure 4.1



**Figure 4.1: Rate of Support Granted by Top Management towards Records Keeping Activities**

**Source**: Field Data (2021)

Figure 4.1 showed that 40 (67.8%) of respondents rated good, 15 (25.4%) of respondents rated very good while 4 (6.8%) of respondents rated excellent and no one rated either poor or very poor. The findings revealed that, most of the respondents (67.8%) agreed that the management providing support though it is not well enough as it was said by interviewed respondent that, support from management should be increased like budget, training to the available record personnel and hiring other record personnel so as to increase efficiency in records activities to enable provision of best service to their customers.

**4.3.3 State of Records Keeping in Tanga-UWASA**

Respondents were asked to rate the state of records keeping in Tanga-UWASA. Most of respondents 35 (59.3%) rated very good, 14 (23.7%) good and 10 (16.9%). No one rated it both poor and very poor. Findings revealed that, most respondents (59.3%) said that record keeping was at very good state because service delivery depends much on good record keeping and therefore when service delivery is good that imply that record activities are also doing well.

**Table 4.6: State of Records Keeping in Tanga-UWASA (N=59)**

|  |  |  |
| --- | --- | --- |
| **Category** | **Frequency** | **Percent** |
| Excellent | 10 | 17 |
| Very good | 35 | 59.3 |
| Good | 14 | 23.7 |
| Poor | - | - |
| Very poor | - | - |
| **Total** | **59** | **100** |

**Source**: Field Data (2021)

**4.3.4 Availability of Tools for Controlling File**

The study wanted to know if there were tools for controlling files/records. Responses are summarized in Table 4.7.

**Table 4.7: Availability of Tools for Controlling Files**

|  |  |  |
| --- | --- | --- |
| **Category** | **Frequency** | **Percent** |
| Yes | 59 | 100 |
| No | - | - |
| **Total** | **59** | **100** |

**Source:** Field Data (2021)

Responses showed that, 59 (100%) of respondents agreed that there were tools for controlling files. This was because records/files were easily located when they were moving from one office or department to another.

**4.3.5 Tools Used to Track Records**

Respondents were asked to choose from the list which tools were used in tracking records. Responses are as shown in Table 4.8.

**Table 4.8: Tools Used to Track Records (N=59)**

|  |  |  |
| --- | --- | --- |
| **Category** | **Frequency** | **Percent** |
| File tracking register | 10 | 17 |
| File tracking card | - | - |
| Use of barcodes | **-** | **-** |
| Physical check of files/records in the storage areas | 14 | 23.7 |
| Use of computer system | 35 | 59.3 |
| **Total** | **59** | **100** |

**Source:** Field Data (2021)

Responses showed that, 35(59.3%) of respondents mentioned that they used computer system when tracking files/records, 14(23.7%) indicated physical check of files in storage areas while 10(17%) of respondents cited file tracking register and no one said about file tracking card or use of barcodes. It signifies that computer system was highly used in tracking files as the organization has shifted from the use of paper based technology to e-record system. Other tools such as; file tracking and physical check of files/records in the storage areas were used only when there was network problem or system failure.

**4.3.6 Availability of Records Retention Policy**

Researcher wanted to know if there was a records retention policy, 46(78%) of respondents they said no while 13(22%) respondents said yes.

Most respondents (78%) said that there was no records retention policy, therefore they used other means including experience to perform retention schedule. Responses were summarized in Figure 2.2.



**Figure 4.2 Availability of Records Retention Policy**

Source: Field data (2021)

**4.3.7 Availability of Records Disposition Programme**

Respondents asked if there was records disposition program. Responses are presented in Table 4.9.

**Table 4.9: Availability of Records Disposition Programme (N=59)**

|  |  |  |
| --- | --- | --- |
| **Category** | **Frequency** | **Percent** |
| Yes | 50 | 84.7 |
| No | 9 | 15.3 |
| **Total** | **59** | **100** |

**Source:** Field Data (2021)

Findings revealed that 50(84.7%) of respondents said yes there was records disposition programme while only 9(15.3%) of respondents said no. Therefore, most respondents agreed that there was the presence of records disposition programme in the institution which helps them in making right decisions of performing records disposition when needed.

**4.3.8 The Way Records are Disposed**

Respondents were further asked if there was records disposition programme. It has been observed that 83.1% of respondents said records were disposed by transferring to archives while 10(16.9%) of respondents said about physical destruction (table 4.10). Findings signify that t organization invested in records disposed by transferring them to archives when they become inactive or they were no longer needed for day to day activities.

**Table 4.10: The Way Records are Disposed (N=59)**

|  |  |  |
| --- | --- | --- |
| **Category** | **Frequency** | **Percentage** |
| Transfer to the archives | 49 | 83.1 |
| Physical destruction | 10 | 16.9 |
| **Total** | **59** | **100** |

**Source:** Field Data (2021)

**4.3.9 Availability of Disaster Management Programme**

Researcher wanted to know if there was a program for managing records against various disasters or not. The study findings indicated that many 52(88%) of respondents agreed that there was disaster management program while 7(12%) of respondents said no (Figure 4. 3).The findings suggests that the organization established disaster management program to ensure records are safe and secured from various disasters. Correspondingly Chachage and Ngulube (2006) emphasized that those organizations that kept the backup of their vital records offsite kept them more safely than those that kept them onsite



**Figure 4.3: Availability of Disaster Management Program**

**Source**: Field Data (2021)

**4.3.10 Coverage of Disaster Management Plan**

Respondents were further asked if there was disaster management program which disasters were prevented from the said program. It has been observed that 47(79.7%) of respondents noted unauthorized access, 10(16.9%) of respondents indicated computer failure and only 2(3.4%) said mishandling of records (Table 4.11). The findings suggest that majority of the respondents mentioned unauthorized access as the most coverage of records disaster management plan that ensure records were safe from unauthorized access and use.

**Table 4.11: Coverage of Disaster Management Plan (N=59)**

|  |  |  |
| --- | --- | --- |
| **Category** | **Frequency** | **Percent** |
| Computer failure | 10 | 16.9 |
| Unauthorized access | 47 | 79.7 |
| Mishandling of records | 2 | 3.4 |
| **Total** | **59** | **100** |

**Source:** Field Data (2021)

**4.4 Contribution of Records Keeping on Public Service Delivery at Tanga-UWASA**

Researcher wanted to know if records keeping supported service delivery at Tanga-UWASA. Responses are presented in the Table 4.12.

**Table 4.12: Contribution of Records Keeping in Service Delivery**

|  |  |  |
| --- | --- | --- |
| **Category** | **Frequency** | **Percent** |
| Yes | 59 | 100 |
| No | - | - |
| **Total** | **59** | **100** |

**Source:** Field Data (2021)

From Table 4.12, it was revealed that 59 (100%) of respondents agreed that records keeping was an important unit in supporting service delivery. This can be associated with organization behavior of improvement of the record keeping system and effective use of disposition record to meet with customer expectation. The same findings capture in interview: one of the interviewee made a statement that reflects the contribution of record keeping in public service delivery.

 *“….frankly speaking according to the nature of our institution nothing could be done without record as all activities including providing better services to customers largely guided by former record”.*

This signifies that record keeping play a significant role in service provision and has proved to be useful and strategy to attract a lot of customer saved by Tanga UWASA as service delivery is of high quality. Contrary to this Mampe study by (2012), onRecords management and service delivery: the case of Department of Corporate Services in the Ministry of Health in Botswana established that the records keeping practices in the Corporate Service Division were not well established thus undermining service delivery.

**4.4.1 Standard of Records Keeping in Improving Service Delivery at Tanga-UWASA**

Respondents were asked to state in what standard record keeping helped to improve service delivery. Responses are presented in the Table 4.13.

**Table 4.13: Standard of Records Keeping in Improving Service Delivery**

|  |  |  |
| --- | --- | --- |
| **Category** | **Frequency** | **Percent** |
| Very high | 39 | 66.1 |
| High | 15 | 25.4 |
| Average | 5 | 8.5 |
| Low | - | - |
| **Total** | **59** | **100** |

**Source:** Field Data (2021)

Findings revealed that 39(66.1%) of respondents were of the opinion that standard of record keeping in improving service delivery was very high, 15(25.4%) of respondents said high while 5(8.5%) of respondents said average and no one indicated low. Therefore due to the responses it was found out that standard of records keeping in improving service delivery was very high. It means records keeping plays a great role in making sure services were well provided to customers at Tanga-UWASA.

**4.4.2 Fastness of Service Provision to Customers in Tanga-UWASA**

Respondents were asked to state how fast it took when providing service to customers. Responses are presented in the Figure 4.4.



**Figure 4.4: Fastness of Service Provision to Customers in Tanga-UWASA**

**Source:** Field Data (2021)

Responses showed that 43(72.9%) of respondents said the speed of service provision to customer within 1 minute, 8(13.6%) of respondents said more than 3 minutes, 5(8.5%) of respondents said within 2 minutes, 3(5%) of respondents said within 3 minutes. The implication here is that majority of respondents declared that the speed of service provision to customers was very fast whereby within 1 minute queries of a customer could be solved. Others said about within 2, 3 and more than three minutes was also time taken to respond/solve customers’ needed because of sometimes delay of the network and power problem. Otherwise service provided was at high speed through the support of well records keeping. Similarly, Shonhe and Grand (2018),reported that the TLB has implemented various initiatives as a way of improving the recordkeeping processes since the land board has improved its service delivery as there is adherence to policies, reduction of errors, online services, improved security of records and easy access to records.

**4.5 Capacity of Records Keeping Staff at UWASA in Tanga region**

Researcher wanted to assess capacity of records keeping staff at UWASA in Tanga Region in performing records activities especially education level specifically in records keeping. Education level in records keeping determines efficiency in keeping records among the staff dealing with records activities.

**4.5.1 Highest Academic Training Level in Records Management/related Field**

Respondents were asked to state their highest academic training level in record management, Responses are as presented in the figure 4.5



**Figure 4.5 Highest academic Training levels in records management/related field**

**Source:** Field Data (2021)

Most of respondents 49(83%) had no any academic training in records management, 6(10%) had diploma training level, 3(5%) of respondents having certificate training level, 1(2%) of respondents had a bachelor degree in records management and no one reached at postgraduate level in records management. The finding further revealed that majority of the respondents had no training in records keeping because they were employed in other fields of work, but also the number of trained personnel in records management was not enough to handle all records keeping activities efficiently since only 17% of respondents were trained in records management. This may hamper service delivery and if provided it cannot satisfy customer expectation. During interview the following statement raises:

 “…in reality the *number records personnel was not enough to handle all the records keeping activities and therefore management should think on hiring more record management personnel to increase efficiency in records keeping activities”*

These findings is on line to the study by Olufemi and Oladimeji (2019) on the Impact of Record Keeping on the Performance of Selected Small and Medium Enterprises in Lagos Metropolis**.**. It was observed that keeping proper records enable SMEs to know the performance of the business and that record keeping is key to the success of the business yet majority of the SMEs owners lack basic accounting knowledge and decry the cost involved in preparing financial statement hence they keep the records themselves manually.

**4.6 Challenges Experienced at Tanga-UWASA in Ensuring Effective Records Keeping that Affect Service Delivery**

Researcher wanted respondents to identify challenges experienced at Tanga-UWASA in ensuring effective records keeping that affect service delivery. It seems to be easy to improve service delivery when challenges hindering records activities that affect service delivery were known.

**4.6.1 Challenges Facing Tanga-UWASA in Ensuring Effective Records Keeping**

Respondents were asked to identify challenges experienced in keeping records that affect service delivery at Tanga-UWASA. Responses are presented in the Table 4.14.

**Table 4.14: Challenges Facing in Ensuring Effective Records Keeping Affecting Service Delivery (N=59)**

|  |  |  |
| --- | --- | --- |
| **Category** | **Frequency** | **Percent** |
| Inadequate funding | 9 | 15.3 |
| Lack of enough trained records personnel | 31 | 52.5 |
| Lack of enough equipments, supplies and facilities in registry | 15 | 25.4 |
| Lack of records keeping policy | - | - |
| lack of automated records keeping program | 4 | 6.8 |
| **Total** | **59** | **100** |

**Source:** Field Data (2021)

Responses from Table 4.14 shows that 31(52.5%) of respondents indicated lack of enough records personnel, 15(25.4%) of respondents said lack of enough equipments, supplies and facilities in registry, 9(15.3%) of respondents said inadequate funding, 4(6.8%) of respondents said lack of automated records keeping program and no one mentioned lack of records keeping policy.

Findings revealed that most of respondents 52.5% said lack of enough records trained personnel to perform records activities that will increase efficiency in service delivery to customers. Interviewed respondent said that management was in the process of hiring other records personnel including the one who would be dealing with confidential records of the institution. Interview informed the same that the organization encounters a number of challenges that deter effectiveness in record keeping. In exemplified this one of the interviewee had this to say;

*‘We run from financial problem in such a way that the number of employees sent to record training related course are very few in number personnel attended record keeping course.*’

**4.6.2 Suggestion Recommended Improving Records Keeping in the Institution**

Researcher wanted to hear from respondents on what suggestions they recommended to ensure those challenges were addressed so that records keeping activities could be well done and supports best service delivery to customers. Responses are presented in the Table 4.15.

**Table 4.15: Suggestions Recommended Improving Records Keeping (N=59)**

|  |  |  |
| --- | --- | --- |
| **Category** | **Frequency** | **Percent** |
| Increase number of records personnel | 28 | 47.5 |
| Increase number of working equipments | 10 | 16.9 |
| Increase budget for records keeping activities | 14 | 23.7 |
| Provision of training to the available records personnel | 7 | 11.9 |
| **Total** | **59** | **100** |

**Source:** Field Data (2021)

Table 4.15 showed that 28(47.5%) of respondents indicated increased number of records personnel, 14(23.7%) of respondents noted increase budget for records keeping activities, 10(16.9%) of respondents prefer increased number of working equipments and 7(11.9%) of respondents said about provision of training to the available records personnel.

Findings revealed that most of respondents 47.5% suggested increased number of records personnel so that they will be able to handle records keeping efficiently and timely of which service delivery will be provided much better to customers because good arrangement of records.

# CHAPTER FIVE

# SUMMARY, CONCLUSION AND RECOMMENDATIONS

# 5.1 Introduction

This chapter provides a summary of research findings of the study, conclusions and recommendations. The chapter starts by summarizing the findings which were presented to reflect the research objectives of the study. The objectives of this study were to assess records keeping at UWASA in Tanga Region, to identify contribution of records keeping on public service delivery at Tanga-UWASA, to assess capacity of records keeping staff at UWASA in Tanga region and to identify challenges experienced at Tanga-UWASA in ensuring effective records keeping that affect service delivery. Fifty nine (59) respondents from one selected public institution (Tanga-UWASA) participated in this study by using random sampling technique. Six (6) respondents were purposively selected to correlate the respondents’ responses in the field.

**5.2 Summary of Key Results**

The study was set out to assess how records keeping can improve public sector service delivery. In this regard summary of findings reflects three specific objectives as describe here;

1. **Record keeping policy**

The study revealed that Tanga UWASA has record keeping policy where the provided guidelines, standards and all instructions on records keeping that ought to be carried out are successful implemented. It has been revealed that record keeping policies supported by guideline on how record management practices, disposition, filling in and storage of information.

1. **Contribution of record keeping on public service delivery**

Moreover the study found out that, records keeping contributed much in improving service delivery at Tanga-UWASA due to the availability of arranged and well organized records as well as its simplicity of accessibility which made service delivery to become more improved. The study further revealed that almost all respondents said that record keeping practice enhance service delivery as there is effective use of disposition to meet customer expectation and promote high standard in record keeping.

1. **Personnel capacity on records keeping**

Based on personnel capacity the study findings revealed that, the organization has adequate number of qualified personnel with necessary knowledge and skills of records keeping practices. This makes record personnel to perform well their duties and provide better services to their customers since records were easily accessed. The study further found out that record keeping practices related to water bills, water tape connection service is clearly done by qualified personnel.

1. **Challenges Tanga-UWASA face in records keeping**

In respect to this the study findings revealed some challenges that hindered good record keeping that affects service delivery including; inadequate funding, lack of enough record keeping personnel, lack of enough equipment like computers and other ICT facilities in registry and lack of automated record keeping program. On the other hand the study findings suggested strategies of improving record keeping to supports service delivery including increasing number of trained records personnel, to increase number of equipment like computers, increasing budget for record keeping activities and providing training to the available record staff to have necessary up to date knowledge and skills.

**5.2.1 Contribution of the study**

The study on how record keeping improves service delivery in public organization with reference to Tanga UWASA has the following contributions;

**Professional contribution**

The study findings may enables record keeping personnel to develop awareness record keeping practices and use the useful strategies that can be used to improve service delivery to meet customer needs or expectations.

**Policies**

The study findings also police makers to integrate the suggested strategies to improve record keeping. The result also may enable police provide comprehensive strategies that may simplify the whole process of record keeping by complying to challenges that hamper effective record keeping in public organization.

**Theories**

Theoretical, the study findings add knowledge to body of literature as it account for the existence of model of service quality gap. That means service delivery is of quality as it meets customer needs and expectations. The organization take into accounts customer expectation service delivery as it is of high quality and adhere to organization policies as well as laid down procedures for record keeping management.

**5.3 Conclusion**

Poor records management practices would have negative consequences on public service delivery. Records and information are the life bloods of any organization and therefore they ought to be well managed for any organization whether public or private to achieve its objectives. Poor records keeping hinders public service delivery in ways such as it leads to fraud and lack of ways of detecting it, it would lead to wastage of resources, it will hinder the protection of rights of the institution and those of the public or citizens they serve, poor records keeping will also lead to creation and keeping of unwanted records.

Records keeping program is therefore important to any organization. There is the need to have a records keeping program approved by top management and implemented in the organization. Its elements such the policies, guidelines and procedures must be clearly stated and understood by all users of the records in the organization and those managing those records. The system must be effective for both paper based and electronic records.

The study also sought to find out the knowledge, skills and competencies of those managing the records at the institution. It was found out that most records staff had diploma level of education while three members of staff had certificate level of education, only one records staff member had undergraduate level of education. These facts indicated the need for the staff members to improve and upgrade their education level especially in the field of records keeping or any other related field. This would enable them be able to make informed decisions regarding records keeping and how it can be improved at the institution.

A record keeping today is shifting from manual system to electronic system, organizations are adopting electronic records keeping systems and this came up as one of the recommendations by the respondents, that there was the need to automate records keeping so that to help improving service delivery to public.

**5.4 Recommendations**

The study identified various issues which affect record keeping practices in Tanga-UWASA. The study therefore makes the following recommendations to address the records keeping challenges identified that affect public service delivery. Based on the study findings, the recommendations address suggested were in line with the study objectives.

1. Training Programs for Records keeping Personnel, In order for the records keeping staff to update and improve their skills there is the need for the institution to identify and develop programs in records keeping in form of short term courses, workshops and advanced education for those without records and archives knowledge. The training should be provided to records managers, registry staff, clerical officers, action officers and secretaries since they are the ones handling records in the institution;
2. Number of record keeping personnel should be increased. The study findings found out few record staff of which they struggle to perform all records activities at their level best. In order to have efficiency in record keeping the institution must hire enough record keeping personnel so that to achieve their service delivery objectives.
3. Implement Records Management Awareness Programs for Non Records keeping Staff. The study revealed lack of awareness on the importance of records keeping in the provision of public services. Most staff members did not put any seriousness in taking care of records and abiding to records keeping policy in place. Therefore there was the need for the institution to establish records keeping awareness programs that would be run by records keeping professionals to help sensitize staff on the importance of records keeping in the provision of public services and the need to provide full support to their records keeping staff.
4. Top management should provide full support to records activities including raising budget and providing all facilities such as; computers to records personnel so that they would be able to perform well their duties which would lead to customers satisfaction by providing services timely and efficiently.

**5.5 Areas for Future Research**

This study focused on the Importance of Record Keeping on Public Sector Service Delivery Improvement. Therefore a study should be conducted;

1. The same study should be conducted in other public organization for comparison purpose.
2. To examine effectiveness of record keeping policy on improvement of service delivery in public organization.
3. To assess the influence of personnel capability on record keeping practice.

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# APPENDICES

# Appendix I: QUESTIONNAIRE FOR TANGA-UWASA EMPLOYEE

Dear Sir/Madam,

I am a student of Master in Library and Information Management at The Open University of Tanzania.

Department of History, Philosophy and Religious Studies; As part of Masters requirements I am conducting a study on “Importance of Records Keeping on Public Sector Service Delivery Improvements: The Case of UWASA in Tanga-Region.” To help collect relevant data I have prepared the questionnaire below and I am requesting you to kindly find time and fill. All the information provided will be kept confidential and will be used for this study only. Please follow the instructions given when filling.

Please answer questions by making a tick (v) or a cross (X) next to the correct answer and explain where necessary.

|  |  |
| --- | --- |
| 1. Sexi) Maleii) Female | **[ ]****[ ]**  |
| 2. Age group of respondent i) Between 18-29 ii) Between 30-54 iii) 55 and above | **[ ]** **[ ]** **[ ]**  |

3. What is your highest education level?

i) O-level

ii) Certificate

iii) Diploma

IV) Undergraduate degree

v) Post graduate level

Others, please

Specify ………………………………………………………………………………

4. How long is your experience in the current field of work specialization in years?

i) 1-5

ii) 5-10

iii) More than 10yrs

5. Does Tanga-UWASA has records keeping policy?

i. Yes [ ]

ii. No [ ]

6. If yes, which of the following aspects are covered in your records keeping policy? (Please tick all the applicable options)

i. Has best record keeping practices [ ]

ii. Makes reference to records keeping standards [ ]

iii. Has clearly outlined responsibilities of each records keeping personnel in Tanga-UWASA [ ]

iv. Provides guidelines on how records management such as disposition, filing, storage etc, ought to be carried out [ ]

vi. Other, please specify

……………………………………………………………………………………………………………………………………………………………………………………

7. Does it cover electronic records keeping?

i. Yes [ ]

ii. No [ ]

8. How would you rate support granted by top management towards supporting records keeping activities.

i. Very Poor [ ]

ii. Poor [ ]

iii. Good [ ]

iv. Very good [ ]

v. Excellent [ ]

9. How would you rate the state of records keeping in Tanga-UWASA?

i. Excellent [ ]

ii. Very good [ ]

iii. Good [ ]

iv. Poor [ ]

v. Very poor [ ]

10. Do you have tools for controlling file/records movement?

i. Yes [ ]

ii. No [ ]

11. If yes which tool(s) do you use to track records? (Please tick all the applicable options)

i. File tracking register [ ]

ii. File tracking card [ ]

iii. Use of barcodes [ ]

iv. Physical check of files/records in the storage areas [ ]

v. Use of computer systems [ ]

Others, please specify …………………………………………………………………

…………………………………………………………………………………………

12. Do you have a records retention policy?

i. Yes [ ]

ii. No [ ]

13. If yes which records are covered in the retention schedule? (Please tick all the applicable options).

i. Current records [ ]

ii. Semi-current records [ ]

iii. Non-current records [ ]

14. Do you have a records disposition programme?

i. Yes [ ]

ii. No [ ]

15. If yes how are the records disposed?

i. Transfer to the archives [ ]

ii. Physical destruction [ ]

16. Do you have a disaster management program?

i. Yes [ ]

ii. No [ ]

17. If yes, which of the following disasters does your disaster prevention plan cover?

(Please tick all the applicable options)

i. Computer failure

ii. Unauthorized access

iii. Mishandling of records

Any other (Please specify)

…………………………………………………………………………………………

18. Does records keeping supports service delivery at Tanga-UWASA

i. Yes [ ]

ii No [ ]

19. What standard records keeping improves service delivery at Tanga-UWASA

i. Excellent [ ]

ii. Very good [ ]

iii. Good [ ]

iv. Average [ ]

v. Poor [ ]

20. How fast it takes to provide services to customers in Tanga-UWASA?

i. Very Slow [ ]

ii. Slow [ ]

iii. Fast [ ]

iv. Very Fast [ ]

21. What is your highest academic training level in records management or related field?

i. Certificate [ ]

ii. Diploma [ ]

iii. Undergraduate [ ]

iv. Post graduate [ ]

v. None [ ]

22. Which challenges do you face to ensure effective records keeping in Tanga-UWASA?

Inadequate funding

i. Lack of enough trained personnel [ ]

ii. Lack of equipment, supplies and facilities in registries [ ]

iii. Lack of records keeping policy [ ]

iv. Lack of automated records keeping program [ ]

23. What suggestions can you recommend to help improve records keeping in the

Institution........................................................................................................................

Thank you for your participation

# Appendix II: Interview Schedule Top Management

I am a student of Master in Library and Information Management at The Open University of Tanzania.

Department of History, Philosophy and Religious Studies; As part of Masters requirements I am conducting a study on “Importance of Records Keeping on Public Sector Service Delivery Improvements: The Case of UWASA in Tanga-Region.” The purpose of writing is to request you to find some time for an interview, which will enable me to come up with factual and relevant data, relating to records keeping practices and public service delivery in Tanga-UWASA.

1. Do you think a record keeping is important towards provision of efficient services to the public?

i. Yes [ ]

ii. No [ ]

2. Are the services you provide supported by records keeping?

i. Yes [ ]

 ii. No [ ]

3. Are the records you request for always provided on time?

i. Yes [ ]

ii. No [ ]

4. Does the Tanga-UWASA have a records management policy?

i. Yes [ ]

ii. No [ ]

5. If No do you plan to implement one?

i. Yes [ ]

ii. No [ ]

6. Which challenges do you face to ensure effective records keeping in Tanga-UWASA?

i. Inadequate funding [ ]

ii. Lack of enough trained personnel [ ]

iii. Lack of equipment, supplies and facilities in registries [ ]

iv. Lack of clear records keeping policy, standards, guidelines and procedures of records keeping. [ ]

v. Lack of automated records keeping program [ ]

Any others (Please specify)

…………………………………………………………………………………………

7. Is the Tanga-UWASA management taking any step towards addressing the challenges faced in the keeping of records?

i. Yes [ ]

ii. No [ ]

8. If yes please specify

…………………………………………………………………………………………

9. What suggestions can you recommend to help improve records keeping in Tanga-UWASA?

……………………………………………………………………………………………………………………………………………………………………………………