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FACULTY OF HUMANITIES

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**Change Management Practices in the Implementation of Records
Management Programs: A Case Study of Tlokweng Land Board**

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of a Master's Degree in Archives and Records Management

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DECLARATION

I, Liah Shonhe of ID no. 200904186, do hereby declare that this study, **“Change Management Practices in the Implementation of Records Management Programs: A Case Study of Tlokweng Land Board”** is entirely my own unaided work; wherever published, unpublished, printed, electronic or other information sources have been used as contribution or component of this work, these are explicitly, clearly and individually acknowledged by appropriate use of quotation marks, citations, references and statements in the text.

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Date: _____

Signature of Supervisor _____

Date: _____

DEDICATION

This work is dedicated to my lovely husband, Audacious Shonhe for his continuous support and courage during my studies. He was a pillar of my strength and his motivation kept me going even when I wanted to give up. I also dedicate this study to my loving and caring mother, Ruth Machara. Even though she is uneducated, she always emphasized the importance of education and inspired me to take my studies to a higher level.

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ABSTRACT

The problem investigated in this study is that there is little or no progress in the implementation of land records management programs, particularly in the Ministry of Lands and Housing (MLH)-Botswana. The high incidence of poor service delivery in the public sector is a key factor that has put pressure on government organizations to re-engineer records management programs. MLH is one of the departments that has implemented numerous land records systems in order to alleviate challenges of poor land records management. However, despite the potential benefits of re-engineering records management programs, the adoption and utilization of records management systems has been slow and consequently systems have collapsed or failed. There are many possible barriers to the implementation of records management programs but the most salient one is poor change management.

The prime objective of this study was to explore change management practices in the implementation of records management programs at Tlokweng Land Board (TLB). The study adopted a pragmatic paradigm and employed a case study research design to collect data at Tlokweng Land Board. The research made use of mixed methods approach to collect data using questionnaires, interviews, participatory observation and document reviews. Purposeful sampling was used to solicit data from 53 participants in the land board. Research findings provide evidence that TLB has implemented a number of changes such as the electronic index, LAPCAS, new filing system and classification scheme. Based on Kotter's change management model and Prosci's ADKAR model, the study established that Tlokweng Land Board is to somewhat extent implementing changes successfully.

The main conclusions drawn from this study are that numerous change initiatives implemented at TLB were prompted by various challenges such as; security and access issues, incomplete and unintegrated records. Furthermore the study concludes that communication has been used as the most effective tool for managing change at TLB. However, TLB has not yet managed to reinforce the change implemented as it was noted that there is lack of adequate training and motivation of change champions. Moreover, the change management team has little training on the change management framework produced by MLH.

The study also discovered some emerging issues pertaining to records management at TLB. These issues included challenges encountered during change implementation; resistance and lack of access to files. The study established that success factors for an effective records

management program are records management policy, management support and security of records. Moreover implementation of new programs improved the image of Tlokweng Land Board. Based on the findings of this study, the researcher recommends the following; implementation of MLH change management framework at land board level, motivation of change champions, training and coaching of personnel, putting in place a communication plan and disaster preparedness plan. This study is original and it introduced the concept of change management in the implementation of land records management programs. A change management framework or lens has also been designed and recommended for use by records management professionals. The study also outlines areas for further research in the field of land records management.

Keywords: Change management, Implementation, Records management, ADKAR, Electronic records management systems, Kotter's model, Botswana public sector, E-government, LAPCAS, Tlokweng Land Board, Ministry of Lands and Housing

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LIST OF ABBREVIATIONS AND ACRONYMS

ADKAR	Awareness, Desire, Knowledge, Ability, Reinforcement
BNARS	Botswana National Archives and Records Services
CMP	Change Management Programs
DIT	Department of Information Technology
EDMS	Electronic Document Management System
EDRMS	Electronic Document and Records Management Systems
ERM	Electronic Records Management
ERMS	Electronic Records Management System
ECMS	Electronic Content Management System
ICTs	Information Communication Technologies
IRMT	International Records Management Trust
LAPCAS	Land Administration, Procedures, Capacity and Systems
MLH	Ministry of Land and Housing
NUST	National University of Science and Technology
ORD	Office of Research and Development
PCI	People Centered Implementation
RM	Records Management
RMU	Records Management Unit
STARDUST	Standardised Repository and Data Usage Tool
SPSS	Statistical Package for Social Sciences
TLB	Tlokweng Land Board

DEFINITION OF TERMS

Action Officer	Create records of transactions/activities while conducting official business of the land board. They ensure effective and efficient sending of files to the records management unit and ensure records are destroyed only in accordance with the written disposal authority (Ministry of Lands and Housing, 2015).
Board Secretary	This is the accounting officer for the land board. He/she is responsible for overseeing the formulation and implementation of policies under his jurisdiction (Ministry of Lands and Housing, 2015). The land board secretary is appointed by the Minister. He/she oversees all land board activities.
Change management	Bourda (2013, p.4) states that “change management is a structured approach for ensuring that changes are thoroughly and smoothly implemented and for achieving lasting benefits of change”
Dikgosi	Dikgosi refers to gatekeepers of the village. It is a Setswana term for chiefs.
Electronic records	Electronic records refers to any information that is created and stored using computer software and applications. It is recorded in a form that only a computer can read (U.S.A. National Archives and Records Administration, 2016).
Management	In this study, management refers to senior level executives. Top management is used to refer to the board secretary and records manager at the land board.
Participants	In this study, the term participants is used to refer to subjects of the study who provided their responses through the interview approach, thus referring to interviewees of the study.
Records	National Archives (2010, p.3) defines records as “Information created, received and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business”.

Records Management

Records Management (RM) is defined as an act of controlling records within a comprehensive regime that encompasses a number of components such as; policies, processes, procedures, behaviour and systems (National Archives, 2010).

Records Manager

A records manager is responsible for the implementation of records management policies. The records manager oversees all records management staff and ensures that all records are created and received by the records management unit and that they are classified according to the approved classification scheme. He/she ensures safe custody of the land board's records (Ministry of Lands and Housing, 2015).

Records management staff

Refers to the records officers at their various positions. Records staff are responsible for providing quality services to action officers in accordance with government practices, procedures and standards to both internal and external clients (Ministry of Lands and Housing, 2015).

Respondents

In this study, the term respondents is used to refer to subjects of the study who provided their responses through the use of a questionnaire.

Chapter 1

INTRODUCTION

1.1 Background of the Study

Change entails transformation of old habits into new ways of doing things. Many people don't like to shift away from a familiar situation to a new state. Unfortunately in today's fast paced world, change is inevitable - no more so than in government agencies where new technology is having a large impact on public service delivery. Both private organizations and government agencies need to keep up with the rapid changes in order to survive in the 21st century. Regrettably, the public sector worldwide has not been able to fully maximize the opportunities brought by new technologies to improve public service delivery (Shah, 2005; Nkwe, 2012; Zhu & Peyrache, 2015). As a way of improving public service delivery, governments have embarked on a journey to reengineer records management processes through the use of Information and Communication Technologies (Bhatnagar, 2014; Marutha, 2011). This requires public officers to be open and willing to change, and effort is required to manage this change.

Many scholars throughout history, have defined change in various ways. According to Williams (1969, p.54),

“...change is a modification of existing relationships; it is an alteration of the status quo”.

Change is about moving from one state to another future state. It pushes an individual out of their comfort zone. Change is not an event but a process; it is an ever-present feature of organizational life, both at an operational and strategic level (Rick, 2013). Change takes place when organizations introduce new projects and initiatives. These changes impact on organizational structure, systems, processes and job roles. The success of this change is the result of individuals doing their work differently (Galanti, Ndiaye, & St-Hilaire, 2012). It requires a systematic approach from both the perspective of an organization and at individual level (Pitagorsky, 2011). The ever increasing pace of change requires organizations to develop dynamic, competitive change management strategies on an ongoing basis.

The public sector worldwide is adopting the use of ICT's in the provision of public services. For example; in India ICT's are used to deliver education and health services, payment of pensions and wages is done through electronic banking, computerized management of land records and they enhance farmers through mobile technology (Bhatnagar, 2014). Implementing these various changes should not be seen as merely an issue of project management or alteration of the software systems. It should be seen as organizational revolution of culture which affects employees' values and beliefs, attitudes and consequently determines their behaviour or way of action. Change affects employee's daily duties and responsibilities, policies and procedures and may also affect the organizational structure. Managing the people side of change requires great effort as much time must be spent on changing the values that have been internalized by employees. Thus it is crucial to prepare the organization and its people for new initiatives before they are implemented. The success of the new initiatives will depend upon the management of the change process. According to Guler (2010, p.2)

“If the organization is complex, it can create turbulence which makes it even harder to perform the implementation or to transform the operations and structure successfully. A good response to this kind of turbulent situation can be given through a comprehensive and strategically planned change management approach.”

Change management involves the process, tools and techniques required to manage the people side of change in order to achieve the desired business goals (Creasey, 2007). According to Prosci (2006) change management is a process, competency and strategic capability to manage systems, processes and organizational changes, all aimed at helping employees through the transition and accelerating changes within the organization. Guler (2010) emphasizes that managing change requires understanding the drivers of change and developing strategies to control both internal and external impacts on the organization.

1.1.1 The Recordkeeping Environment and Change Management

Records management (RM) is one key area that cannot be ignored in the administration of public services. Government departments generate large volumes of physical and electronic records on a daily basis; which require a vigorous records management program. Records are defined as the evidence of an organization's activities. According to National Archives (2010) records are “Information created, received and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business” (p. 3). Records are one of the most important organizational assets that have value beyond the

immediate environment (Usman & Udensi, 2013). The management of both electronic and paper records is equally important as they are the lifeblood of any organization and they form the basis for decision making, policy formulation and service provision.

Records management is an act of controlling records within a comprehensive regime that encompasses a number of components such as; policies, processes, procedures, behaviour and systems (National Archives, 2010). RM is a task not to be taken for granted, it is a task with the ability to destroy or build the image and success of an organization or nation. Efficient records management programs ensure effective management of resources, minimizes litigation risks, improves accountability and transparency and provides the basis for complying with legal requirements (Abuki, 2014; Coetzer, 2012; University of Portsmouth, 2009). Public records management practices are being computerized through the implementation of Electronic Document and Records Management Systems (EDRMS), which improves transparency and accountability. These actions call for proper implementation of change management strategies.

According to Hoque and Sorwar (2015), the development of any country depends on its capability to access and use records effectively. As a result, governments are pushing forward to implement e-government programmes which will improve information access and public service delivery. Table 1.1 depicts just a few differences between the traditional environment and the modern records management environment. These differences show the changes that have and are still taking place in the recordkeeping environment. It is clear from Table 1.1 that records management philosophies and practices are continuously changing, hence the need to implement effective change management strategies.

Table 1.1 *Evolving Records Management Environment*

Traditional recordkeeping environment	Modern recordkeeping environment
Records Life cycle	Records Continuum
Paper based - Physical records	Hybrid, paper lite, electronic records
Manual systems e.g. card catalogues	Electronic systems e.g. Electronic Document and Records Management Systems, Online Public Access Catalogue
Purely centralised environment	Decentralised and/ centralised
Use of carbon papers for making copies	Use of photocopying machines
Records stored in file cabinets and boxes	Some records stored in databases and on the cloud.
Records manager responsibilities were limited and simple.	Records manager responsibilities are broader and more complex
Simple recordkeeping policies, procedures and standards	Complex recordkeeping policies, procedures and standards
Registry	Records Management Unit (RMU)

Typing pools with manual or electronic typewriters	Everyone has a desktop computer
Untrained personnel	Highly trained personnel
RM separated from business processes and IT	RM integrated with business processes and IT.

Source: Field data (2016) and Hurley (2004)

Today IT has enabled both physical and electronic records to be managed simultaneously in a hybrid environment through the use of Electronic Records Management Systems (ERMS), and Electronic Document and Records Management Systems. Due to these technological influences on recordkeeping practices, records managers are now acquiring new roles and responsibilities which require certain skills and competencies such as: project management techniques, a good knowledge of records management software applications, general ICT skills, systems analysis and design, skills in implementation and maintenance of EDRMS, business process reengineering, modelling and prototyping, advocacy and outreach skills and expectations management skills (Society of American Archivists, 2008; National Records of Scotland, 2013).

Records managers are also expected to have the ability to contribute to the development and implementation of the organization’s response to changes in legislation and regulations where they have records management implications (National Records of Scotland, 2013). All these changes in competencies and skills demand training of records managers so that they are relevant in the modern records management environment. Introduction of e-records and EDRMS have created a totally new environment for records managers; in which if they are not properly transitioned through the change process, they will remain stuck in the traditional records management environment and not operate efficiently and effectively in the new electronic records management environment. Therefore, change management is crucial in the implementation of any records management program. Other factors influencing the need for change management in the implementation of records management programs, are the challenges posed by electronic records (Table 1.2).

Table 1.2 *Challenges Posed by E-Records*

Challenge	Description	Authors
Software and hardware dependency	E-records are dependent on technology; they rely on certain software and hardware. Without technological mediation, it may be difficult to access the records.	Kemoni (2009) Noonan (2011) Lappin (2013)

Reliability, Authenticity, Integrity and security of records	It is difficult to maintain the authenticity and trustworthiness of electronic records. Electronic records are prone to damage via virus attacks and hackers which may lead to loss of records. Although several techniques such as encryption, authentication and digital signatures have been developed to ensure authenticity and trustworthiness of electronic records, some issues still remain unaddressed. For example; can provenance of the record be accurately determined online? And what infrastructure is necessary for secure transmission of records? Due to the ease at which e-records can be deleted from the system, there is a high risk of records being disposed before their time.	IRMT (2009) Sweden (2007) Asogwa (2012) Noonan (2011)
Exponential growth of e-records–different formats exist	Advances in technology has contributed to information explosion. In this digital era, it has increasingly become difficult to control the creation and maintenance of electronic records. An example is that of the volume of e-mails which has grown to the point that a print-to-paper policy is impracticable.	Gautam (2007) Melvin (2010)
Knowing What to Keep vs. Decentralized Systems	In a decentralized computing environment, electronic records are difficult to identify and manage since every user has their own computer and they create electronic files which may constitute a formal record that needs to be preserved. In such an environment duplicate records are created and scattered throughout the organization. In so doing the agency is exposed to legal risk. Without centralized systems to oversee the records management process, it may be difficult to ensure that records of evidential value are protected adequately.	Kemoni (2009) IRMT(2009) Melvin (2010)
Hybrid environment	A hybrid environment is costly as double resources are needed to manage both electronic records and physical files effectively. Managing both paper and electronic records is also difficult since the e-records have to correspond to the physical records.	Asogwa (2012) Lappin (2013) Nengomasha, (2009) Noonan (2011)
Technological obsolescence	It is costly to maintain e-records as the storage media is fragile, the media decay and also become obsolete in a few years. This media requires special storage environment. Migration to new technological platforms also requires special skills in order to retain the integrity and authenticity of the records. Rapid changes in technology have created a situation where obsolete systems co-exist with current systems. This causes a problem of duplication since multiple copies of versions of a record exist. Obsolete technology inhibits future access to records.	Kemoni (2009) IRMT (2009) Noonan (2011) Iwhiwhu (2011) Lappin (2013)

Complexity of e-records	E-records have evolved from simple text based to complex digital objects that may contain hyperlinks, drawings, sound recordings and embedded images. Furthermore, it is impossible to convert these records into paper or text format without losing the record's context, functionality and vital information. Computerization makes the nature of record keeping more complex than in a paper-based environment.	IRMT (2009) Melvin (2010)
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A study by Asogwa (2012) reveals that electronic records management is a new concept to most records managers in sub Saharan Africa. The author further stated that technology has transformed the traditional approach of managing records and brought with it some constraints which records managers have to contend with if they are to remain relevant and effective in serving their organizations. Though implementing e-records management programs has several advantages, there are also challenges that come along with the management of e-records, as shown in Table 1.2. Implementation of electronic records management systems creates a hybrid environment which requires digitization of records and special e-records management skills. Studies by Gautam (2007), Kemoni (2009), Iwhiwhu (2011), Asogwa (2012) and Lappin (2013) concur that in an e-records management setup, records managers and archivists have increased responsibilities; therefore there is need for highly trained personnel.

Moatlhodi (2015) emphasises the need to apply cautious treatment to both physical and electronic records because the quality of records generated through ERMS should not be compromised. Melvin (2010) and IRMT (2009) discuss the challenges brought by technology in the management of records. The authors emphasize that the stability of records in a digital environment is at much greater risk, therefore it is imperative for records managers to understand the systems or technologies used for managing records so that good governance and accountable recordkeeping is maintained. The challenges posed by e-records will continue to be in existence. It is therefore imperative that records professionals take up the challenge and ensure that records content, structure and context are not altered under any circumstances. This can only be possible if records professionals are sensitized to change during the process of implementing records management programs (AHIMA, 2010).

1.1.2 The Case of Botswana

Records management programs in Botswana are facing various changes such as the introduction of digitization projects, new classification schemes and retention schedules, new records management policies, new filing systems, implementation of Electronic Records

Management Systems (ERMS) and re-engineering of recordkeeping processes (Machara & Mathodi, 2015; Zulu, Sebina, Grand, & Mutula, 2012). Hoyle and Sebina (2008) aver that the development of electronic records management systems evolved from Botswana's ICT policy, which is a roadmap to the transformation of the country toward e-governance. The following are some of the projects implemented as a way of re-engineering the records management environment in Botswana. The Botswana Qualification Authority and the Ministry of Trade and Industry have implemented an EDRMS (TRIM). The Ombudsman Office implemented a Case Management System (CMS) which stopped working in 2008 (Oganne, 2015). Change was not well managed at the Ombudsman Office as employees were not trained, hence the employees lacked the skills to use the system. Furthermore, knowledge of the system was held by one individual who left the organization; thereby leading to lack of continuity and subsequently to system collapse (Oganne, 2015).

A mini research carried out by Modise and Molatodi (2015) revealed that BNARS is undertaking a digitization project in order to facilitate access of records in electronic formats. This will ensure that the government achieves its mission to provide public services online; because with all archives digitized and accessible online, then distance education can be maximized. Another mini survey by Machara and Mathodi (2015) revealed that out of twelve (12) organizations surveyed in Gaborone; two (2) organizations had successful systems, three (3) implemented but the system failed, one was in the process of implementing, two (2) organizations did not have an electronic system in place; everything was still being done manually, while the other four (4) organizations could not comment on the status of their systems. These results show that ten (10) organizations have started transforming their records management environment into electronic platforms. Table 1.3 shows some of the records management programs implemented in the Botswana public sectors to improve service delivery and enhance government transparency and accountability.

Global rules and regulations are changing and citizens' demands are growing; hence the government is under pressure to deliver quality services and at the right time. Nkwe (2012) stated that service delivery in government departments is disheartening; it is characterized by lots of paper work, long queues, bureaucracy, cramped spaces and a lot of frustrations. As a way of meeting customer demands, reduce the challenges faced by various departments and improve service delivery, the government has re-engineered recordkeeping processes through the use of ICTs. As a result, creating an e-government platform which is a digital and internet-

based information technology (IT) system that allows citizens greater access to government information and services (Global Village Partnerships, 2015).

Botswana has developed a strategy to implement e-government initiatives across the country. In the 1Gov strategy Mr Eric Molale in his introduction mentioned that “For e-Government to be successful, all of our ministries and agencies will need to introduce major changes in technology, business processes and organisational structures. We will have to learn new skills and competencies as well as to work tirelessly in order to elevate service standards to a new level” (Botswana Government, 2013, p.9). It is for this reason that the records management environment in Botswana is changing in order to be relevant in the digital era and support government functions and transactions, hence ensuring its accountability and transparency (Moloi & Mutula, 2007; Wamukoya & Mutula, 2005). Due to the adoption of e-government initiatives, accumulation of electronic records has become more evident and it is fuelling the implementation of Electronic Records Management Systems (ERMS) (Mosweu, Mutshewa, & Bwalya, 2014).

Table 1.3 *Computerization of Public Sector Operations*

Ministry	Project	Project description
Ministry of Trade and Industry (MTI) (Mosweu, Mutshewa, & Bwalya, 2014; Mosweu, 2014)	Document Workflow Management System (DWMS)	To enhance efficiency and effectiveness of document based processes across MTI.
Public Procurement and Asset Disposal Board (PPADB) (John, 2013)	Integrated Procurement Management System (IPMS), branded as ‘Tshipidi’	Web based system meant to automate processes and improve transparency, integrity and efficiency in public procurement and asset disposal. Enable provision of Online services to the public.
Attorney General Chambers (Department of Administration of Justice, 2011; Mosweu, 2012; Motsaathebe & Mnjama, 2009;)	Case Management System (CMS) - Computerization of Lobatse High Court	Case registration system that tracks case files. Track court records to check the status of the case.

DPSM (Nkwe, 2012)	Computerized Personnel Management System	Runs across government to update the status of government employees, from appointments to retirements.
Education (Nkwe, 2012)	Computerization of Teaching Service Management	Computerization of personnel management for teachers.
Department of Tertiary Education Financing (DTEF)	Student Loan Management System (SLMS)	Used for managing student welfare and placement, loans recovery and financial disbursement.
Ministry of Transport and Communications (Laletsang-Mokokwe, 2015)	- Vehicle Registration and Licensing System (VRLS) - Fleet Tracking , Maintenance and Management System (FLMMS)	Used for monitoring Botswana vehicle population, tracking and effecting changes in ownership and also manages financial transactions for DRTS.
Ministry of Finance - Botswana Unified Revenue Services (BURS) (Nkwe, 2012; Sebina & Zulu, 2014)	- Government Accounting and Budget System - Automated System for Customs Data (Asycuda) - Botswana Integrated Value Added Tax System (BIVATS) for VAT - Government Accounting and Budgeting System (GABS) - Tax Management System (TMS)	-Runs across government, for budgeting, accounting and supplies. -Manages VAT and Tax clearances
Local Government (Nkwe, 2012)	Computerization of Human Resource Management Computerization of Social Benefit and Reconciliation System	Update status of local government employees from appointment through to retirement. Registration of the needy, orphans and old-age pensioners in the country.
Department of Veterinary Services (Ministry of Agriculture) (Government of Botswana, 2012)	Livestock Identification and Trace-Back System (LITS) locally known as “Omang wa Dikgomo”	Designed for identifying, registering and tracing beef backs from each individual animal back to its origins (farm) Provides information on demographics of the national herd. Links cattle ownership records with the Omang National Registration System.
Ministry of Health (Sebina & Zulu, 2014)	Integrated Patient Management System	Centralized database for patient data management to link all hospitals in the

(Nkwe, 2012)		country. Patient registration, laboratory and wards management.
Ministry of Labour and Home Affairs	-Births and Deaths Registration System (BDRS) -e-Passport system	Registration of births, deaths and national identity cards Issue work permits and scanning factory plans
(Sebina & Zulu, 2014)	-National Identification System -Computerization of Labour and Social Security	
Ministry of Lands and Housing	1. The Land Inventory for Tribal Land Boards of Botswana (LYNSIS) 2. Botswana Land Integrated System (BLIS) 3. The State Land Information Management System (SLIMS) in 2002 4. Tribal Land Information Management System (TLIMS) 5. Botswana National Spatial Data Infrastructure (SDI) 6. Integrated GIS (IGIS) 7. The Land Administration Procedures, Capacity and Systems (LAPCAS)	All these systems aimed at improving administration of tribal land. Some of the systems like LYNSIS and SLIMS failed while others are still facing some challenges. Currently LAPCAS is still at a pilot stage.
(Hoyle & Sebina, 2008; Malatsi & Finnstrom, 2011; Mokwape, 2015; Sietchiping & Ezigbalike, 2010; MmegiMonitor, 2013; UN-GGIM, 2011)		

Records and recordkeeping are the lifeblood for many organizations, hence efficient and effective management of records is of vital importance (Franks, 2013). This is another reason why the Botswana government is striving to establish changes that will enhance efficient and systematic control of capturing, creating, maintaining, using and disposal of records, thus supporting them throughout their entire life cycle. Mosweu, Mutshewa, and Bwalya (2014) contextualize implementation of EDRMS as one of the key components of a fully-fledged e-government programme. Unfortunately, in the case of Botswana- electronic records management systems in place do not have EDRMS functionalities. Mosweu, Mutshewa, & Bwalya (2014) also assert that EDRMS acceptance and adoption by individuals is vital to the success of e-government services. It is in this regard that the study seeks to explore the change management practices in the implementation of records management programs in Botswana public sector organizations, with a view to recommend change management strategies that will facilitate effective implementation of EDRMS.

1.1.3 Context of Study: Tlokweng Land Board

Land boards were established under section 3 of the Tribal Land Act Cap: 32:02 with the aim to improve tribal land administration (Tribal Land Act Chapter 32:02 , 1970). Tlokweng Land Board (Figure 1.1) is faced with the task of allocating land and managing land records for the whole village. As stipulated in the Tribal Land Act, the general functions of the land board include; land allocation and registration, land use monitoring, cancellation of land rights, land use planning and hearing of land disputes and appeals (Bornegrim & Collin, 2010; Farah, 2011).

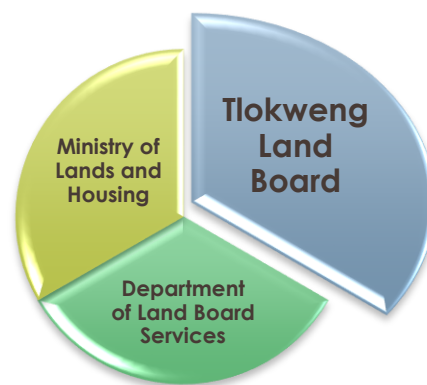


Figure 1.1. Location of study.

The department of Land Boards Services has been facing some challenges regarding tribal land administration (Lantmäteriet, 2011; Makhumalo, 2014). Some of these challenges include; dispersed records which lead to vast amount of time being spent on locating records, incomplete registers, loss of records, no common register for tribal land, poor record keeping which leads to backlog, duplication of rights to land parcels, no proper registers over allocated land (Bornegrim & Collin, 2010; Mothibi, Malatsi & Finnström, 2011; Abankwah, 2012). Tlokweng Land Board is not an exception when it comes to the problems facing land boards in Botswana (Bornegrim & Collin, 2010; Makhumalo, 2014; Molund & Vestin, 2014). In an attempt to counter measure these problems, Tlokweng Land Board (TLB) implemented a data capturing tool called InFomate (Hoyle & Sebina, 2008). TLB used this surveyor program to collect spatial data to be used to feed data into Tribal Land Information Management System (TLIMS). The system was expected to show the following information: paper file reference, national identity number, customary certificate land information, name of applicant, GIS points on the plot of land and references to correspondence between applicant and land board (Hoyle & Sebina, 2008).

Despite the challenges posed by TLIMS, Tlokweng Land Board maintained the “InFomate” surveyor program. InFomate was later used to serve as input to the new system called Standardised Repository and Data Usage Tool (STARDUST) (Makhumalo, 2015). STARDUST is a web-based tool that can be accessed at any land board by authorised personnel. The system captures land rights, claims and waiting lists and this enables records managers to be able to identify who owns what and where (McGeoff, 2013). Since the implementation of STARDUST, TLB has ensured that the system continues to operate effectively as it is going to serve as input to the upcoming system that is still at a pilot stage under the Land Administration, Procedures and Capacity Building (LAPCAS) ministerial project (Makhumalo, 2015). LAPCAS is meant to resolve current land problems by building an integrated Land Information System that captures all information about all types of lands in Botswana (UN-GGIM, 2011).

Various land boards are continuously experiencing poor records management practices despite the trainings and efforts made by the ministry to improve land records management. As MLH seeks to integrate land records information systems through the LAPCAS project and re-engineer the records management programs in land boards, there is need for change management research on upcoming records management program’s implementation. Therefore this study sought to explore the change management practices in the implementation of records management programs guided by the ADKAR and Kotter’s change management theory at Tlokweng Land Board.

1.2 Statement of the Problem

Various government ministries all over the world have been facing problems in the management of records and consequently this has affected the quality of public service delivery (Abuki, 2014; Mampe & Kalusopa, 2012; Kemoni & Ngulube, 2008; Marutha, 2011). Good records management boosts efficient and effective public service delivery in the sense that it minimizes litigation risks, promotes accountability and transparency, ensures compliance with regulatory requirements and supports informed decision making (Abuki, 2014; Moemi & Rotich, 2015; Okoli & Onuigbo, 2014; Abuzawayda, Yusof, & Aziz, 2013).

Of more interest to this study is the management of land records in the Ministry of Lands and Housing. `Studies conducted in Kenya, India, South Africa, Botswana and Ghana revealed some of the following challenges in land records management; lack of transparency and

accountability, loss of records, double allocations, unavailability of centralized land registers, lack of periodic updating of records, inaccessible records and incomplete registers (Kwanya, 2014; Moemi & Rotich, 2015; Tagoe & Mantey, 2011; Kurwakumire, 2014; Aggarwal, 2014). Though the Government of Botswana has implemented various e-government programmes to improve service delivery through efficient and effective records management programs; land boards in Botswana are still facing the aforementioned poor records management challenges and seem to have come far (Mathuba, 1989; Tembo & Simela, 2004; Abankwah, 2012; Makhumalo, 2014).

The high incidence of poor service delivery in the land boards is a key factor that has put pressure on the Ministry of Lands and Housing to implement electronic records management systems and necessitated the need to re-engineer recordkeeping processes (Ali & Nasir, 2010; Neumeier, 2013; Kettani & Moulin, 2014; Nkohkwo & Islam, 2013). These programs are implemented with the aim of improving efficiency and effectiveness, accessibility of records, quality of records management practices. Failure to do this, might result in undue expenses (Ndukwu, Chigbu, & Ebinne, 2013; Usman, 2010 and Martin & Voynov, 2014). However, despite the potential benefits of re-engineering records management programs and introducing changes that will enhance records management; the adoption and utilization of these programs has been slow and consequently poor service delivery has continued to prevail (Mosweu, Mutshewa, & Bwalya, 2014; Nkwe, 2012; Dyk, 2014). When changes are introduced in an environment, the most likely response is user resistance (Boohene & Williams, 2012). If records managers are not properly taken through the process of change, they might resist to employ the new initiatives being introduced to improve recordkeeping practices.

Several studies have been conducted in Botswana on records management practices in the public sector, but none of the studies have attempted to do an in-depth study on Change Management as a key factor to effective implementation of records management programs that can enhance public service delivery. For instance, studies conducted in Botswana are mainly focused on the following concepts: records and service delivery (Mampe & Kalusopa, 2012), status of records management (Makhumalo, 2014; Motsaathebe & Mnjama, 2009), poor recordkeeping in land boards (Abankwah, 2012), E-government implementation (Moatshe, 2014), digitization of records, e-records readiness (Kalusopa, 2011; Moatlhodi 2015) and factors affecting implementation of EDRMS (Mosweu, Mutshewa, & Bwalya, 2014). Therefore, this study departs from major research endeavours by studying change management

as a critical factor that can enhance successful implementation of records management programs in the public sector.

The study explores the change management practices at Tlokweng Land Board given that it was chosen by the Ministry of Lands as the best land board with a good records management programme. It serves as a benchmark for all other land boards in Botswana. Understanding change management is very critical to the Ministry of Lands and Housing because it is more likely to enhance service delivery and promote good records management practices. The study also produced results that may help MLH to successfully implement the LAPCAS project with less hurdles.

1.3 Objectives of the Study

The main purpose of the study was to explore change management practices in the implementation of records management programs at Tlokweng Land Board (TLB). The study sought to reveal the benefits of adopting change management strategies when implemented in the recordkeeping practices, especially in relation to public service delivery (Table 1.4). This aim was achieved through the following research objectives and questions:

Table 1.4 *Research Sub-Objectives and Questions*

Research Objectives	Research Questions
1. To identify the changes taking place in the records management unit	<ul style="list-style-type: none"> • What are the changes taking place in records management unit? • What are the drivers for change in land records management?
2. To establish the expected benefits of re-engineering records management programs	<ul style="list-style-type: none"> • What are the expected benefits of the records management programs implemented at TLB? • What is the impact of change management on service delivery?
3. To assess the change management strategies used in the implementation of records management programs.	<ul style="list-style-type: none"> • What are the change management strategies used in the implementation of records management programs?
4. To determine the attitudes and perspectives of employees towards change.	<ul style="list-style-type: none"> • What are the employee’s perspective towards change?
5. To make policy recommendations on change management in the re-engineering of records management programs in land boards.	<ul style="list-style-type: none"> • What policy recommendations are needed in the re-engineering of records management programs in land boards?

1.4 Limitations of the Study

The study employed a mixed method approach which is time consuming and very expensive, hence the use of a case study research design. Thus research was conducted only on one main land board, consequently the study findings cannot be generalized to all Botswana Land boards. However the findings may be used to inform practice in other land boards. Another limitation is that, literature relating to change management and records management in Botswana land boards is very limited. The deficiency in local literature limited the study in the sense that there was no prior empirical research (in a similar setting) to refer to and compare the methodologies used before, so that the best one can be chosen for this study. Implementing records management systems has various aspects which also demand change in management strategies. The study was only limited to studying the people side of change, hence employees were the unit of analysis and not the organization as a whole. Respondents were slow in responding to the questionnaires and this resulted in a low response rate. The low response rate was also a result of wrong timing and the verification technique used while analyzing qualitative data. The survey was carried out at a period when the land board was busy with the land registration process hence employees were more occupied with field work. This was counter measured by participating in voluntary work so that the researcher can have ample time to meet participants and gain first-hand information on projects taking place.

1.5 Justification of Study

Various ministries have been facing challenges in the area of records management. Due to the e-government initiative, government departments are forced to re-engineer their records management environments in order to improve public service delivery. Despite various efforts and funds spent by the government on various projects, there seems to be slow progress on the implementation of records management programs and public officers are slow to adapt to new changes. This situation may have been influenced by the fact that change is not properly managed in the implementation of these projects.

Numerous studies were conducted in various ministries on records management but none so far focuses on how change management can be used to enhance a successful implementation of new records management programs. Therefore this was an in-depth study that focused on change management practices in the implementation of records management programs at Tlokweng Land Board. The study revealed the necessary changes that TLB implemented in

order to establish an effective records management program that enhances service delivery. Findings also identified the weaknesses and strengths of the change management strategies used by TLB to implement changes. The findings of this study serve as a guideline for the Ministry of Lands and Housing which is in the process of implementing the LAPCAS project throughout Botswana. As a way of standardizing records management practices, MLH can adopt the practices at TLB so as to facilitate the integration of all land records in Botswana. Findings at TLB, serve as a benchmark for other land boards in Botswana.

1.6 Significance of the Study

In view of the ever changing records management environment due to rapid changes in technology, this study sought to establish strategies of change management in the implementation of records management programs in land boards. This study is significant in the sense that: it is the first empirical study in Botswana that focuses on change management in the implementation of records management programs in the public sector. The study therefore contributes to, and expands the body of knowledge pertaining to change management practices in the implementation of records management programs.

This study also serves as a reference for future researchers or studies on change management and records management program implementation. Records managers may use the findings in establishing a customized framework for change management and possibly use the knowledge as a baseline for further research in various ministries. The study identified gaps in change management strategies when TLB was implementing changes in the records management unit. The recommendations proposed a simple but effective change management framework (as per the findings) that will enhance successful implementation of the LAPCAS project in land boards. The study also captured employees' attitudes and perspectives towards change. This is critical as Ministries should be aware of their employee's perspectives before implementing changes.

1.7 Organization of the Dissertation

This dissertation is divided into 6 chapters as shown in Figure 1.2.

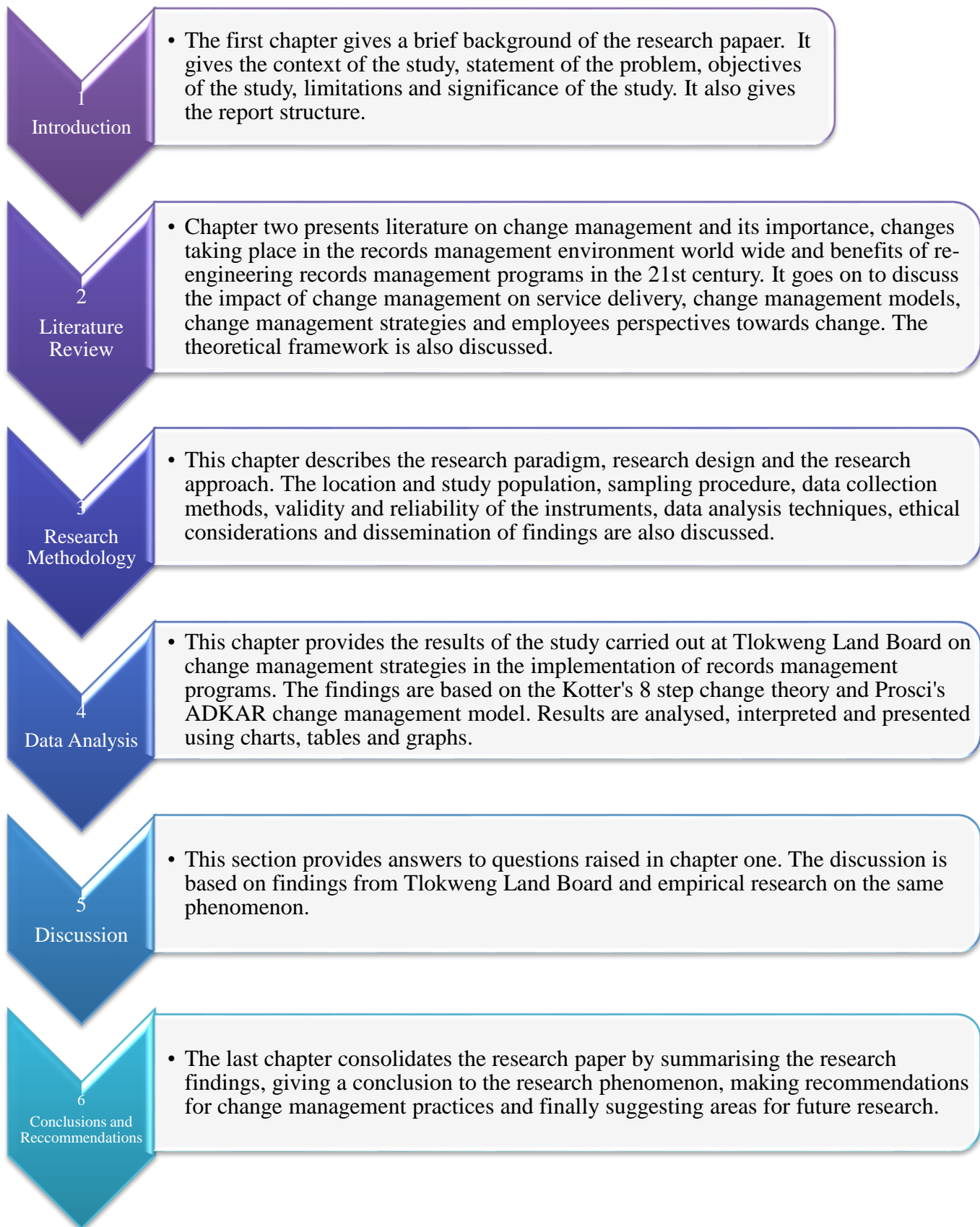


Figure 1.2. Disposition of the report and reader's guide.

1.8 Summary

This chapter establishes the rationale of the study by outlining the need for change management in records management. It has also outlined the changes that are taking place in records management environment in Botswana. The chapter introduced the phenomenon of change, change management and records management. In this chapter, it is made clear that due to the need to improve service delivery in government departments; records management programs or processes have been re-engineered through the use of ICTs. The core problem of the study was stipulated as difficulty in successful implementation of records management initiatives. Some of the reasons for this downfall were outlined as; lack of change management strategies such as training, user awareness programs, managing user expectations and user resistance. The study was carried out at Tlokweng Land Board as one of the government offices that have implemented numerous projects without success. This chapter concludes by noting that the study results will be limited to Tlokweng Land Board and cannot be used for generalization across other land boards in the country. Finally, this study will serve as a point of reference for Botswana government ministries in their endeavor to implement records management programs.

Chapter 2

LITERATURE REVIEW

2.1 Introduction

This chapter presents the research context of this paper through analysis of relevant literature pertaining to change management and implementation of records management programs. Literature review gives a theoretical basis for research by going beyond the search of information. It identifies and articulates the relationships between the literature and actual practice (Boote & Beile, 2005 and Bhattacharjee, 2012). It shows the gap where research is needed and creates a firm foundation for advancing knowledge (Webster & Watson, 2002). Therefore this section analyses, contextualizes and evaluates the theoretical principles to be adopted in this study. This chapter explores literature in an attempt to answer the following questions: What are the changes taking place in records management environment? What is the motivation behind these changes? What are the expected benefits of re-engineering records management programs? What is the impact of change management on service delivery? What are the change management strategies used in the implementation of records management programs? And what are the perspectives of employees towards change?

2.2 The Phenomenon of Change

In this 21st century era, change has become imperative and inevitable. Rapid changes and advances in technology have influenced the way in which businesses are operated and how people communicate with one another throughout the world. The emergence of new economies has also ushered in imminent business opportunities for both the private and public sector (D'Ortenzio, 2012). This has resulted in most governments and businesses accepting the phenomenon of change as they realized that if they do not change they will perish (Beer & Nohria, 2000). Change is considered as a learning process. D'Ortenzio (2012), Kanter (1992), Lindroth and Borg (2014) consider the nature of change as a process driven activity. In its various forms, it is a continuous process (Nixon, 2014). Change has also been defined as planned or unplanned response of an organization to pressures which stem from both the internal and external environment of the organization (Kilpimaa, 2006; Dalziel & Schoonover, 1988).

Creasey (2007) states that the goal of change is to improve the organization by altering how work is done. Change entails moving from one state to another and the transition is not as easy as it seems. Change is very difficult to pull off as it involves managing both the project and the people side of change. The success of moving into the desired future state depends on how well change has been managed. Various studies have shown that human factors and organizational culture are affected when new projects or initiatives are implemented, thus the need for managing change initiatives. LaClair and Rao (2002) established the roles and importance of each individual during change initiatives (Figure 2.1). The authors explained that without individuals understanding their roles during change, then project implementations are bound to fail. LaClair and Rao (2002) further state that strength on any of the levels- front line staff, middle managers and senior managers, gives companies a better chance of success. But their study did not establish whether any level of management was more critical than the other during the change interventions.

Senior managers	
Commitment	Put initiative at top of agenda
Communication	Relate single, clear, compelling story—no mixed messages
Financial incentives	Reward senior managers if initiative is successful
Nonfinancial incentives	Provide recognition for strong performance
Leadership	Identify owner/champion
Stretch targets	Uphold goals with mantralike consistency; team “lives or dies” by the numbers
Middle managers	
Decision authority	Exercise consistent control over defined set of tasks
Skills in managing people	Provide feedback to employees on status of initiative
Skills in managing projects	Achieve measurable milestones in timely manner
Frontline staff	
Skills	Consider training key aspect of initiative
Tools	Make technology and techniques available to employees
Motivation	Clearly reward excellent performance to improve morale

Figure 2.1. Factors for successful change.

Source: LaClair and Rao (2002)

2.2.1 Why Change Management?

According to Prosci (2006) and Galanti, Ndiaye, and St-Hilaire (2012), change management is a process, competency and strategic capability to manage systems, processes and organizational changes, all aimed at helping employees through the transition and accelerating changes within the organization. Change management is necessary because the pace of change is fast and inability to manage it results in negative impact. Change management can directly impact on the speed of adoption and utilization rate (Prosci, 2006). Azurion Consulting (2012) affirms that change management is necessary because it: connects to business results, translates change management to financial performance, mitigates negative consequences, builds change competency in the organization, increases probability of project success and manages employee resistance to change.

Overall, change management is an essential tool for delivering results and outcomes. A study of over 400 business leaders from around the world, revealed that only 10% of change initiatives were successful (Nixon, 2014). LaClair and Rao (2002) in their study found out that about 58% of organizational change failed while Burnes and Jackson (2011) and Beer and Nohria (2000) suggest a 70% failure rate of change initiatives due to poor change management. The purpose of managing change is so that new systems, procedures, initiatives or new methods can be effectively and efficiently implemented in an organization (Nickols, 2010). Galanti, Ndiaye, and St-Hilaire (2012) state that when change management is brought into a project too late, or not applied at all, benefits realisation will be delayed and there will be too many costs resulting from redesigning, re-evaluating, retraining, re-scoping, and re-scheduling.

Failure to manage change may lead to turnover of valued employees and tangible customer impact. In 2005 a study with 411 companies undergoing major change projects; revealed that the number one reason for resistance to change was lack of awareness of why change was taking place (Hiatt, 2006). In a similar study, 327 project leaders identified failure to manage the people side of change and employee resistance as the top obstacle to project success (Hiatt & Creasey, 2003; Prosci, 2006). A recent study by Mosweu, Mutshewa, and Bwalya, (2014) affirms that lack of training, user resistance and change management are some of the barriers to EDRMS adoption and acceptance in Botswana. These components mentioned in the latter study make up the change management strategy, hence managers cannot afford to ignore this phenomenon of change management, because it will cost them more, than if they had managed the change.

Effective implementation and success of records management programs can be achieved through managing the change process (National Archives of Australia, 2011). Records Solutions (2010) also affirms that acceptance and usage of e-government initiatives (such as EDRMS) will ultimately determine the success of the system implementation. This shows how important change management is. Without managing the change process then employees are likely to resist new initiatives and result in implementation failure.

2.3 Changes Taking Place in the Recordkeeping Environment

ICTs have led to rapid and dynamic changes in business and government operations. Technologies ignited the desire in many governments to provide online services to its citizens and run a transparent government by allowing the public to access government information anywhere anytime. This has also lead to production of massive amounts of electronic records which records managers now have to take into consideration and establish electronic records management programs. Various countries have started taking advantage of Information Communication Technologies (ICTs) to re-engineer their recordkeeping environments and implement records management programs (Table 2.1) that will also cater for electronic records: this will enhance public service delivery.

Table 2.1. *Changes Taking Place in the Recordkeeping Environment*

AREA	COUNTRY	ERM PROJECT/PROGRAM
Courts: Legal and judicial information systems	Singapore (World Bank & IRMT, 2002)	<ul style="list-style-type: none"> ▪ Electronic filing system (EFS) ▪ Electronic Registry System (ERS) known as KRIS
	Malaysia (Azmi, 2010; Johare, Hussin, & Jamaludin, 2009)	<ul style="list-style-type: none"> ▪ Electronic Court Records (ECR) program ▪ Case Management System (CMS). ▪ Court Recording & Transcription (CRT) system. ▪ Queue Management System (QMS)
Ministry of Health (Fraser, et al., 2005)	Kenya	<ul style="list-style-type: none"> ▪ Mosoriot Medical Record System (MMRS) ▪ Academic Medical Record Systems (AMRS)
	Peru and Haiti	<ul style="list-style-type: none"> ▪ Partners In Health Electronic Records Management System (PIH-EMR) ▪ HIV-EMR system
	Uganda	<ul style="list-style-type: none"> ▪ Careware System (EMR)
	Brazil	<ul style="list-style-type: none"> ▪ Computerized System for the Control of Drug Logistics (SICLOM)
Ministry of Lands	Singapore (Leung, 2012)	<ul style="list-style-type: none"> ▪ National Electronic Health Record (NEHR) system
	Malaysia (Johare, 2001)	<ul style="list-style-type: none"> ▪ National Land Information System (NALIS)
	Kenya (Kwanya, 2014)	<ul style="list-style-type: none"> ▪ Land Information Management System

	(Nyongesa, 2012)	▪ Gis-based National Land Information Management System (NLIMS).
	Pakistan (Imran, Ferdous, Adeel, & Faheem, 2013)	▪ ArcGIS Parcel Data Model
Records management and Library services	Botswana (Document Bank Botswana, 2012)	▪ Electronic Document Management System (EDMS) known as PaperTrail
	Ethiopia (Mosweu, Mutshewa, & Bwalya, 2014)	▪ National Integrated Records & Library Management Information System (NIRLMIS)
Revenue services	South Africa (Jankeepsad, 2013)	▪ South African Revenue Services' (SARS) e-filing system

Several countries such as Australia, United States of America (USA), Canada and United Kingdom (UK), have transformed into Electronic Governments (EG) (Alshehri & Drew, 2010; Johare, 2006). These countries and many other developing countries such as India, Kenya, Thailand, China and Nigeria, have developed electronic systems to manage the main business of the government (Nkohkwo & Islam, 2013). The aim is to have a paperless environment with electronic records only (Department of Economic and Social Affairs, 2014). Table 2.1 above shows just a few examples of the projects or changes implemented in the records management environment. Countries are slowly moving away from paper records management to electronic records management. All these innovations require records officers who are skilled enough to use the new systems e.g. skills to carry out the digitization programs (i.e. document scanning and ability to define e-records). Another notable change is the integration of records management and archives management. These two professions are integrating so as to deal with challenges brought in by technology and competition from other professions such as IT, information managers and knowledge management (Myburgh, 2005).

2.3.1 *Motivation for change*

Managing change involves understanding the drivers of the change i.e. what is motivating the change to take place? (Guler, 2010). Having understood the drivers for change then the organization can effectively develop strategies to control both external and internal effects on the organization. Research shows that there are different drivers (both internal and external factors) that influence the organization to adopt new rules/procedures or modify the existing ones (Christiansen & Varnes, 2015). Internal pressure for change may come from change in

ownership and business strategy which will influence the changes in the organizational structure, it may also come from obsolete products and services. External drivers of change may comprise of competitors, regulators, technology and customer demands (Kilpimaa, 2006). Creasey (2007) states that:

“Change typically results as a reaction to specific problems or opportunities the organization is facing based on internal or external stimuli. While the notion of 'becoming more competitive' or 'becoming closer to the customer' or 'becoming more efficient' can be the motivation to change, at some point these goals must be transformed into the specific impacts on processes, systems, organization structures or job roles”(p.2).

Saruhan (2013) further explains that organizations must reengineer their structures, strategies and processes when current conditions are not satisfactory to create a competitive advantage in the market. This is evident in a study by Lindroth and Borg (2014), where Gambling Inc. had to implement changes due to market forces. Implementing changes helped the company to stay strong in the industry and adjust to competition, clients needs and technological changes. In essence the company changed so as to adapt to the external environment, to save costs and gain control in the market (Lindroth & Borg, 2014).

Similarly, in the records management environment there are various drivers that are putting pressure on both public and private organizations to reengineer their recordkeeping practices. For instance, in a research survey of financial organizations, it was established that accessibility and knowledge sharing is a key driver of implementing electronic records management programs (Miles, 2011). The study further revealed that “compliance with statutory records legislation” was ranked number one (Figure 2.2), followed by “reduce storage costs” and “compliance with industry regulations” which is said to be a very strong driver for financial organizations (Miles, 2011). Both private and public sector organizations are beginning to appreciate the need for reducing duplication of records and implementing effective retention schedule that will force safe destruction or deletion of records. This is the only real solution to the constant demand for storage space and ultimately saving costs. For many organizations this has been the main driver for implementing changes in recordkeeping practices (Miles, 2011).

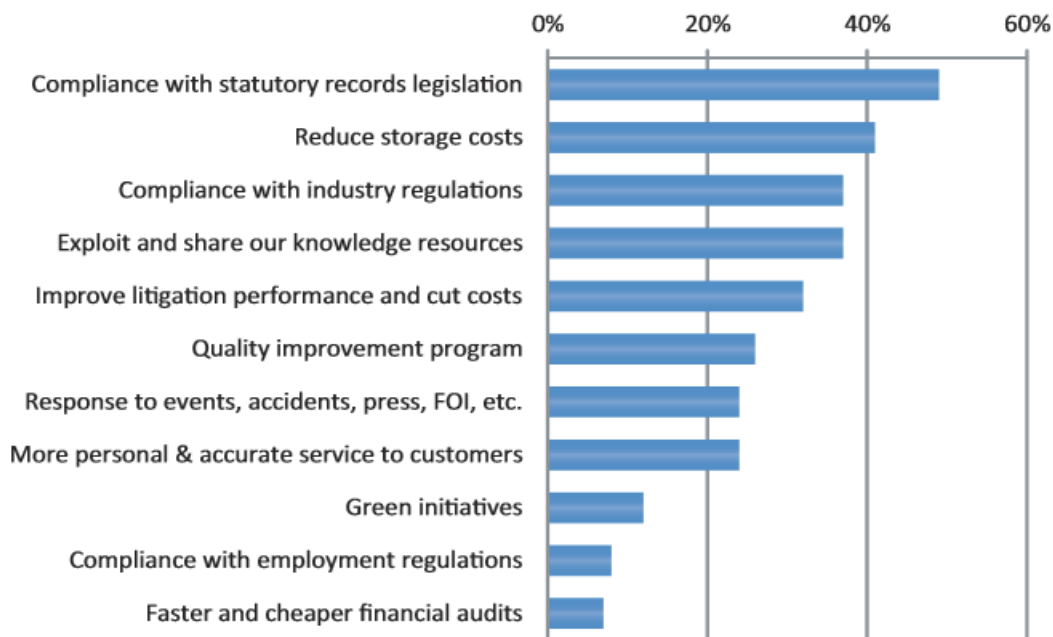


Figure 2.2. Business drivers for change.

Source: Miles (2011)

Another study by Weise (2013) also affirmed that compliance, effectiveness, efficiency and continuity are motivation for change in the records management environment. Compliance entails the need for organizations to create records and retain them for a specific period of time. Effectiveness involves carrying out business operations in a better way, whereas efficiency refers to productivity and cost saving. Business continuity ensures that organizations are able to conduct business transactions after having suffered substantial loss or interruption (Weise, 2013). This is possible through the implementation of disaster preparedness plans that ensure that records remain safe during a disaster and can be accessed after the disaster. Literature also reveals that exponential growth in sources of information, storage formats and storage devices due to rapid technological advances has put more pressure on organizations to change the way in which they manage and store their records (Dale, 2011; McKinnon, 2013). Failure to keep up with these technological developments may lead to poor productivity and inaccessibility of records as technology becomes obsolete. Literature pertaining to land records management has revealed that motivation for implementing changes arises from problems faced in land administration. For example, the Indian government leveraged technology to improve service delivery. Due to problems ranging from poor recordkeeping, inaccuracies and litigations at various levels, the government introduced the National Land Records Modernization Programme (NLRMP) (Rabha, 2015).

2.4 Benefits of Re-engineering Records Management Programs

Records management programs have been operating manually throughout the world. With the introduction of technology the records management environment has seen a new dawn as various recordkeeping practices are being automated. Automation of business processes offers the opportunity to increase business efficiencies and reduce costs. Organizations with an effective and comprehensive records management program in place operate at a more superior level in terms of service delivery effectiveness and efficiency (Mutimba, 2014). Literature affirms that implementation of Electronic Records Management Systems (ERMS) have the potential to increase transparency and accountability in making informed decisions (Katani, 2014; Abuzawayda, Yusof, & Aziz, 2013). They also help organizations to comply with regulatory laws and assist staff to produce accurate and up to date documentation.

Ministries of Lands worldwide are continuously automating land records management processes and procedures by implementing land records and information management system. Land boards are implementing ERMS with the aim of improving public service delivery (Mampe & Kalusopa, 2012). Literature reveals that land records management systems or programs are implemented in order to achieve numerous goals. Some of the reasons include; to facilitate the process of land inventory, land use planning, processing plot divisions, compliance monitoring, acquisition and adjudication (Molund & Vestin, 2014), to automate all land records and facilitate data sharing among landboards (Mothibi, Malatsi, & Finnström, 2011), to improve land allocation and manage the waiting list (Sietchiping & Ezigbalike, 2010), to avoid double booking and illegal occupation (Ali & Nasir, 2010), to enable land boards to fully account for land in their custody (Mooketsi & Leonard, 2013), to facilitate easy access to spatial data such as minutes and information on plot allocations (Makhumalo, 2014), to integrate land records systems with other government departments such as Births and Deaths, Deeds Registry, Civil Registration, Ministry of Agriculture and Department of water affairs (Abankwah, 2012; Bornegrim & Collin, 2010), to generate meaningful reports to aid with decision making (Farah, 2011), to interface with paper records e.g show location of certificates and correspondences (Kwanya, 2014) and to provide online services to the public e.g. access application forms (Lantmäteriet, 2011).

Despite the benefits realised through the use of ERMS some organizations are still reluctant to accept the use of electronic systems. One such organization is the Ministry of Higher Learning Education Science and Technology (MoHEST) in Kenya, which is still using a manual system notwithstanding the fact that an EDRMS was implemented (Mutimba, 2014). The EDRMS was

not in use due to the following reasons; resistance of staff to change, lack of awareness which was evidenced by the staff not knowing that the records management policy existed in their organization. The study concludes by recommending that the EDRMS implementation can be successful if MoHEST trains its staff, implements change management programs and creates awareness about the changes taking place (Mutimba, 2014).

2.5 Effective Records Management and Service Delivery

Records management acts as an enabler for the organization's transparency and accountability. It is therefore imperative for every organization either private or public to implement a comprehensive records management program that is suitable for the digital age. This requires automating records management processes and acquiring change management practices that will help the organization to continuously transform into the new era and stay abreast with the changes taking place in the records management profession. The ability of organizations to keep up with the changes and keep an up-to-date records management program will definitely increase efficiency and effectiveness. Consequently service delivery will also improve. Literature shows that weaknesses in recordkeeping contributes to lower standards of public services offered to citizens (Wamukoya & Mutula, 2005).

Several studies conducted in Kenya established that lack of proper records management programs can negatively impact on service delivery. For instance studies by Abuki (2014) and Oyaro (2013) conducted at KISII county government headquarters and the immigration department in Kenya, revealed that there was poor records management. These studies established that the two organizations had poor filing systems, no file tracking systems, lack of records centres and archives, lack of automated records management programs, lack of enough trained personnel, no disaster management plan, lack of clear records management policies, standards, guidelines and procedures. At the KISII county, for example, it was discovered that records creation was not controlled, labelling and file naming not uniform and files were retained in employees offices. All these problems in records management hindered service delivery in such a way that it led to corruption and fraud, wastage of resources and inability to protect rights of public citizens (Abuki, 2014; Oyaro, 2013). Moemi and Rotich (2015) also conducted a study at the Department of Lands in Kenya, and they discovered that manual systems had become unmaintainable for managing land transactions. This was due to issues such as inadequate storage space, tattered records, inadequate and untrained staff, poor communication with users, missing files and unmaintained records. These together with long

processes, procedures and practices, impacted negatively on service delivery (Moemi & Rotich, 2015).

Marutha (2011) conducted another study in South Africa which also revealed that records management negatively affected turnaround time for the provision of health care services. In Botswana, a study by Mampe and Kalusopa (2012) established that records management practices in the Corporate Service Division at the Ministry of Health Headquarters, were not well ingrained and this leads to poor service delivery. This was evidenced by lack of security and preservation measures, delays in access and use of records, lack of records management policy and lack of an intricate electronic records management programme (Mampe & Kalusopa, 2012). All these studies conclude by recommending that organizations should implement electronic records management that will improve efficiency and effectiveness. This is possible through the implementation of various changes in records management practices. Literature clearly shows that efficient records management has remarkable potential of improving corporate image and enhancing productivity (Oyaro, 2013). To streamline problems with public service delivery, it is crucial for organizations to implement automated records management programs and change management programs that will continuously enhance delivery of services to the clients, reduce operational costs and reduce corruption.

2.6 Change Management Strategies in the Implementation of RM Programs

Implementation of electronic records management programs requires management skills pertaining to procurement, project management, change management and training (Smith, 2007). Sim (2010) stresses on the necessity to develop a comprehensive change management plan, since the success of the project will largely depend on the acceptance and usage of the system by employees. Therefore the following change management strategies may be implemented; development of communication/marketing plan and training the users of the new program (Smith, 2007).

According to Galanti, Ndiaye, and St-Hilaire (2012) when implementing RM programs, records managers must first prepare for change by defining change management strategy and formulating a change management team to spearhead the transition. After that the sponsorship model is developed to show who will be responsible for provision of funds in the implementation of the change management strategy. Secondly, change should be managed by developing the change management plan to outline how activities will be carried out. Then

appropriate action should be taken to implement the plan. Lastly the change should be reinforced by collecting and analysing feedback from users. Gaps can be diagnosed and resistance by employees can be managed. Corrective actions can then be put in place to ensure successful implementation. Having a strategy in place will open a roadmap for the implementation of a change management methodology. A study by Njung'e and Kagiri (2015) conducted in Nairobi, revealed that in instances where precise change management strategies have been implemented, electronic medical records (EMR) systems were successfully adopted by nurses.

2.6.1 People Centred Implementation (PCI)

People Centred Implementation (PCI) is one of the strategies used to manage change. It provides tactics that enable the management of 6 critical success factors (effective change leadership, powerful engagement processes, committed local sponsors, strong personal connection, sustained personal performance, shared change purpose) for successful change. These factors are associated with 20 different risk dimensions that describe people risks involved with organizational change (Murray, 2009). By using this strategy to manage change, people risks will be mitigated throughout the change process. PCI's ability to integrate with other implementation methodologies gives it more strength and capability to manage change effectively. PCI is "designed precisely to help organisations grow their project management capability to include and embrace the principles of change management" (Murray, 2009, p.7). During implementation, the methodology helps to identify and address risks associated with people change and their reaction to change (Murray, 2009). This strategy emphasises the need to build change management capability within an organization. This is so that change management can be part of an organization and not just an ad-hoc activity done as a way of delivering projects.

2.6.2 ISO 15489-2/ DIRKS Implementation Methodology

Literature has revealed that some organizations use the DIRKS Methodology as a change management strategy because Step G "Implementation of a recordkeeping system" of the methodology entails managing change. All records managers complying with the ISO 15489 standard should become familiar with the related implementation process called DIRKS (Developing and Implementing Recordkeeping Systems) (Macintosh & Real, 2007). DIRKS can be used either for evaluating an existing system or developing new systems. As shown in

figure 2.3, DIRKS is an 8-step methodology developed in Australia for designing records management systems (State Records Authority of New South Wales, 2003).

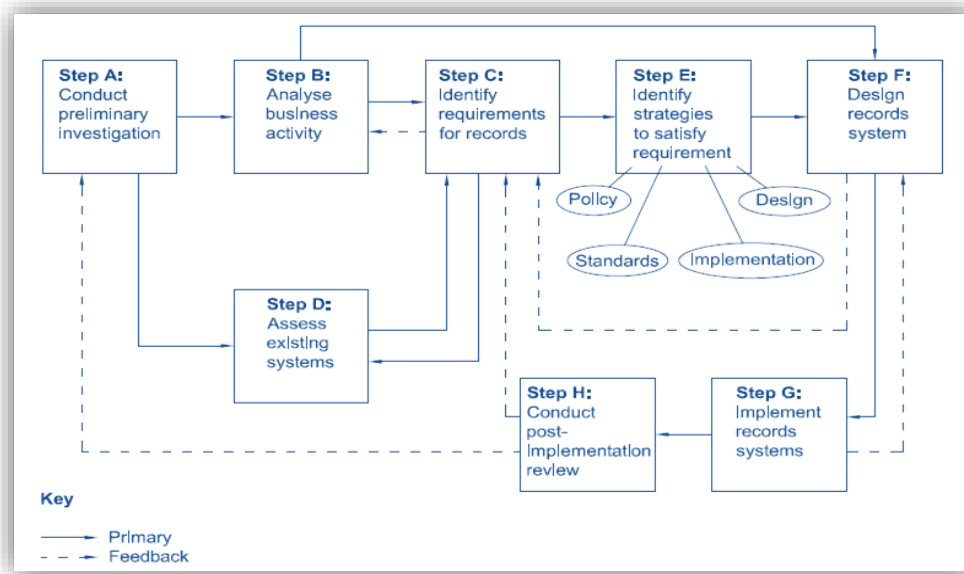


Figure 2.3. ISO 15489-2 Implementation Methodology – DIRKS.

Source: Skjekkeland and Weise (2010)

Literature has revealed that several organizations implementing electronic records management programs have adopted DIRKS as a successful implementation methodology. Examples include, the Public Record Office of Northern Ireland (PRONI) which implemented an EDRMS in 2003 using the DIRKS methodology (Smyth, 2005). A study conducted by Koga and Ogawa (2007) at the Archives and Records Management Section (ARMS) at the UN Headquarters in New York in September 2006, revealed that ARMS uses the DIRKS methodology to implement UN projects, operations and housekeeping activities. In the same study, DIRKS importance is emphasized in terms of its flexibility as a pragmatic solution for recordkeeping solutions (Koga & Ogawa, 2007). This means it can be used to implement any type of recordkeeping projects. Another study carried out in Finland and Sweden on barriers of SMEs in implementing successful e-records management systems concluded that the use of DIRKS as a guideline for implementing ERM programs will lead to successful implementation (Borglund, Anderson, Sirkemaa, Wahlberg, & Sandberg, 2009). The DIRKS methodology has been widely accepted as it appears in the ISO 15489-2 in 2001; “3 Strategies, design and implementation” which have the same steps as those outlined in the DIRKS manual (Koga & Ogawa, 2007). Furthermore the DIRKS steps were also outlined in the International Council

on Archives (ICA) chapter 4 “Implementing recordkeeping requirements” of the manual. ICA has become a world-wide accepted organization for setting guidelines on electronic recordkeeping practices. Therefore its influence has enabled archival institutions and recordkeeping departments to adopt DIRKS standard for implementing recordkeeping programs.

2.6.3 Other strategies

Several studies discuss communication, training and motivation as some of the critical elements that should be embedded in the change management approach.

a) Communication

Literature concurs that communication is a key factor for successful change, as it is a tool used for announcing, explaining and preparing employees for both negative and positive effects of the imminent change (Boikhutso, 2013; Sandin & Akaslompolo, 2005). Packery (2014) states that the strategies used to communicate change should be of good quality and the form of communication must be understandable to the audience. Communication during the change process balances mixed feelings amongst staff and influence participation of employees in the change process (Packery, 2014; Kuntz & Gomes, 2012; Kingston, 2007). Communication is adopted as a change management strategy as it reduces resistance (Ruissalo, 2015; Toribio & Hernandez, 2011). Without communication, there will be unresolved feelings of uncertainty and unwillingness to cooperate by employees (Stewart & O’Donnell, 2007; Sheikh, 2013). Harp (2011), Ruissalo (2015) and Salem (2008) concur that organizational silence or insufficient communication are some of the reasons why organizational change efforts fail. A case study about HP merging with Compaq revealed that change initiatives were successful as a result of effective communication (Stoyanova, 2011). The same study further revealed that employees preferred oral communication such as meetings and workshops as they had the capability to instill knowledge, skills and wisdom as compared to written communication (Stoyanova, 2011).

b) Training

Training is one of the strategies used in managing change initiatives. Generally, training improves employee performance hence it is employed as a change management strategy (Al-Jaradat, Nagresh, Al-Shegran, & Jadellah, 2013). In order for employees to display consistent commitment to change, they must be trained and equipped at every level of the change process

(Bevan, 2011; Packery, 2014). A case study conducted in Uganda on the three biggest telecommunications companies revealed that training position employees cope with the challenges of today's competitive business environment (Nassazi, 2013). It is used as a means of support by managers to give employees new necessary skills and knowledge needed for the change initiative (Mi, 2012). During change initiatives, symptoms such as anxiety, low morale and stress are likely to increase. These problems affect productivity, efficiency and effectiveness negatively, hence it is vital to employ training strategies when implementing changes (Mi, 2012). A case study on change management and systems implementation highlighted that training was viewed as the most critical factor for the success of the systems implementation (Boikhutso, 2013).

c) Motivation

Change is more effective when the human side of change is well understood, as appropriate measures are put in place to create a positive work environment (Sidikova, 2011). This is possible through motivation of employees (Guler, 2010). Sidikova (2011) states that amongst the unsuccessful change management projects; the mood of the organization during the change process, was characterised by fatigue/resistance, confusion, anxiety and frustration. The mood of the organization has a huge impact on sense of job security, morale and motivation. Therefore there is need for a sense of focus, feeling of momentum, hope, confidence and enthusiasm in order for change to be successful (Sidikova, 2011). A study by Boikhutso (2013) reveals that lack of motivation is one of the reasons why people resist change. Another study regards motivating employees to change their behaviour and organizations cultural understanding as a success factor for change management in IT outsourcing (Kilpimaa, 2006). It is therefore vital for managers to assess the level of motivation for each employee. People are motivated by a combination of four elements (Figure 2.4), hence managers should consider this rather than focusing on money as a means of reward or motivation (McCarthy & Eastman, 2010).

	Personal	Interpersonal
Intrinsic	Personal Satisfaction	Social Interaction
Extrinsic	Personal Rewards	Public Recognition

Figure 2.4. Four Types of Motivation

Source: McGuinness (2009)

In a study by Mi (2012), respondents indicated that they value recognition, compliment and reward for a job well done during the change process. This type of motivation helps employees to stick to changes being implemented, hence motivation can be used as a way of reinforcing change.

2.6.4 Elements of a Change Management Strategy

A change management strategy is the first step in implementing any change management methodology. The strategy influences informed decision making throughout the change process (Prosci, 2016). According to Prosci (2016) there are three elements of a change management strategy:

a) Unique characteristic of the change

Managers must begin by understanding the type of change being introduced in the organization. Questions such as what is being changed? What is the scope of the project? What is the time frame of the project? How much change is going on right now? Who will be impacted? This will help in creating a situational awareness of the change. There is also a need to understand the people being impacted by the change. The history and culture of the organization may also be impacted hence it should be considered.

b) Supporting structure to implement the change

Every change management strategy needs a supporting team in order for it to be successful. The change management team and the project management team should be clearly outlined. The team structure should identify the relationships between the change management team

and the project management team. At this stage, managers and leaders who need to actively lead the change should be identified.

c) Risk analysis of the change

A change management strategy should be assessed and managers should come up with unique custom solutions for every change situation. Project risk management entails assessing the risk of not managing the people side of change. The change management team should outline the anticipated resistance and develop special tactics to overcome resistance.

The change management strategy supports the change management plans such as training plan, sponsorship roadmap, communication plan, coaching plan, resistance management plan and reinforcement planning.

2.7 Employees Perspectives Towards Change

It is vital for managers to understand employees' attitudes or perceptions towards change because this will help them to come up with appropriate strategies to overcome resistance and increase acceptance (Boikhutso, 2013). Change is not an event but a process; it is an ever-present feature of organizational life, both at an operational and strategic level (Rick, 2013). The people side of change should be considered in order to facilitate a smooth transition of the changes taking place. Numerous studies in various disciplines and countries, such as Finland, United States of America, and South Africa have been conducted to ascertain the human factors or employees perspectives that impact the success of change implementation. These studies revealed that communication, training, goal setting, leadership support, defined roles, participation and motivation are the critical success factors to project implementation (Boikhutso, 2013; Smeds, 2010 & Bonner, 2013).

A study conducted in Sweden by Guler (2010) revealed that 56% of the participants indicated communication and motivation as key factors for successful implementation of a SAP system. Participants also indicated that their expectations from project management team include: the ability to share information, listening to feedback, training and motivation. Communication and training was also acknowledged as a key factor in a study conducted by Hirvonen (2011) and Rebeka and Indradevi (2015). The study further explained that participants preferred face to face meetings as a means of communication. These findings were also supported by Ekobe (2012), as the study revealed that employees placed more emphasis on the need to understand why the system is being implemented and what would they benefit by changing their way of doing things. The study concludes by stating that insufficient or lack of communication leads

to lack of knowledge by employees. Lack of knowledge leads to user resistance and this is the key reason why systems implementations have been failing in microfinance institutions in Africa (Ekobe, 2012).

2.8 Change Management Models/Theories

Smooth implementation and success of any change project, requires adoption of a change management theory. Organizational change and IT initiatives implementation have been subjected to various change models such as Force field analysis model, Psychological contract theory, Kurt Lewin's 3 step model, Nudge theory, Roger's Innovation Diffusion theory, Kotter's 8 step change model, Unified Theory of acceptance and Use of Technology (UTAUT), McKinsey 7-S Model, Technology Acceptance Model and Bridges' Transition Model (Conrad, 2014; Orr, 2003; Petrescu, 2010; Thong, & Xu, 2012; Upasana, 2014 and Venkatesh). This study will only discuss the following theories; Kotter's change management theory, Kurt Lewins change model, Mickensey 7-s model, Kubler-Ross five stage model and ADKAR change management model. These theories were chosen because they do not just focus on technology like other models, they are flexible and can be used in general settings to study the process of change.

2.8.1 Kotter's Change Management Theory

Clarck (2010) states that, this theory has been used successfully in the implementation of Electronic Medical Records systems. Examples include the successful implementation of an EMR systems by the Northshore Medical Centre in Chicago and Orthopedic Surgical Practice Group in Toronto, Canada (Martin & Voynov, 2014; Auguste, 2013). Also, this theory has been highly used in change management projects at Ericson (Zec & Shurrab, 2014), in profit and non profit organizations such as Coca-Cola, Dell Inc., World Bank and Capital One (Richesin, 2011). This is an eight step model, which according to Kotter (1996) and Kotter (2012) can increase the organization's chances of success in transformational change. According to Neumeier (2013) Kotter's eight steps of change management can be categorized into three phases (Figure 2.5):

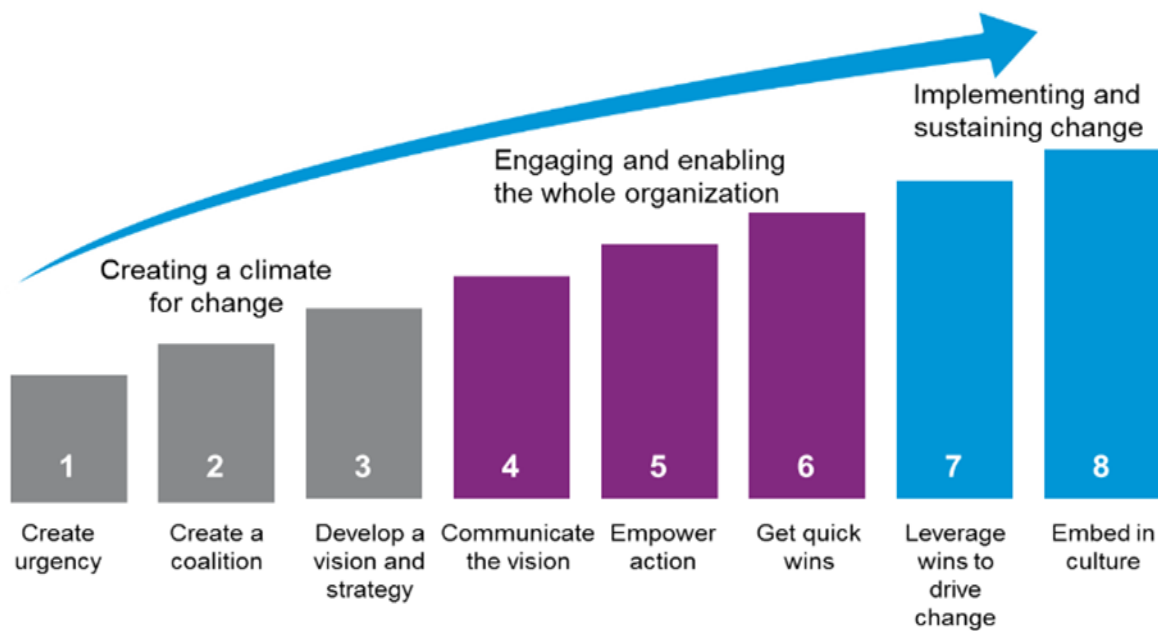


Figure 2.5. Kotter's 8 step of change management.

Source: Yaqoob (2016)

- a. **Creating a Climate for Change:** The first step establishes a sense of urgency. Managers must convince at least 75% of the employees that the status quo is more dangerous than the unknown (Stragalas, 2010). Creating a sense of urgency helps people to see and feel why there is a need for change. For example, a shipping and transportation company called Norfolk Southern's Atlanta terminal created a sense of urgency through an evaluation of safety problems (Richesin, 2011). The second step is creating a guiding coalition; the leading team should be committed and possess knowledge and influential skills to mobilize change. This coalition needs to work as a team and continuously build the urgency and momentum around the need for change (Ramakrishnan, 2014). The third step involves creating a vision and mission that guides transformation. Strategies must be formulated to turn the vision into reality (Stragalas, 2010). For example, Norfolk Southern designed a vision that aimed at changing employee's mentality about safety. The aim was to reduce injuries at the railroad, in order to raise efficiency and lower costs. This vision was shared through daily briefings at the beginning of each shift (Richesin, 2011).
- b. **Engaging and enabling the organization:** in the fourth step, the vision is communicated frequently and clearly using different media for all to access. For example, Norfolk Southern communicated its vision through daily job briefings at the beginning of each shift (Richesin, 2011). After the vision has been clearly communicated, management has to empower employees and generate short term wins. Barriers to transformation must

be eliminated while encouraging risk taking and innovation (Stragalas, 2010). There is vital need to eliminate “silos” that discourage communication and encourage all to participate (Clarck, 2010). Employees should be empowered through motivation. The change management team should ensure that they recognize achievements through rewards or incentives. This will motivate employees to continue changing and not go back to the old ways of doing things. According to Clarck (2010), after each win team leaders should analyze what went wrong, identify gaps and what needs to be improved. For example; Norfolk Southern empowered its employees by asking them to think about their families and how they would feel about an injury to their loved ones. And six months were set as a short term goal for not sustaining any injuries. This goal was successful as nine months went by without any injuries (Richesin, 2011).

- c. **Implementing and sustaining the change:** implementing and sustaining the change is the last phase of the Kotter’s model. This phase has two steps which are; consolidating gains to produce more change and institutionalizing new approaches. Change champions should avoid declaring victory too early, rather they should build on credibility from early successes to advance more implementation plans (Kotter, 1996; Neumeier, 2013 and Stragalas, 2010). Continuous improvement must be the norm. In addition, management should ensure that adopted changes are kept vibrant so that they are sustained. (Ramakrishnan, 2014). In order to sustain the change, it must be anchored in the corporate culture. Leaders should clearly explain the relationship between new behaviour and organizational success (Martin & Voynov, 2014).

One of the advantages of using Kotter’s change management model is that it is an easy step by step model and it can be combined with other theories such as Kurt Lewin’s 3 step model. For example, according to Calder (2013) the two models can be combined as shown in Table 2.2.

Table 2.2 *Lewin’s and Kotter’s Change Models Combined*

Kurt Lewin’s 3 step change model	Kotter’s change Model
Unfreezing	Sense of urgency
	Guiding coalition
	Vision and strategy
Changing	Empower Action
	Short term wins
	Consolidation
Refreezing	Institutionalize

On the first stage of Unfreezing, Kotter goes into a lot of details compared to Kurt Lewin (Calder, 2013). The greatest strength of Kotter’s 8 step model is the first stage which is creating a climate for change. This stage allows leaders to first convince employees that there is a need for change before they can introduce change. Unlike other models, Kotter’s model provides a comprehensive checklist of activities and things to be done during the change process (Gough, 2009). On the downside, Kotter’s model is a top-down model which gives no room for co-creation or true participation of any form (Gough, 2009; Viherlaiho, 2014). It is also a sequential model which does not allow the steps to be skipped – meaning that steps are requisite of one another (Appelbaum, Habashy, Malo, & Shafiq, 2012). Its rigidity makes it difficult to change the direction of the project (Joshi, 2013). Viherlaiho (2014) and Gough (2009) concurs that the model can lead to employee frustration as the stages of grief and individual needs are not taken into consideration, hence there is a greater need for this model to be combined with other models such as Kubler-Ross 5 stage model.

2.8.2 Kurt Lewin’s 3 Step Model

Just like Kotter’s 8 step change model, Lewin’s 3 step model (Figure 2.6) has been widely used to implement organizational changes in different settings. But lately it has been criticized due to the fact that it emphasizes more on major change projects hence it cannot be used for smaller daily changes within organizations (Gustafson & Wilderlund, 2010). Braaf (2011) states that, although Lewin’s model was developed nearly fifty (50) years ago, it is still leading and widely used because it captures the core of the change process which most theories are grounded on.

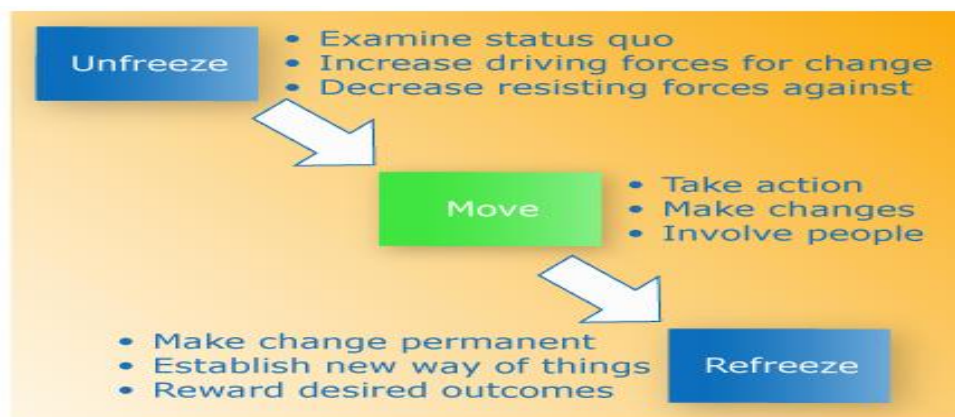


Figure 2.6. The Kurt Lewin’s change model.
Source: King (2016)

As shown in Figure 2.6, Kurt Lewin’s model is a three step process which is founded on people’s attitudes for change (Gustafson & Wilderlund, 2010; Morrison, 2014). It was

developed by psychologist Kurt Lewin around 1945. The model views organizational change as a move from one static state, through a progression shift, to another status quo (Braaf, 2011). The model encompasses the following stages:

- a. **Unfreeze:** This stage entails giving employees necessary preparation to change and it takes place as driving forces become greater than restraining forces (Calder, 2013). The equilibrium state is broken by creating a need for change (Mi, 2012). The main purpose at this stage is to unfreeze employee's attitudes by investigating the current state (Gustafson & Wilderlund, 2010). The freeze change model assumes that change is threatening to the current state (frozen state) and causes discomfort (Mwangala, 2014). As a result, considerable effort may be required to change employees' perspectives and attitudes towards change. Motivation strategies should be implemented to unfreeze the status quo. A study conducted in Nigeria by Isong (2015) at Eduk Microfinance Bank (EMFB) shows that the manager used Kurt Lewin's model to implement changes and the assumptions of the model were proven to be true. In order to unfreeze the current state, the manager of EMFB "created the understanding that current behaviour of not being committed to work was not helping the bank and in turn not helping the workers" (Isong, 2015, p. 31). The manager further motivated the workers and made them understand the benefits of changing their attitudes to work (Isong, 2015). Fear of the unknown may result in resistance, hence breaking old habits may require one to employ several tactics such as; communication, motivation, negotiation-persuading employees by giving them what they want, training and coercion that is, giving employees an ultimatum (Calder, 2013). For example, the manager at Eduk Microfinance bank trained employees through internal seminars and workshops (Isong, 2015). According to Calder (2013), training helps employees to change old habits and equip them with knowledge and skills needed to reach expectations. This is also affirmed by a study which revealed that training paved the way for upcoming changes at the Bank (Isong, 2015).
- b. **Move/change:** this is when the actual change occurs. Employees start learning new behaviour, systems, practices, adopting new structures, procedures and policies. This step requires employees to be involved in the change process so that they feel that they are part of it (Gustafson & Wilderlund, 2010). According to Braaf (2011) this stage is at a psychological level and can be a period of confusion, hence good leadership, psychological support, coaching and counselling are highly needed at this stage. According to Mi (2012), objectives, new mission, clear vision, a strategic plan and local change agents should be

formed at this stage. The author further states that goals and targets of change should be clearly communicated to all stakeholders affected by change (Mi, 2012). For example, during the transition stage, Eduk Microfinance Bank implemented more communication strategies and there was sufficient support which made it easier for workers to be familiar with the change. The bank manager formed an implementation committee and conducted various training sessions to train workers on operations and applications of IT services. There was also continuous monitoring and supervision hence the bank became fully versed with IT services (Isong, 2015).

- c. **Refreeze:** This last stage aims at making change stick by reinforcing and maintaining the new behaviours and practices (Mi, 2012). In order to establish a new place of stability, employees' comfort levels are elevated by reconnecting them back to their safe, familiar environment (Braaf, 2011). Once people are comfortable with the changes, they should be able to accept them as the new norm (Mourfield, 2014). Workers must be made to feel comfortable at this stage, they should fully adapt to the new changes and this can be reinforced through feedback, motivation, public/private praises, recognition and rewards for effort to change (Mi, 2012; Gustafson & Wilderlund, 2010; Calder, 2013). The main goal at this stage is to make changes permanent thus promoting stability of the new changes (Mourfield, 2014).

Similar to Kotter's 8 step change model, Kurt Lewin's model also focuses on employees buying into the change before introducing it (Calder, 2013; Joshi, 2013; Viherlaiho, 2014). It is a rational, goal and plan oriented model. Although it is a simple model to follow, it focuses more on overcoming resistance and gives little attention to other aspects of change (Calder, 2013). Criticism on Lewin's model centre around the refreezing stage. Many scholars argue that in today's world of exponential technological escalation, it is impossible to have a stagnant state without facing any changes. Connelly (2016a) concurs that rigidifying change does not fit with current trends about change being a continuous process and sometimes a chaotic process which demands great flexibility. Therefore the goal should be to create continuous open learning systems in the new environment and not to freeze change (Graetz, Rimmer, Lawrence, & Smith, 2011; Huczynski & Buchanan, 2007; McAleese, Creed, & Zutshi, 2013). Just like Kotter's 8 step change model, Lewin's model is also linear in nature. It assumes that organizations are operating in stable environments and can be responsive to pre-planned changes from one constant environment to another (Bamford & Forrester, 2003; McAleese, Creed, & Zutshi, 2013).

2.8.3 McKinsey 7-S Model

The McKinsey 7S Model was developed by Richard Pascale, Anthony Athos, Tom Peters and Robert Waterman in 1978 (Maru, 2015). The model came about after the four authors had studied how the Japanese industry had been so successful and also explored what made the McKinsey & Company excellent. The authors of this model, worked as consultants at McKinsey & Company and they used the model to analyze over 70 large organizations (Alshaher, 2013). The basic principle of the 7S model (Figure 2.7) is that there are 7 internal facets (strategy, structures, systems, shared values, skills, staff, style) of an organization that need to be aligned if it is to be successful (Mind Tools, 2010).

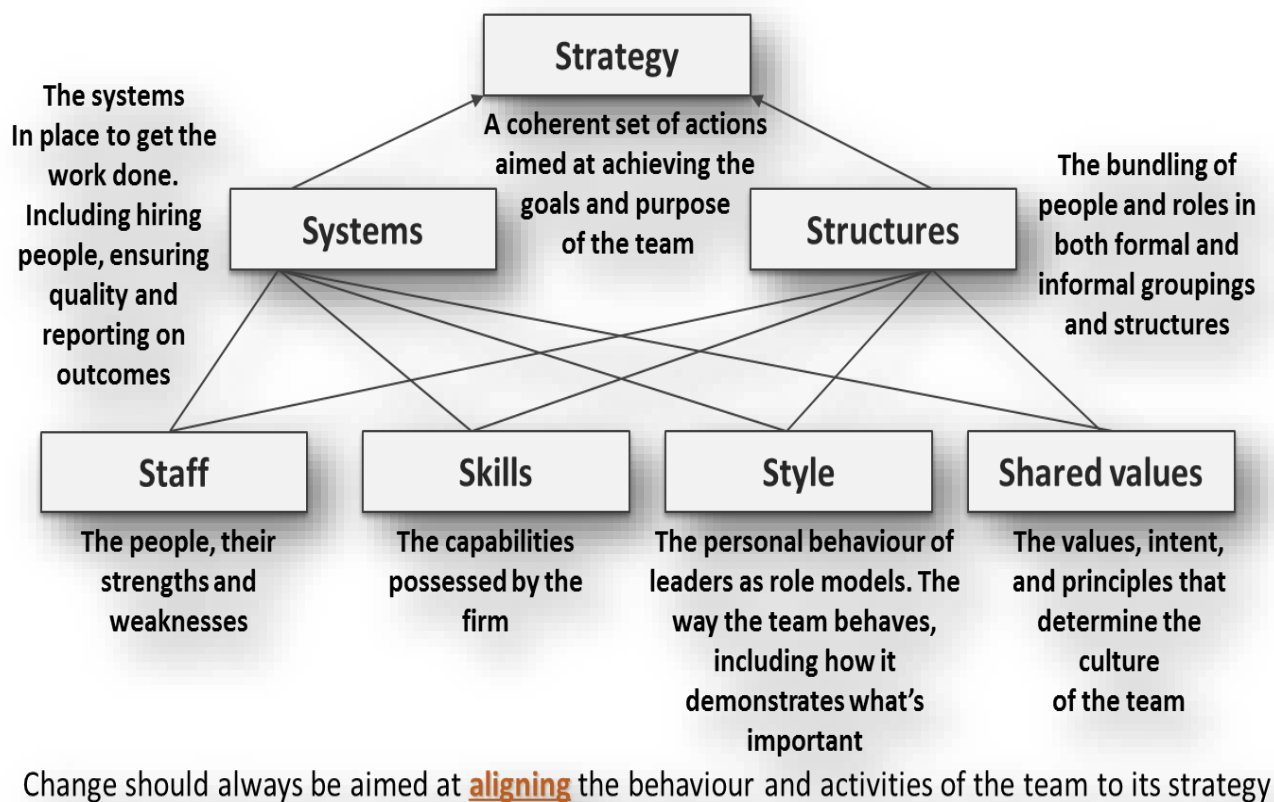


Figure 2.7. The McKinsey alignment framework (The 7s model).

Source: Woods (2015)

Furthermore, the 7 principles are divided into two categories; **hard elements** which are feasible and easy to identify (strategy, structure, and systems), and **soft elements** which are hardly feasible and influenced by culture (shared values, skills, staff, and style) (Alshaher, 2013; Mind Tools, 2010). The 7 principles are further described in Table 2.2. The model's strength is that

it is easily recognizable and remembered in business (Alshaher, 2013). Mind Tools (2010) and Gustafson and Wilderlund (2010) mentions that the 7S model exceeds other similar theories in the sense that it is rigid and it is actually useful. Mourfield (2014) also adds that the model is unique due to the fact that it addresses the role of coordination rather than structure in organizational effectiveness.

Table 2.3 *Definition of the Elements of McKinsey 7S Model*

Element “S”	Interpretation	Checklist Questions
<u>Hard Elements</u>		
Strategy	-Purpose of the business and the way the organization seeks to enhance its competitive advantage. -Actions a company plans in response to changes in its external environment	What is our strategy? •How do we intend to achieve our objectives? •How do we deal with competitive pressure? •How are changes in customer demands dealt with? •How is strategy adjusted for environmental issues?
Structure	-Division of activities; integration and coordination mechanisms; nature of informal organization. -Basis of specialization and coordination influenced primarily by strategy, size, and diversity of organization.	How is the company/team divided? •What is the hierarchy? •How do the various departments coordinate activities? •How do the team members organize and align themselves? •Is decision making and controlling centralized or decentralized? Is this as it should be, given what we're doing? •Where are the lines of communication? Explicit and implicit?
Systems	-Formal procedures for measurement, reward and resource allocation; informal routines for communicating and resolving conflicts. -Formal and informal procedures that support the strategy and structure	What are the main systems that run the organization? Consider financial and HR systems as well as communications and document storage. •Where are the controls and how are they monitored and evaluated? •What internal rules and processes does the team use to keep on track?
<u>Soft Elements</u>		
Shared Values	-Core beliefs and values and how these influence the organization’s orientation to customers, employees, shareholders and society at large.	What are the core values? •What is the corporate/team culture? •How strong are the values?

	Shared values are at the centre of the 7S model.	•What are the fundamental values that the company/team was built on?
	-Guiding concepts, fundamental ideas around which a business is built- must be simple, usually stated at abstract level, have great meaning inside the organization even though outsiders may not see or understand them.	
Style	-Consists of two components: Organizational culture: the dominant values, beliefs, and norms which develop over time and become relatively enduring features of organizational life. Management style: more a matter of what managers do than what they say; how do company managers spend their time; what are they focusing on.	How participative is the management/leadership style? •How effective is that leadership? •Do employees/team members tend to be competitive or cooperative? •Are there real teams functioning within the organization or are they just nominal groups?
Staff	The organization's human resources, its demographic, educational and attitudinal characteristics.	What positions or specializations are represented within the team? •What positions need to be filled? •Are there gaps in required competencies?
Skills	The organization's core competencies and distinctive capabilities.	What are the strongest skills represented within the company/team? •Are there any skills gaps? •What is the company/team known for doing well? •Do the current employees/team members have the ability to do the job? •How are skills monitored and assessed?

Source: Mind Tools (2010), Mourfield (2014), Alshaher (2013) and Donselaar (2012)

When implementing changes managers should note that all the seven elements are interdependent; change in one element necessitates change in the other elements (Mourfield, 2014). Donselaar (2012) clarifies that if managers change one element on its own, the other elements may resist the change and try to retain the status quo. The model posits that successful implementation is achieved when there is an integrated harmony of all the elements (Maru, 2015). In order to reinforce the implemented changes, managers should continuously review the 7S framework (Mourfield, 2014). Literature shows that this model has been used successfully in various organizations to implement changes. For example; it has been used by Coca-Cola Company. It was also used for strategy implementation at the Kenya Revenue

Authority and at Netherlands Red Cross. In Iraq it was also used for E-learning system readiness assessment (Donselaar, 2012; Maru, 2015; Alshafer, 2013). The framework gives an effective way of understanding the organization. However, this framework is more concerned about organization and improving organizational performance. It does not focus on the people side of change and it is not comprehensive enough on the change process itself. It is more of a guiding strategy for improving organizational performance rather than a change management model.

2.8.4 Kubler-Ross Five Stage Model

In order to explain the grieving process, Elizabeth Kubler-Ross developed the five stage model in the 1960s (PeopleWiz Consulting, 2013). The five stages, as shown in Figure 2.8, represent the normal range of feelings experienced when change is introduced (Connelly, 2016b). Kubler-Ross called these five stages of grief; defense/coping mechanisms. These defense/coping mechanisms are essential for one to move from one state to another. The stages are not linear as depicted by the change curve. Rather an individual may possess more than one emotion at a time or can move back to the stages one has been in before (Connelly, 2016b).

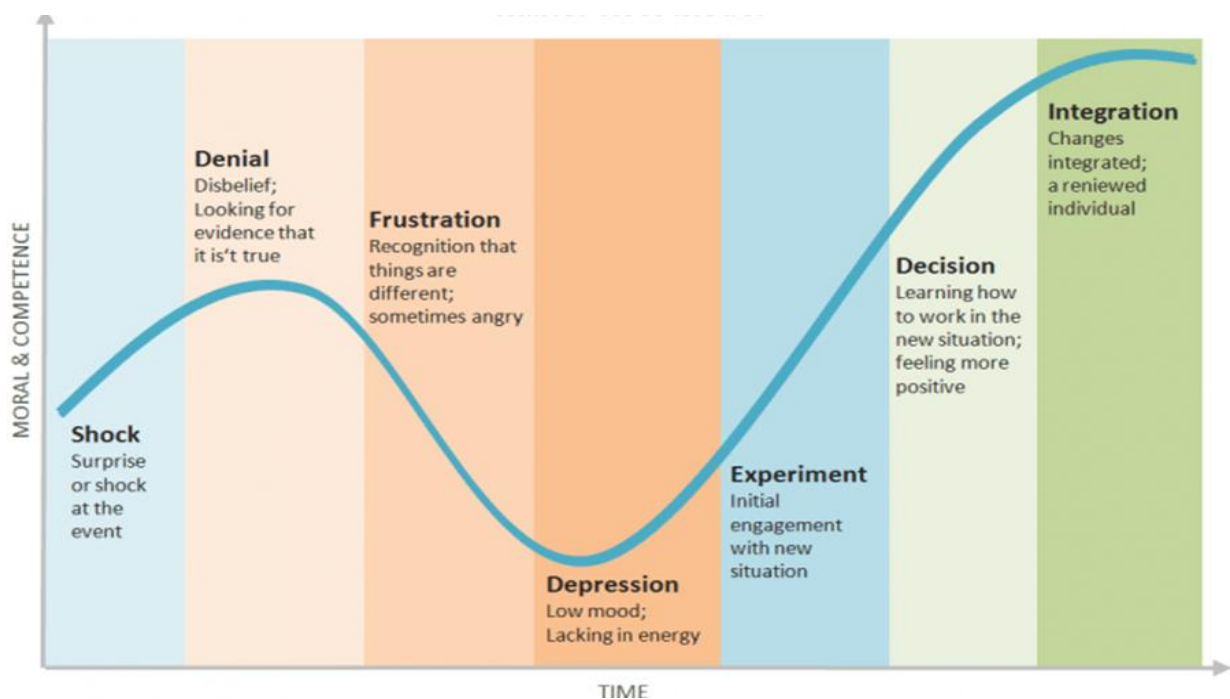


Figure 2.8. Kubler-Ross Five stage model.

Source: Cleverism (2015)

Kubler-Ross model is more concerned with the people's feeling during a change project, hence it can be suggested that the model should be integrated with other change management theories (such as ADKAR model) for its effects to be fully realized. With this change curve, managers

can plan how they will minimize the negative impact of change. A study by Shoolin (2010) revealed that physicians experienced Kubler-Ross' 5 stages during the implementation of an electronic medical records system and managers came up with strategies to foster a smooth transition. One of the model's strength is that the individual's reaction to change is well captured. This can be used as the basis for developing an effective communication strategy (PeopleWiz Consulting, 2013). However, this model is difficult to apply to a group of people. Moreover there is no empirical research that validates this model (PeopleWiz Consulting, 2013).

2.8.5 ADKAR Change Management Model

The model was created by the Prosci research organization in the late 90s. Later research was conducted in more than 300 companies which were going through major change projects, and the research led to the publication of a book entitled "ADKAR: A Model for Change in Business, Government and Our Community" by Jeff Hiatt in 2006 (Prosci, 2015). According to Prosci (2015) the ADKAR model is an individual change management model that can be used: to guide change management activities such as communication, resistance management and training. It can also be used as a coaching tool to support individuals through change process and to diagnose a struggling change by performing an ADKAR assessment.

The ADKAR model consists of 5 building blocks which provide a principal framework for managing change (Figure 2.9): (1) Awareness of the need for change, (2) Desire to support and participate in change, (3) Knowledge of how to change, (4) Ability to implement required skills and behaviour, (5) Reinforce to sustain the change (Prosci, 2015).

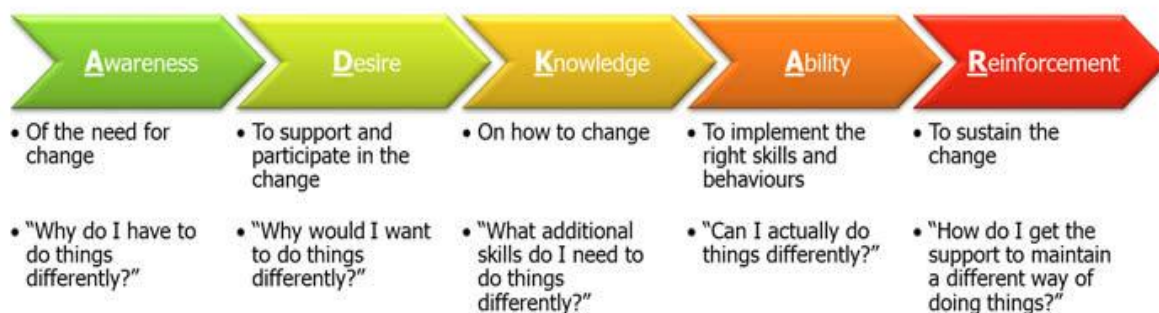


Figure 2.9. Prosci's ADKAR model.

Source: Maerz (2013)

The ADKAR model suggests that all the five elements should be in place for change to be realized (Figure 2.10). If one element is missing then there will be a negative impact or outcome (Prosci, 2015). For example, if employees are not aware of what changes are being implemented, they are bound to be confused whereas employees who lack the desire to change may resist the change initiatives (Figure 2.10). The ADKAR model was successfully used by Kiani and Shah (2014) in their study that aimed at ‘applying ADKAR change model for the analysis of change management competency profile of school heads in Pakistan’. This shows that the model is flexible in all environments hence can facilitate successful implementation of change projects.

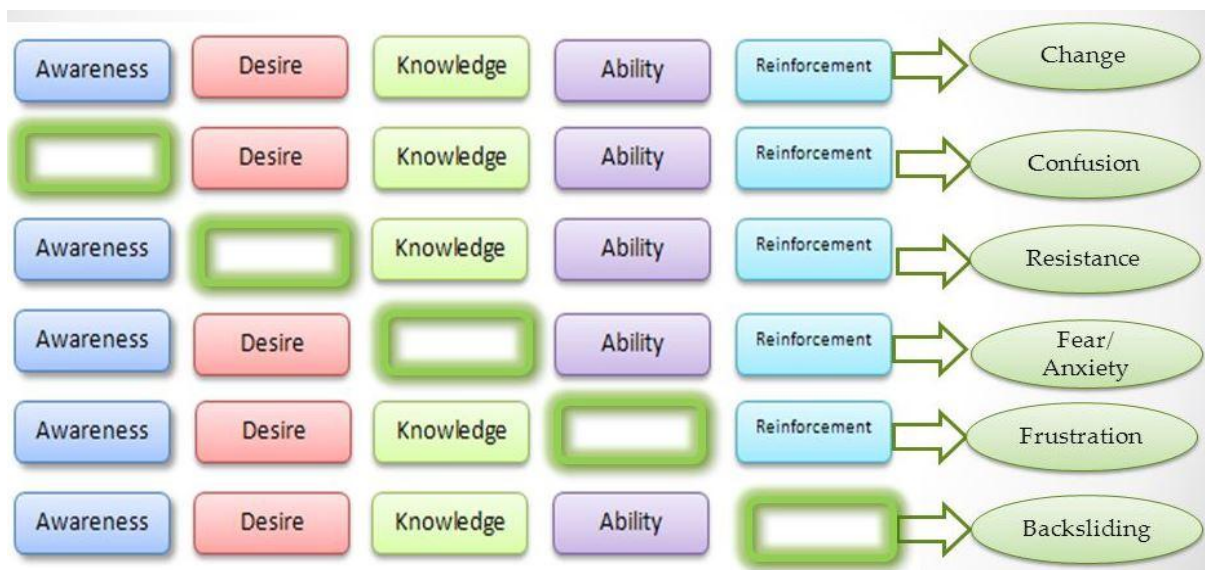


Figure 2.10. ADKAR gap model.

Source: Prosci (2015)

The ADKAR model allows managers to manage resistance to change (Nayab, 2014). However, resistance is emphasized more in Lewin’s model more than it is emphasized in the ‘desire’ element of the ADKAR model (Calder, 2013). ADKAR is a bottom up approach that allows managers to implement changes from the individual level upwards. The model ensures that employees are well equipped for change and that they make a smooth transition (Nayab, 2014). This model also acts as a diagnosis tool, managers are able to identify problems (such as resistance, confusion and frustrations) and take remedial action. Rodgers (2014) affirms that the ADKAR model has the ability to determine and identify areas which need improvement to ensure success. It also has a comprehensive checklist for managers to follow during the phases of the transition (PeopleWiz Consulting, 2013). On the other hand, the model fails to anchor

on the need for management to address the emotional aspect of change (Rodgers, 2014; Warrilow, 2015).

2.9 Theoretical Framework

This study adopts Prosci's ADKAR model and Kotter's change management model as the basis for research. The ADKAR model was chosen because research by Hiatt (2006) has shown that the model is goal oriented and easily applicable to any situation faced with change. The ADKAR model was also chosen for this study because currently the researcher has not come across any literature that dwells on change management in land records initiatives using the ADKAR model. Therefore the study aims to introduce this model to the implementation of land records management initiatives. Moreover the ADKAR model has the ability to identify why changes are not working and help take the necessary steps to make change successful. This will help the researcher to be able to identify whether changes at Tlokweng Land Board are not working or successful. On the other hand, Kotter's change model was chosen because it is a step by step process which is easy to follow. It also acts as an organizational development tool through the provision of a three dimensional linkage between individual employees, the team and the organization (Upasana, 2014). Kotter's change model is also flexible as it has been used in combination with other models such as Roger's innovation diffusion theory (Neumeier, 2013). The researcher has opted to combine the two models because they complement one another in the sense that Kotter's change model focuses on acceptance and preparedness for the change rather than on change itself (Joshi, 2013), whereas the ADKAR model focuses on change itself and the individual. The combined model offer a unique way to understand change management in the implementation of new initiatives. Figure 2.11 represents the model that was used to conduct research.

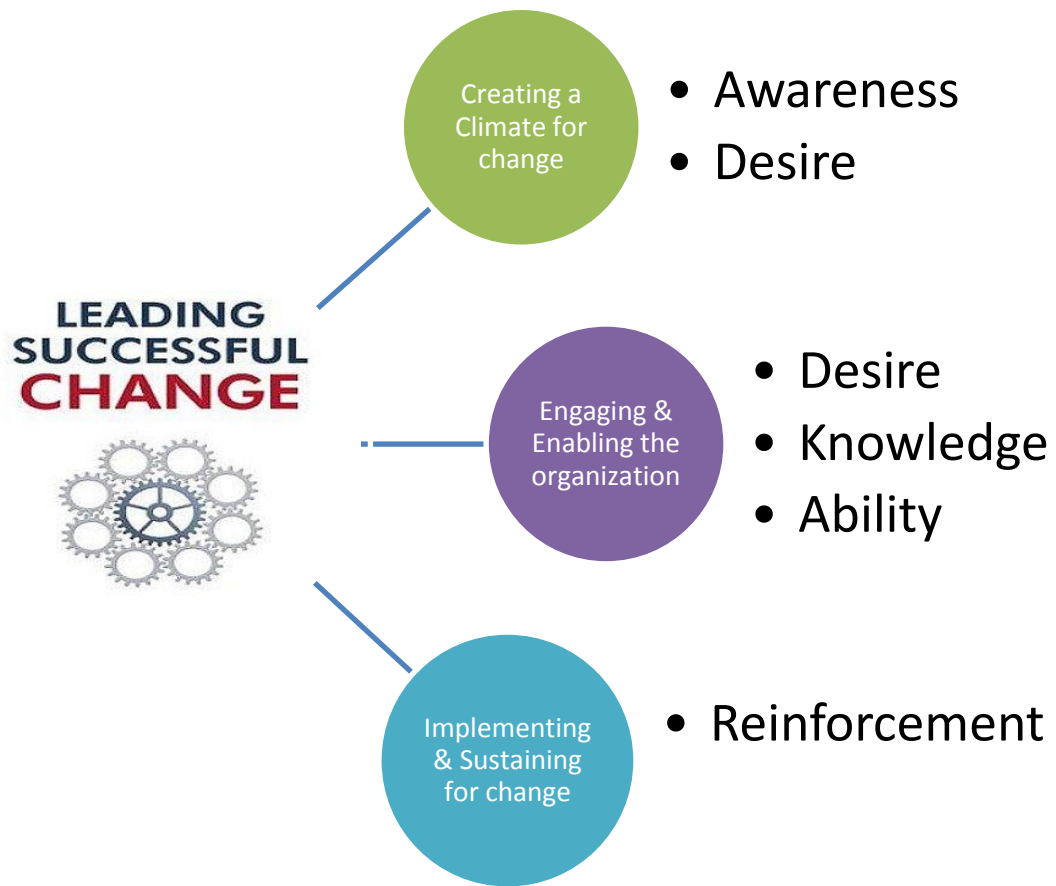


Figure 2.11. Theoretical Framework.

Source: Field data (2015)

As represented in Figure 2.11, leading successful change entails managing the process of change in three phases; creating a climate for change, engaging and enabling the organization and implementing and sustaining the change. These three phases are implemented in conjunction with the ADKAR change model. The 5 elements of the ADKAR model can be multifaceted depending on the level of the change process. This is so because according to the change management framework in Figure 2.11, the researcher perceives the ADKAR elements as flexible as they can overlap within the three phases. Thus two or more elements can be addressed simultaneously in one of the three phases of the Kotter's 8 step model. According to Kotter's change model the first step is to establish a *sense of urgency*. At this stage, *awareness* must be raised by communicating the need to change and benefits associated with the change. This will eliminate *confusion* in the organization. *Building the team* (coalition) requires selecting employees who have the *desire* to change and are willing to participate. *Creating a vision and communicating* it entails making people aware of what the organization wants to

achieve. At this stage the change champions or team should strive to build the employees' *desire* to support and take part in the change, so that *resistance* can be minimized. Communicating the vision enables employees to acquire the *knowledge* about how to change and what to do. This can be done through trainings and defining roles. Impacting knowledge reduces *fear and anxiety*.

Empowerment involves impacting skills and removing obstacles to change. It also increases the chances of employees to acquire more *knowledge* on how to change. This will provide employees with the *ability* to implement change on a day to day basis. When employees have the ability to implement change then they will not be frustrated with the new developments. **Creating short term wins** through motivation strategies like promotion, rewards and public appraisal may increase employees' *desire* to change and also motivate them to gain more skills on how to implement the change. Lastly the team must **consolidate and institutionalize** the change. This last stage entails making sure that change sticks by **reinforcing** it using different monitoring systems. This will make the change part of the organizational culture. Institutionalizing change will prevent employees from *backsliding* or going back to their old ways of doing things.

2.10 Summary

This chapter described the findings in current literature pertaining to change management and implementation of records management programs. The phenomenon of change was defined and the reasons why change should be managed were outlined. The chapter includes an outline of various changes taking place in the records management environment all over the world. Furthermore, literature revealed a number of forces that are behind the implementation of new changes in the records management environment. Expected benefits of re-engineering records management programs were also indicated and the impact of change management on service delivery was discussed. Communication, training and motivation were some of the change management strategies used in various settings. Numerous change management theories were discussed and the employees' perspectives towards change were articulated. Lastly the theoretical framework for this study incorporated the use of Kotter's 8 step change management theory and the Prosci's ADKAR model. The researchers in the literature reviewed used a variety of research methods such as mixed methods, qualitative and quantitative approaches. These empirical studies also employed the use of various research instruments such as questionnaires, interviews, document reviews and observations.

Chapter 3

RESEARCH METHODOLOGY AND DESIGN

3.1 Introduction

This chapter describes the methodology employed in exploring the change management practices in the implementation of records management (RM) programs at Tlokweng Land Board. According to Kothari (2004) a research methodology is a way of systematically solving the problem. A research methodology is important because it outlines why a particular study is being undertaken, how one formulated a research problem, what type of data was collected, the types of data collection methods used and why a particular data analysis technique was used (Rajasekar, Philominathan, & Chinnathambi, 2013). The methodology for this study is described under the following headings; research paradigm, research design, location and research participants, sampling procedure and data collection methods. Data analysis techniques and ethical considerations are also covered in this chapter.

3.2 Research Paradigm

This is mainly an exploratory study that adopted a pragmatism paradigm using a deductive approach. Weaver and Olson (2006, p.460) define a research paradigm as “patterns of beliefs and practices that regulate inquiry within a discipline by providing lenses, frames and processes through which investigation is accomplished.” According to Creswell (2009, p. 231) “pragmatism as a worldview or philosophy arises out of actions, situations and consequences rather than antecedent conditions (as in postpositivism)”. This paradigm asserts that concepts are only relevant if they support action (Saunders, Lewis, & Thornhill, 2012). Morgan (2014) states that knowledge consists of warranted assertions that result from taking action and experiencing the outcomes, hence the meaning of an event cannot be given in advance of the experience. Pragmatism focuses on the consequences and meaning of an action or event in a social situation (Morgan, 2014). The research philosophy is concerned with what is applicable, what works and solutions to problems (Creswell, 2009). Pragmatism “concerns thinking that choosing between one position (epistemology, ontology or axiology) and the other is somewhat unrealistic in practice...” (Ihuah & Eaton, 2013, p. 937). The philosophy recognizes that there are various ways of understanding the world and undertaking research, that no single point of view can ever give the entire picture and that there may be multiple realities (Saunders, Lewis,

& Thornhill, 2012). Therefore pragmatist researchers can integrate more than one research approach and strategy within the same study. Creswell (2009) affirms that in pragmatism, researchers focus on the problems and use all approaches available to understand them. Dudovskiy (2016) states that the research question is the most important determinant of the research philosophy, hence pragmatism was chosen because it allowed the researcher to fully answer the research questions.

3.3 Research Design

The researcher conducted an in-depth study at Tlokweng Land Board (TLB). A case study strategy was chosen as it is useful for exploring change management strategies at TLB and it is more flexible and adapts easily to research questions and settings. Creswell (2009) asserts that pragmatism opens the door to multiple methods, different world-views and different assumptions, as well as various forms of data collection and analysis. Thus the researcher conducted a case study through the use of the mixed methods approach which helps to reduce errors in data findings. Combining research methods enhances the validity of the study findings by reducing the weaknesses and preserving the strengths in both qualitative and quantitative designs (Ponce & Pagan-Maldonado, 2015; Caruth, 2013). Combining quantitative and qualitative methods was beneficial to the researcher as there are several strengths to doing this, such as enabling the researcher to answer a broader and more complex range of research questions and produce more complete knowledge to inform theory and practice (Onwuegbu & Teddie, 2003). Literature reveals that numerous studies employ the use of mixed methods (Morse & Niehaus, 2016; Tashakkori & Teddlie, 2010). For example, a study conducted by Miller and Cameron (2011) revealed that increasingly, doctoral students in business administration conduct research using mixed method research designs. Mixed methods are used concurrently in all stages (data collection, data analysis and data interpretation) of the study. Mixing occurred during data collection where both qualitative and quantitative data were collected concurrently. During data analysis, mixing was done through conversion of qualitative data into themes which were then quantified. Lastly data interpretation was done through presenting quantitative results first for each question, followed by qualitative data for that particular question. Even though the mixed methods approach was employed, both quantitative and qualitative data had a fairly equal weighting.

3.4 Location and Population of the Study

The study was conducted at Tlokweng Land Board with its employees being the unit of analysis for this study. The total number of Tlokweng Land Board staff was 93 as per the employees' list for 2016. At the time of the study, there were three vacant posts in the permanent and pensionable category. Therefore the total number of the study population was 90, thus excluding the three vacant posts.

3.5 Sampling Procedure

The study employed a non-probability sampling strategy and adopted purposive sampling to strategically select the participants of the study. Purposive sampling was chosen for this study because it allows the researcher to select an informant based on the qualities they possess (Tongco, 2007). The choice of sampling technique was made based on the argument that information on the phenomenon being studied could be gathered effectively from employees with certain responsibilities in the implementation and use of records management programs. Therefore, employees such as cleaners, switchboard operators, gardeners, messengers, drivers, and labourers were not part of the study as they are not involved in the creation, use and management of records at TLB. As a result, the number of expected participants was sixty eight (68). Table 3-1 shows the respondents at TLB and the justification for choice of each respondent.

Table 3.1 *Participants of the Study at Tlokweng Land Board*

Category	Description	No. of Employees
Records management staff	These are records officers (four) and records manager (one) who manage the use of files throughout its life cycle. Records staff are the main users of the records management (RM) programs. Therefore they need to be involved in the change management process because if they are not, then no one will support and manage the programs. Records management staff have the power to make the program implementation successful. Records management staff have the power to encourage end users or action officers to accept and use the records management programs properly according to the RM procedures of the organization.	5
Action officers from various departments other than the	Action officers are general staff members who create and make use of files to complete their daily tasks. They are not records management specialists but require records to achieve the goal of the land board. Action officers are the end users of the records management programs. Therefore they need to be taken through the change process so that they are able to acclimatize	60

records centre	to the new environment and adopt changes taking place. Without their support implementation of records management initiatives are likely to fail.	
IT staff	They liaise with records personnel in developing, implementing and maintenance of electronic systems which create, manage and store records. The IT staff also provide ICT policies and infrastructure. They are key in the implementation of records management programs as they offer support to records officers and action officers through various trainings.	3
Total participants		68

Source: Field data (2016)

3.6 Data Collection Methods

Dudovskiy (2016) and Saunders, Lewis and Thornhill (2012) state that pragmatists use whatever combination of methods that are necessary to find answers to research questions. Therefore the researcher borrowed the philosophical underpinning of post-positivism that posits that all observation is fallible and has error. It emphasises the importance of multiple measures and observation, each of which may possess different types of error, and the need to use triangulation across these multiple errorful sources to try to get a better understanding of what is happening in reality (Trochim, 2006). Similarly pragmatism supports the use of all possible methods that enable credible, well founded, reliable and relevant data to be collected that advance the research. It is upon this epistemology that the researcher adopted methodological triangulation during data collection process. Ramokate (2010) and Makhumalo (2014) in their studies on records management in lands boards, successfully employed mixed methods research techniques which used focus groups, interviews, desk research, document review and questionnaires. This study also made use of face to face and focus group interviews, questionnaires, document review and participatory observation. The following discussion articulates how these methods were used in the study.

3.6.1 Interviews

Semi-structured interviews were conducted with selected personnel such as records officers, the board secretary, IT staff and the records manager to discover the change management strategies used in implementing changes. The interviews were used to solicit information on how change is managed in the process of implementing RM programs. An interview guide was formulated in order to keep the discussion focused and it was not given to respondents beforehand (see Appendix 1). This was meant to prevent interviewees from providing prepared/ manufactured responses during the interview. A voice recorder was also used to

ensure that accurate information is captured and no vital information is omitted during data analysis. Interviews were carried out as they have room for ambiguous questions to be identified and clarified. Follow up interviews were carried out with action officers who failed to complete their questionnaires adequately. They were also used to seek clarification on responses which were not so clear in the comments section. Interviews can be time consuming; hence the researcher conducted 4 individual interviews (one on one) and 1 focus group interview with 3 employees. Appointments were made with the respective participants and the interviews were carried out at the comfort of their office, according to the agreed time by both the interviewer and interviewee.

3.6.2 Questionnaires

The questionnaire enables the researcher to gather responses from respondents in a standardised manner (Bhattacharjee, 2012). Through the use of structured questionnaires, bias is reduced in the research findings as the researcher has no influence on the participants' response. The questionnaire was divided into five sections (see Appendix 2):

- λ Section A- Changes taking place and expected benefits
- λ Section B- Creating a climate for change
- λ Section C- Engaging and enabling the whole organization
- λ Section D- Implementing and sustaining change
- λ Section E- Employees perspectives towards change

Some of these sections in the questionnaire provided a commentary section. This gave the respondents room for expressing or supporting their choice of answer. Questionnaires were distributed to action officers and records officers in their respective offices. The drop and pick approach was used for collecting questionnaires. Each respondent was given a maximum of one week to complete their questionnaire. In circumstances where the participants were on leave, the use of emails was employed to distribute questionnaires.

Completed questionnaires were collected from the respondents' offices while some were dropped at the RMU. As acknowledged by Leedy and Ormrod (2010), written questionnaires are less costly to distribute. One of the downfalls of using questionnaires is that it can lead to low response rate. This was counter measured by sending questions through emails and giving duplicates to avoid excuses of lost questionnaires. Questionnaires may be confusing and misleading at times, hence the researcher pre-tested the questionnaires in order to identify the pitfalls and correct them before the actual research. The pilot study was carried out at Malet

Land Board. Through the pilot study the researcher realised that one of the questions in Section A was unclear to the participants and they had failed to provide answers. Similarly the last question in section D raised a number of questions during the pilot study. These two questions were later edited to rectify the errors experienced during the pilot study.

3.6.3 Document Reviews

Primary and secondary sources were used to gather all the necessary information for this study. Documents that were analysed at Tlokweng Land Board include pamphlets, MLH change management framework, award certificates, TLB functional classification scheme, e-index, records management committee-terms of reference and MLH records management policy. The researcher used internal document review techniques as a way of closing the gaps that were left out during the interviews with the board secretary, records managers and the IT personnel. Document reviews provided primary data that is accurate and can be verified at any point in time. Permission to analyse official documents with information pertaining to the research phenomenon was sought from the Board Secretary, Human Resource Manager and Records Manager. Access to records such as records management policy and the classification scheme was supervised by the records manager who is the custodian of such information. Confidentiality was ensured by analysing the documents in a safe and secure area such as the Records Management Unit (RMU) where access by the public and action officers is denied or limited. Anonymity was maintained by developing a framework for capturing research notes. The researcher did not make or keep any photocopies, electronic records and photographs of sensitive information used during the document search process. This was done to ensure privacy of the organization's information. A confidentiality form was also signed with the records manager. The researcher also ensured that clear and accurate interpretation of the information from organizational documents was maintained by presenting it to the records manager for approval before it could be used as part of the findings.

3.6.4 Participatory Observation

The researcher chose to be part of the study participants (through voluntary work program) by being involved in their daily activities of managing records in the RMU. Participatory observation gave the researcher more insight and in-depth understanding of the phenomenon under study (Ross, 2014). Participating in group activities paved the way for other research instruments, as participants became more comfortable with the researcher and they were able to honestly answer questions under informal settings. Through this method, the researcher

discovered information pertaining to the participant’s feelings and perceptions during implementation and when using new records management programs. As shown in Table 3.3 (section 3.7), this method was implemented through a voluntary work program. The researcher formally applied for voluntary work at the land board to work on part time basis in the records management unit. The human resources manager approved the application letter (Appendix 3) and also issued the research permit (Appendix 6). The researcher conducted participatory observation twice a week starting from September 2015 till the end of February 2016. The records manager assisted the researcher with RMU activities by providing necessary information required in order to carry out the observation successfully. This method also enabled the researcher to notice important candidates for the research, as action officers came for help at the RMU.

Participatory observation was used mainly for the researcher to gain more experience in the day to day running of the RMU. For example, the researcher was able to watch and also enter records in the electronic index, scan documents, register and file records. This enabled the researcher to retrieve more relevant information and be able to understand thoroughly the environment in which research will be conducted. Through participatory observation, the researcher was able to retrieve important data tools such as screen shots from the STARDUST system and the electronic index, photographs from the storage room and award certificate. These documents were used to support the findings and the context of the place of study. During the process of participatory observation, a research journal was used to capture notes on what was being observed. As shown in Table 3.2 below, each data collection instrument had its intended data requirements.

Table 3.2 *Data Requirements*

Research objectives	Model Constructs	Sources	Data Requirements
1. To identify the changes taking place in the Records Management Unit	A. Creating a Climate for Change:	Questionnaire Interview Observation	-Types of programs implemented since the establishment of TLB records management unit. -Roles of employees in change initiatives -Drivers of change
2. To establish the expected benefits of re-		Interview Questionnaire Observation	- Expected benefits of the programs implemented

engineering records management programs			-Characteristics of the implemented programs -Knowledge of employees about implemented changes
3. To assess the change management strategies used in the implementation of records management programs	B. Engaging and enabling the whole organization C. Implementing and sustaining change	Document Review Questionnaire Interview	-Current change management framework -Communication and training strategies used -Motivation strategies -Strategies used to re-enforce changes.
4. To determine the attitudes and perspectives of employees towards change (Using Prosci's ADKAR model).	D. ADKAR Awareness, Desire, Knowledge, Ability, Reinforcement	Questionnaire Interview	-Perspectives of employees towards change. Employees' response to change -Was there any resistance, confusion, anxiety and backsliding faced during change implementation? -Effect on service delivery

3.7 Data Collection Procedures

The research was conducted in four phases as shown in Table 3.3. In phase one the researcher established the background of the organization and information on number of employees in the organization. The preliminary visit also allowed the researcher to familiarize herself with the environment. Phase two allowed the researcher to build relationships with employees and create a conducive environment where employees were able to share their thoughts and opinions on records management activities that were taking place. Voluntary work or participatory observation also helped to increase the response rate as the study was conducted at a time when the organization was at its peak in the process of land registration. The third stage involved testing the research instruments and ensuring that errors are minimized in order to obtain reliable data. The last stage (phase four) involved the actual research process where data was collected using questionnaires and interviews.

Table 3.3 *Data Collection Procedure*

Phases	Type of Visit	Research Period	Activity	Reasons
PHASE 1	Preliminary visit	1 week	-Face to face Interviews with the records manager and HR.	-To ask for permission to conduct research -To gather background information on TLB and number of employees at TLB.
PHASE 2	Voluntary work	6 months	-Participatory observation: carried out daily activities of the records management unit. -Reviewing organizational documents	- To find out how records officers interact with the current systems or programs; knowledge of the system, desire and ability to use it, challenges faced when using the system. -Support rendered to records officers when problems arise. -To gather relevant preliminary information from existing documents.
PHASE 3	Pilot study	2 weeks	-Testing the research instruments; mainly the questionnaires at Malete Land Board.	- To determine gaps and errors in the research instruments, especially the questionnaire.
PHASE 4	Main Visit	2 months	-Questionnaire; administered to action officers and records officers. -Focus group Interviews: with the IT officers. -Face to face interviews: with board secretary, records manager and records officers.	-To establish the types of changes taking place in the RMU. -To discover the impact of effective records management on service delivery. -To assess the change management strategies used to implement records management programs. -To establish the type of support and training offered to employees during the implementation. -To determine the attitudes and perspectives of employees towards change.

3.8 Validation of Data Collection Instruments

The researcher ensured that the research instruments were not faulty and produced accurate results that can be reproduced somewhere else. In order to ensure that quality, reliable, accurate and authentic data was collected, the following measures were put in place:

- a. Bracketing: “is a method used in qualitative research to mitigate the potentially deleterious effects of preconceptions that may taint the research process” (Tufford & Newman, 2010, p.80). Bracketing simply refers to preconceptions, assumptions or presuppositions about the phenomenon under study. The researcher suspended all that is known (ideas, beliefs or opinions) about change management practices and kept an open context by setting aside the researchers preconceptions. All preconceptions about change management were written down in the research journal, so as to keep on constant check on issues that may affect the researcher’s action while in the field. This ensured that the researcher is not biased while collecting data and does not influence the participants’ responses in any way.
- b. Adapting research instruments: as noted by Makhumalo (2014), generally researchers determine validity by looking for answers from existing studies. Makhumalo (2014) adopted this technique by redesigning and customizing questionnaires and interviews from a similar study by Ramokate (2010). This method of validating the research instrument is reliable as it involves duplicating what has already been tested and yielded accurate results. So by adopting the research instruments there are higher chances of the research findings being more reliable and accurate. The researcher also adopted the same technique by customizing some questionnaires used by Boikhutso (2013), Morrison (2013) and Hanning (2010).
- c. Pilot study: a pilot study was conducted in order to identify ambiguities or errors in the data collection instruments. All the errors present were then corrected before the final research commenced. The reliability index for the 50 items in the questionnaire was .515 and .622 Cronbach's Alpha based on standardized items.
- d. Proof reading: The supervisor was given the research instruments for proof reading and approval before commencing with the pilot study. This helped the researcher to rephrase some questions which were not clear and to correct some grammatical errors before testing the instruments at Malete Land Board.

3.9 Data Analysis and Presentation Techniques

This study employed a concurrent mixed method approach, in which the researcher mixed quantitative with qualitative methods simultaneously as recommended by Creswell (2009). Various studies in different disciplines have also employed the use of concurrent or integrated mixed methods. Examples include; French, Power, and Mitchell, 2000; Guler (2010); Hill, et al. (2000); Murray, Manktelow, and Clifford (2000) and Packery (2014). In this study, data analysis was done during data collection to avoid data overload. Moreover quantitative was integrated with qualitative data during data representation. As a result of data integration, the findings were analyzed in two phases; quantitative and qualitative:

3.9.1 Quantitative Data Analysis

Quantitative data collected through the use of questionnaires, was analyzed by using a computer program called Statistical Package for Social Sciences (SPSS) version 24, to generate descriptive results. All the questionnaires were coded using numbers for easy identification during the analysis process and to maintain anonymity. During data entry, questions with sub statements were coded using a multi-level numbering technique (e.g. for question 7, statements were coded as follows - 7.1, 7.2). During the process of data presentation, custom tables were then used to recombine questions which were separated during the coding and data entry process. Data was presented through the use of descriptive statistics such as frequencies and percentages. Charts and frequency tables were used to represent the data from SPSS as shown in chapter 4 (see page 67-102). Cross tabulation was also used to represent some of the demographic details. Charts and graphs produced from SPSS were further modified using Microsoft Excel as it has advanced features.

3.9.2 Qualitative Data Analysis

Qualitative data was analysed through the deductive approach. This approach involved the use of themes derived from the combined theoretical framework (Kotter and ADKAR change models). As a way of analysing and identifying themes, Colaizzi's (1978) method of phenomenological analysis, as cited by Wojnar and Swanson (2007, p.176) was used. Table 3.4 summarizes Colaizzi's methodology and outlines the purpose of each step undertaken while analyzing the data. The findings of the study were summarized according to the research objectives presented in chapter 1.

Table 3.4 Summary of Colaizzi's Method of Analysis

Step in Analysis	Purpose
1. Reading and rereading descriptions with original text	To acquire general feeling for experience
2. Extracting significant statements	To generate information pertaining directly to phenomenon studied
3. Formulating meanings	To illuminate meanings hidden in various contexts of the phenomenon
4. Categorizing into clusters of themes and validating	To identify experiences common to all informants
5. Describing	To generate a prototype of a theoretical model
6. Returning to participants	To validate the findings
7. Incorporating any changes based on the informants'	To present theoretical model that comprehensively reflects the feedback universal features of phenomenon

Source: Wojnar and Swanson (2007)

As supported by Saunders, Lewis, and Thornhill (2012) and Saunders, Kitzinger, and Kitzinger, (2015) the researcher used a coding scheme and pseudo names to maintain confidentiality and to preserve the anonymity of the research participants. The following section discusses how these qualitative analysis techniques were used. During data transcription, an alphanumeric coding scheme was used to analyze one on one (personal) interviews. The code was constructed using three aspects; interviewee number, Gender and designation. As shown in Figure 3.1 the interviewee's response was coded as '1MBS', further examples of different codes are shown in Figure 3.2 (Page 63). Though these codes were used for data analysis a different coding scheme for representing personal interview responses was used. This involved the use of alphabets to represent interviewees (i.e. participant A, B, C and D).

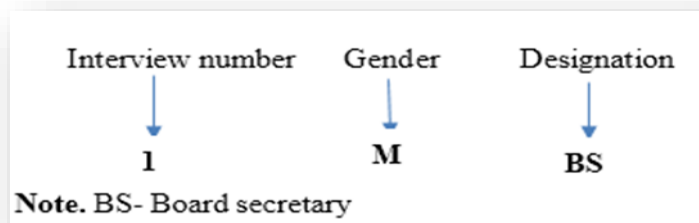


Figure 3.1: Interview coding scheme

Still on qualitative data analysis, pseudo names were further used to code responses from interviewees who participated in the focus group interview. The focus group was made up of

three (3) participants hence their pseudo names were Nancy, Neo and Nanny. A group profile for the focus group interview was created in the research journal so as to capture participants' responses and their characteristics. Interviews were transcribed immediately after each interview using manual transcription methods. Thus a research journal and notebook were used to note all necessary comments about the analysis process and to categorize information. The research notebook was used in such a way that the researcher was able to identify themes, patterns, contradictions and relationships amongst data from different sources and data collection instruments (Table 3.4 –step 4 and 5). Data sampling technique was used for transcribing audio-recording following the process described in Table 3.4 above. The technique involved transcribing sections of each recording that was pertinent to the research, which addresses the themes in alignment with the theoretical framework. As a way of understanding and internalizing recorded data, the audio was listened to at least 3 times so that categories could be established (Table 3.4 - step 1, 2 and 3). During analysis of both the audio-recording and written text, data cleaning was conducted by returning to participants to discuss the transcribed data for verification and validation of findings (Table 3.4 - step 6 and 7). Though data cleaning is very expensive and time consuming, it was necessary as it helped to maintain factual accuracy.

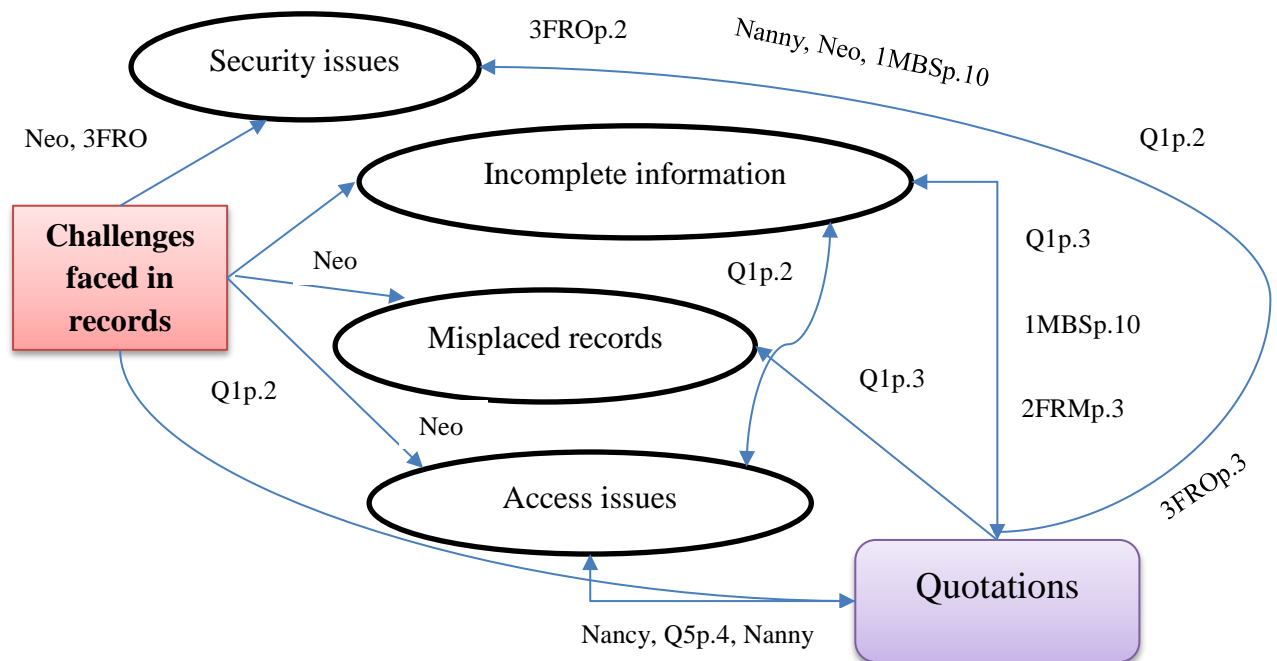


Figure 3.2: Example of a data map on challenges of records management.

Source: Field data (2016)

Note: 'p.' stands for page number in the research journal.

Data maps (Figure 3.2) were developed by the researcher to clearly capture issues addressing the same concept and to show relationships between data collection instruments such as the questionnaire, interview guide, observation notes and documents reviewed. Observation notes and retrieved documents were also coded using themes from the objectives, thus allowing the researcher to link them with appropriate interview quotes and other categories formed. Table 3.5 shows an example of how observation notes, images and documents reviewed were coded and linked to research objectives for better identification during data presentation.

Table 3.5 Coding Scheme for Different Data Collection Tools

Objectives/Theme	Description/Type	Name	Source	Code
OB1 – Types of changes	Image	Filing system (a)	Observation	OB1/Ia
	Image	STARDUST (b)	Observation	OB1/Ib
	Document	Classification Scheme (a)	Document reviews	OB1/Da
OB2 – Expected Benefits	Image	Minutes (a)	Observation	OB2/Ia
	Image	Computer-waiting lists (b)	Observation	OB2/Ib
OB3 – Change management strategies	Document	MLH change framework (a)	Document review	OB3/Da
	Document	RMC-Terms of reference (b)	Document review	OB3/Db
Emerging Issues (EI)	Notes	Benchmarking (a)	Observation	EI/Na
	Image	Certificate of excellence (a)	Observation	EM/Ia

Note. RMC stands for records management committee.

*Alphabets “a, b, c” are used for differentiating between types of tool (e.g. image/documents) within the same category.

* The code is made up based on the acronyms of the *objective* (OB), the *type* of tool (document (D) or image (I)) and sequential alphabets (a, b, c).

Qualitative data was also retrieved from the questionnaire administered to action officers. The questionnaire included a comments section where respondents were expected to elaborate on their choice of answer. As a way of representing respondents' comments or explanations, the questionnaire number was used to maintain anonymity and confidentiality. For example, comments and quotes retrieved from questionnaire number 7 were cited as 'respondent 7' during data presentation. Furthermore, question 'one' in the questionnaire was an open-ended question. The themes were identified for this question and the data was quantified to provide statistical evidence on changes taking place at Tlokweng Land Board (Figure 4.1, page 72).

3.10 Ethical Considerations

The study required participation of employees at Tlokweng Land Board; hence their individual consent were sought. Employees had to sign the consent form in Appendix 4. Permission to conduct research was sought from the following authorities: Ministry of Lands and Housing (Appendix 5), Tlokweng Land Board (Appendix 6) and The Office of Research and Development (ORD) (Appendix 7). Once permission from these authorities was granted, other ethical principles were strictly adhered to in accordance to the University of Botswana (UB) Policy on Research Ethics. Examples of the research ethics in the UB policy include; privacy and confidentiality through retaining participant's anonymity. This was achieved through the use of alphabetical codes and pseudo names to represent participants in the study (see section 3.9). Human rights ethics were also considered as participants were not subjected to any form of discrimination either by gender, religion, age or race. In order to maintain anonymity, respondents' positions and names were not revealed as pseudo names and other coding techniques were used. The interview data from IT section was not coded as it was a focus group interview hence individual identities were not revealed.

Falsifying, misinterpreting, suppressing and fabricating research data was avoided by all means as it is prohibited in research (Gajjar, 2013). Rather the researcher upheld trust, mutual respect, accountability and fairness on the subjects. The findings of this study were presented to the records manager to ensure that no data has been misinterpreted or falsified before the study can be submitted to the supervisor. Furthermore, the researcher ensured that the study does more good than harm to the organization. This was achieved by ensuring that the researcher does not disturb business operations but rather helps the land board with some recordkeeping activities through voluntary work and not doing research on Thursdays (which was deemed as LAPCAS day-where all employees engage in land registration activities), by so doing productivity was

improved. Conducting the study at Tlokweng Land Board helped the organization to utilize the findings as a learning curve in their implementation process; land board personnel are able to change some recordkeeping practices following to the suggestions from the study.

3.11 Dissemination of Findings

After approval of the dissertation, the research findings will be disseminated through submission of copies to the Ministry of Lands and Housing, Tlokweng Land Board, University of Botswana Library and the Botswana National Archives and Records Services. The researcher also intends to publish the findings with relevant journals. Research findings will also be presented through seminars, conferences and workshops.

3.12 Summary

This chapter outlined how the research was conducted at Tlokweng Land Board. The study adopted the pragmatism approach to research and employed mixed methods research design. The study target population included 68 participants. Purposive sampling was used to select the participants of the study. Questionnaires, document reviews, interviews and participatory observation were used as fact finding techniques. Data analysis was carried out through the use of SPSS and Colaizzi's methodology of analysing qualitative data. The researcher also upheld the research ethics as stipulated by the University of Botswana Policy on Research Ethics. The next chapter presents the empirical findings of the study conducted at Tlokweng Land Board.

Chapter 4

DATA PRESENTATION, ANALYSIS AND INTERPRETATION

4.1 Introduction

Previous chapters introduced the background of the study, the literature review and outlined the research methodology. This chapter presents and interprets data collected at Tlokweng Land Board through questionnaires, interviews, participatory observation, and document reviews. The findings are presented in the form of tables, charts, graphs and descriptive narrative with direct quotes from study participants. The main purpose of the study was to explore change management practices in the implementation of records management programs at Tlokweng Land Board (TLB). The study sought to explore the benefits of adopting change management strategies in the implementation of records management programs. This study adopted Prosci's ADKAR and Kotter's change model as the basis for research. The study sought to answer the following questions:

1. What are the changes taking place in the records management environment at Tlokweng Land Board?
2. What are the expected benefits of the records management programs implemented at TLB?
3. What are the change management strategies used in the implementation of records management programs?
4. What are the employee's perspective towards change?

This chapter is organized according to the study objectives. Quantitative data is presented alongside with qualitative data from the interviews. Qualitative data was categorized according to themes in the research framework. In order to maintain anonymity, each interview guide was coded using Alphabets (i.e. Participant A, B, C, D) and focus group interviewees are represented using pseudo names (Nanny, Nancy, and Neo). While qualitative data from the questionnaire is presented using the questionnaire number (e.g. respondent 13)

4.2 Response Rate

This study adopted a purposive sampling strategy hence only 55 questionnaires were distributed. In this study questionnaires were hand-delivered to 55 action officers and 46 were successfully completed and returned. This represented a return rate of 84%. The researcher intended to collect qualitative data from eight interviewees; five face to face interviews and

three employees within the focus group. Only four personal interviews were conducted, hence the response rate was 88%.

4.3 Demographics

The questionnaires made provision for participants to state their demographic information. Demographic information is very crucial as it describes the participants of the study to the reader. According to Hammer (2011) demographic details allow readers and researchers to determine to whom research findings generalize and allows for comparisons to be made across replications of studies. The demographics information included: department, gender, designation, qualification and years of service.

4.3.1 Departmental Affiliation of Respondents

As shown in Table 4.1 15 (34%) respondents were from the Records management unit (RMU), followed by the finance, Human resources, recording and surveys departments with 4 (9%) respondents each. The land registration department also followed with 3 (7%) respondents, while buildings and legal services were represented by 2 (5%) respondents each. The rest of the departments are represented by only 1 (2%) respondent each.

Table 4.1 *Departmental Affiliation of Respondents (N=44)*

Departments	Frequency	(%)
Buildings	2	5
Customer Service	1	2
Finance	4	9
General Admin	1	2
Human Resources	4	9
Information Technology	1	2
Internal Audit	1	2
Land Registration	3	7
Legal Services	2	5
Public Relations	1	2
Recording	4	9
Records Management Unit	15	34
Secretariat	1	2
Surveys	4	9
Total Response	44	100
Missing values	2	4
Total	46	

Source: Field data (2016)

4.1.1 Gender and Designation of Respondents

The survey shows that 20 (57%) respondents were females while males were only 15 (43%). Table 4.2 reveals that 13 (37%) respondents were records officers while there were 3 (8.6%) respondents in each of the following designations - accountants, board clerks, land registration officers and land surveyors respectively. There were also 2 (5.7%) human resource officers and two technical officers, while there was only 1 (2.9%) participant each, in the rest of the designations. Eleven respondents (n=11, 24%) did not mention their designation. These findings indicate that TLB is dominated by female employees across various designations.

Table 4.2 *Designation and Gender of Respondents*

Designation	Gender					
	Male		Female		Total	
	Frequency	Percentage (%)	Frequency	Percentage (%)	Frequency	Percentage (%)
Accountant	1	3	2	6	3	9
Adjudication Officer	0	0	1	3	1	3
Board Clerk	0	0	3	9	3	9
Customer service Officer	0	0	1	3	1	3
Human Resource Officer	2	6	0	0	2	6
Land Registration Officer	3	9	0	0	3	9
Land Surveyor	3	9	0	0	3	9
Personal assistance	0	0	1	3	1	3
Principal Admin Officer	0	0	1	3	1	3
Principal Internal Auditor	1	3	0	0	1	3
Public Relations Officer	1	3	0	0	1	3
Records Officer	2	6	11	31	13	37
Technical Officer	2	6	0	0	2	6
Total	15	43	20	57	35	100

Source: Field data (2016)

4.3.2 Qualification and Years of Service

Qualifications of respondents ranged from school leaving certificates to postgraduate degrees. Of the 46 respondents, 28 (61%) respondents had a bachelor’s degree, 11 (28%) had a diploma, 3 (7%) had certificates while only 2 (4%) respondents hold a postgraduate qualification. However, most of the respondents working in the records management unit, held non-records management degrees. The findings show that 28 (65%) respondents have served at TLB for less than 4 years while 11 (26%) of the respondents have served between 5-10 years. Lastly, 4 (9%) respondents have served at TLB for more than 10 years. Only 3 (7%) respondents did not mention their years of service.

Table 4.3 *Qualification and Years of Service (N=43)*

	Years of Service											
	Below 2yrs		2-4yrs		5-7yrs		8-10yrs		Above 10yrs		Total	
	F	(%)	F	(%)	F	(%)	F	(%)	F	(%)	F	(%)
Postgraduate	0	0	0	0	1	2	0	0	0	0	1	2
Degree	11	26	9	21	4	9	3	7	1	2	28	65
Diploma	3	7	2	5	2	5	1	2	3	7	11	26
Certificate	0	0	3	7	0	0	0	0	0	0	3	7
Total	14	33	14	33	7	16	4	9	4	9	43	100

Note. F = Frequency, % = Percentage.

Source: Field data (2016)

Table 4.3 above shows the correlation between the participants’ years of service at TLB and the qualification they hold. For example, within the category of ‘above 10 years’, there are no employees with a postgraduate degree or school leaving certificate. Rather there were 3 (7%) diploma holders and just 1 (2) degree holder. These findings raises some questions concerning training and self-advancement opportunities at TLB.

There were 6 (86%) participants (interviewees) from the records management unit and 1 (14%) from the administration sector. In regard to the gender of interviewee participants, there were 6 (86%) females and 1 (14%) male participant. Furthermore, participants’ designations were distributed as follows; IT officers (n=3, 43%), records officers (n=3, 43%) and the board secretary (n=1, 14%). In regard to qualifications of the participants, 2 (29%) hold a postgraduate degree, 4 (57%) hold a bachelor’s degree while only 1 (14%) holds a diploma. Interviewees were also asked to state the number of years in service and the results are as

follows; only 1(14%) participant served at TLB for less than two years, those within the 2-4 years category were 2 (29%) and the rest, that is 4 (57%) were within the 5-7 years category.

4.4 Empirical Findings

The findings in this section are grouped according to the following themes: types of changes taking place, expected benefits of new programs, change management strategies, and attitude of employees towards change. The main aim was to find out if employees at Tlokweng Land Board (TLB) were aware of the changes that take place in the Records Management Unit (RMU) and how managers ensures that changes are implemented successfully.

4.4.1 Types of Changes at TLB

The RMU for a land board is like the engine and the brain of the organization, hence its activities must be of paramount importance to all staff in the land board. It is therefore critical that employees are well versed with new programs being implemented in the RMU.

Objective 1: To identify the changes taking place in the Records Management Unit

The first objective sought to establish the changes taking place in the RMU. The main purpose of this objective was to enable the researcher to identify the changes taking place in order to effectively evaluate the effectiveness of change management strategies used at Tlokweng Land Board. Respondents were given an open ended question requesting them to list any of the changes taking place in the RMU. Responses were then grouped into themes and quantified as shown in Figure 4.1.

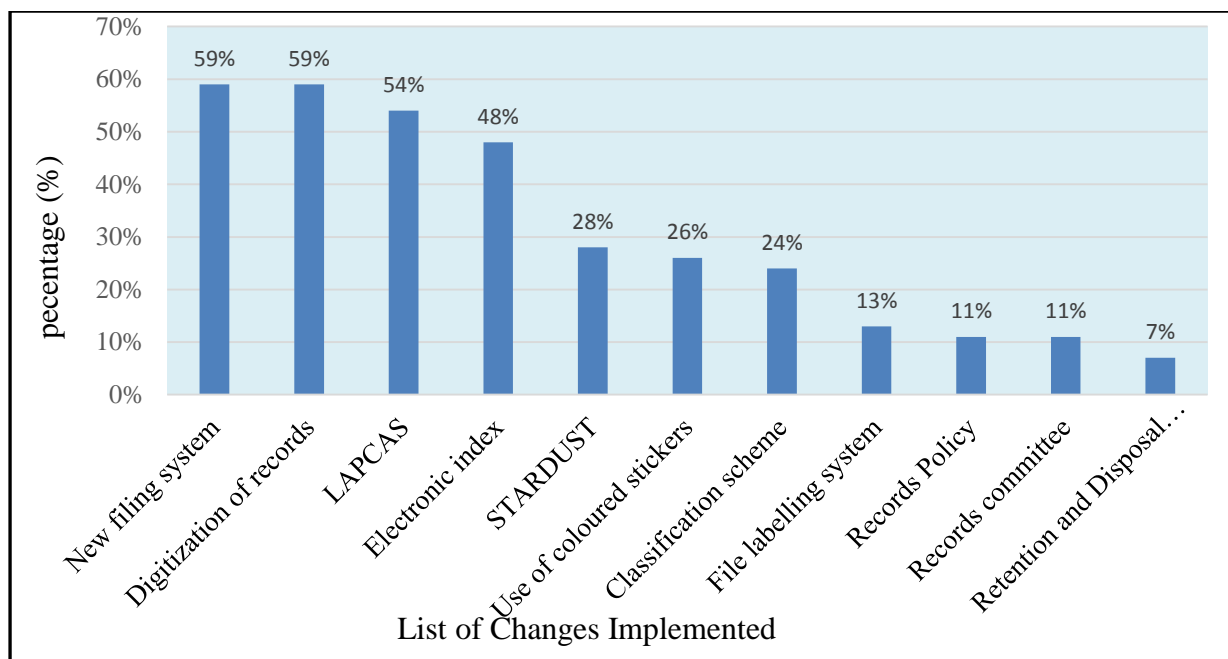


Figure 4.1. Changes implemented at Tlokweng Land Board (RMU).

Source: Field data (2016)

As can be seen from Figure 4.1, there are indeed a number of changes taking place at Tlokweng Land Board. Respondents outlined the following records management programs as changes taking place in the RMU: new filing system (n=27, 59%), digitization of records (n=27, 59%) and LAPCAS project (n=25, 54%). Only 22 (48%) respondents mentioned an electronic index, followed by STARDUST with 13 (28%), use of colored stickers (n=12, 26%), classification scheme (n=11, 24%), file labelling system (n=6, 13%), records policy (n=5, 11%), records committee (n=5, 11%) and retention and disposal schedules with three (7%) respondents.

Follow up interviews were conducted to solicit more information on changes taking place. The interviews were also meant to elaborate on what the changes entail and what they were meant to achieve. Findings from the interviews also support the results in Figure 4.1. According to participant B;

“most of these changes, for example; classification scheme, retention and disposal schedule, records committee, records policy, electronic index started taking place . . . around 2009”

Participant A, also revealed that, the new filing system consists of colored files, use of plot numbers, use of thermal labelling machines and use of colored stickers. Interviewees concurred that the new filing system is much more efficient as it categorizes types of plots according to

their usage, thus each category was given a color to represent it. For example, as noted during observation in the file cabinet (file storage room), files were categorized using the following colors; **green files**- ploughing fields, **pink**- appeals, **white**-commercial plots, **yellow**- residential customary plots, **orange** – dwelling huts, **red** – water rights, **brown**- civic and community, **gold** – industrial plots, **dark blue**- kraals, and **sky blue** – common law residential (Figure 4.2). As per the interviewees in the focus group they were not very much aware of what the different colors represent apart from the administrative files they use every day.



Figure 4.2: Photos of files in the storage cabinet at Tlokweng Land Board.
Source: Field data (2016)

Participant A and C further expounded that;

“The new filing system uses plot numbers for identification and storage rather than the name of the owner. The usage of plot numbers makes it easy to follow up the ownership history of the same plot as all details are kept in one file”. And “the new filing system entails using a new labeling method. We are now using machines and thermal labeling tape which is more durable than markers”.

This new filing system has improved the land registration process as it makes use of colored stickers to indicate that a certain stage has been completed. Supporting this finding, participant D elaborated that;

*“We have about six colors representing different stages; **white** - capturing records into STADUST, **orange**- verification stage (using certificate or national identity card), **blue** - sketch plan production, **red** - quality assurance, **green** – adjudication and **pink** –*

board resolution. These colored stickers make the LAPCAS project much easier to complete, as action officers are able to tell at which stage a certain file is and where action is needed”.

Commenting on digitization of records, interviewees mentioned that it entails referencing and scanning records into electronic files. After which the scanned documents are put in a shared folder/network for all action officers to access. Participant D added that;

“We have a computer application called “10 days” where all received mail is entered into the system identifying the officer who needs to take action on the filed records and the reference number is also provided to allow easy access to the relevant file. We also have an electronic index used to capture all land records according to the new classification scheme and used for retrieval purposes. The electronic index can be searched using different attributes such as; the name of the plot owner, file number or the national identity number.”

Follow up interviews and documents reviewed at TLB indicate that LAPCAS is a partner driven project between Botswana and Sweden (Lantmäteriet, 2011). It consists of seven sub projects namely; development of national standards for unique identifiers of land parcels and location addresses, improvement of land administration processes, computerization of the Deeds Register, systematic adjudication and registration of tribal (customary) land, improvement of IT operations and maintenance, facilitated exchange and dissemination of information, and building of capacity (Land & Malatsi, 2014). The publication also revealed that the objective of the LAPCAS project is successful social and economic development of the nation based on efficient, effective and transparent land administration. Participant D further explained that,

“The main task at hand is for action officers to ensure smooth registration of all land parcels. The registration process requires clients to bring their customary land rights certificates and identity cards. This process will help us to have integrated information on who owns what and where. The LAPCAS project will also facilitate access of land records information from all parts of the country-thereby improving productivity and customer service”

Appendix 8 shows the type of information required for clients to register their plot(s). Nanny elaborated that, this form is filled by clients in order to complete the land registration process that is meant to generate necessary information for the LAPCAS project.

Interview participants also made comments pertaining to an electronic tool called STARDUST. It was revealed that STARDUST was implemented to help with the capturing of land records. This tool has a list of all plot owners and allows records to be searched using access points such as the plot number and the national identity number (Figure 4.3). Neo further explained that;

“STARDUST was developed by one of the IT employees in Mochudi Sub-Land Board. It is now being used for capturing data needed for the LAPCAS land registration process and it is hosted by Mogoditshane Land Board”

Figure 4.3: STARDUST screen shot.
Source: Field data (2016)

Data collected through interviews and document reviews further revealed that TLB classification scheme contains alpha-numeric descriptive information for categorizing files based on the functions (records groups), and activities (records series) performed by the Land Board. Each series has a list of possible files under it.” An example of the classification scheme is shown in Table 4.4. Participant C explained that:

“We use this classification scheme to reference all records and put them in relevant files. This system facilitates with the storage of records as files are arranged systematically according to their file numbers. The system also allows easy access to files.”

Table 4.4: *Example of a Functional Classification Scheme used at TLB*

Record Group	Record series	File Name and Reference No.
1 Administration	1/1 Associations, Committees, Commissions, Unions And Societies	TLB1/1/1 - Records Management Committee
2 Estate Management and Property Management	2/1 Accommodation	TLB 2/1/3 - Office Requisitions and Rentals
3 Finance	3/3 Budget and Estimates	TLB 3/3/2 - Supplementary and Virements
4 Human Resource	4/5 Training and Development	TLB 4/5/2 - Land Board Members Training
5 Supply	5/1 Legislation Policies and Procedures	TLB5/1/1 Supplies Regulations
6 Land Management	Classification scheme attached in appendix 7- with full records series.	

Source: Tlokweng Land Board Classification scheme (2011)

Follow up interviews and document reviews at TLB revealed that the records management policy is a guiding document aimed at providing a framework for implementing records management programs at the land board and ensuring that records are created, captured, maintained, stored and made accessible in accordance with legislative requirements. Participant B elaborated that:

“The records management policy also defines the records management terminology, records management areas, and outlines the key roles and responsibilities of stakeholders involved in the creation and management of records. It also lists the laws to be used when officers breach the records management policy”

It was also noted by Participant A that TLB has an active records management committee which consists of one representative from all units, board secretary, records manager and

systems analysts. As stipulated in the Records management committee- terms of reference document (Tlokweng Land Board, 2013); the mandate of the committee is to:

1. Assist the records management office in the implementation of policies and procedures governing the records management program;
2. Review the performance of the program on a regular basis and propose changes and improvements if needed;
3. Review and approve records control schedules submitted by the records management officer;
4. Give final approval to the destruction of records in accordance with approved records control schedules; and
5. Actively support and promote the records management program throughout the Land Board

The records management committee is currently known as the ‘Information management committee’. The purpose of the new name was to enable the inclusion of the IT department that plays an important role in the implementation of records management systems. The committee is said to meet quarterly unless if there are urgent matters to attend to.

From the interviews, it was also noted that the purpose of the retention and disposal schedules is to guide the land board on which records to retain, which records to transfer to BNARS, what records to dispose of and how to dispose them. Participant A affirmed that;

“The retention and disposal schedule allows us to keep records which adds value to the organization and supports its administrative functions. By so doing, space is saved as unusable records are moved out of the storage room”

The findings on change initiatives at TLB, indicate that there are several activities taking place at TLB records management unit. It is evident that most of these projects are recent (for example, the classification scheme, retention and disposal schedule, records committee, records policy and the electronic index). From the interview data, it could also be deduced that some of these changes (for example, digitization project and STARDUST) are meant to support the major records management programs such as the LAPCAS project. Though respondents mentioned classification scheme, file labelling system and use of colored stickers as individual activities, it is notable from the interview that these two changes are part of the new filing system.

4.4.1.1 Drivers for Change

Organizations are prompted to implement changes when business processes are not effective or when there is a need to maximize resources and increase productivity. Thus, participants were asked to state what influenced the implementation of the records management programs. The main purpose of this question was to ascertain the motivation behind the implementation of these new changes. The findings revealed that changes were implemented to deal with certain challenges and achieve certain goals. The main factors that fueled changes to be implemented at Tlokweng Land Board were security issues and incomplete records.

a. Security and access issues

Findings revealed that employees had unauthorized access to records. Participant B lamented that “numerous records went missing due to the fact that access to records was not regulated”. As a result, the new storage room with enhanced security features was established. Through observation, the researcher found out that the new storage room has an air conditioning system (to protect records from damage), movable shelves and access is restricted as the door requires a pin code to open (Figure 4.4). Due to lack of security of records, some files lacked necessary documents because action officers had unregulated access to records. “It was very difficult to track files and very easy to misplace important files because everyone had access and control over records was limited” noted one of the respondents.



Figure 4.4. Digital lock for the storage room.

Source: Field data (2016)

As a result of improper security measures, there was high incidences of misplaced files and missing records. Interviewees shared the same sentiments that it was very difficult to access the necessary information on time. Another respondent (from questionnaire 17) lamented that “at times we would lose court cases as we had no records to prove our case”. In addition, interview data revealed that records at Tlokweng Land Board were not well classified, hence there was a need to formulate a new classification scheme that will allow systematic arrangement of records and enhance easy access.

The study results also indicated that a records management policy was implemented in 2015. Its sole purpose was to provide guidelines and procedures for good recordkeeping practices. The records committee was also set up to ensure that policies and procedures are adhered to. Furthermore, in order to comply with the new records management policy and procedures, the digitization project (computerization of records and its processes) had to be implemented so as to allow all officers to receive timely alerts and take appropriate action within the stipulated time frame. Findings revealed that difficulty in accessing relevant records leads to delayed service provision and low productivity as records officers have to spend more time looking for records.

b. Incomplete and unintegrated Records

From the study findings, it was indicated that files held incomplete information and posed challenges when records were needed to conduct daily business activities. Participant A expounded that;

“Information was scattered and it was very difficult to identify the ownership history of a single plot, especially in cases of plot transfers. It is also very difficult to help clients from other parts of Botswana as our records are not integrated.”

Participant D added that “unregistered, unclaimed, undeveloped and squatters made the process of land allocation very difficult” due to the fact that there were no records to prove their claims. Another issue raised during the interviews was difficulty in dealing with plots that were allocated by chiefs (**Dikgosi**) until 1970. Plots allocated by chiefs were not documented hence some individuals made false claims about land that belonged to other citizens. This resulted in double allocations and duplication of files. In addition, participant C expounded that “numerous plots did not have plot numbers, hence it was difficult to have an inventory of

allocated land and available land”. LAPCAS was therefore implemented as a way of resolving the problems associated with double allocation.

Interviewees further elaborated that due to several challenges faced by various land boards, the Ministry of Lands and Housing partnered with the Lantmäteriet, the Swedish Mapping, Cadaster and Land Registration Authority to improve and foster transparent land administration in Botswana. Participant B, for example, stated that “the LAPCAS project was meant to alienate current records management problems and comply with the ISO standard of recordkeeping practices”. In addition, participant D further enlightened that,

“The LAPCAS project is the most recent and ongoing project commonly known by most action officers. It is of paramount importance to the re-engineering of records management practices in all land boards in Botswana. This project started around 2009 in TLB and it came as a directive from the ministry without considering the new classification scheme which we had just put in place. Upon completion of this project we will be able to access land records from other parts of Botswana and this will improve customer service.”

4.4.2 Expected Benefits of the New Programs

Objective 2: To establish the expected benefits of re-engineering records management programs

The researcher’s intentions were to find out the expected benefits of the new programs at TLB. The main aim was to find out how effective the new programs are. Respondents were asked to identify the characteristics of the new records management programs. To answer this question, respondents were given a questionnaire with a Likert scale (from strongly agree to strongly disagree), showing a list of characteristics associated with the new programs. The respondents were also given a comments section to add any other information pertaining to the characteristics of the new records management programs. The characteristics aspect of the programs, was used in this question as it represents the benefits posed by the new records management programs.

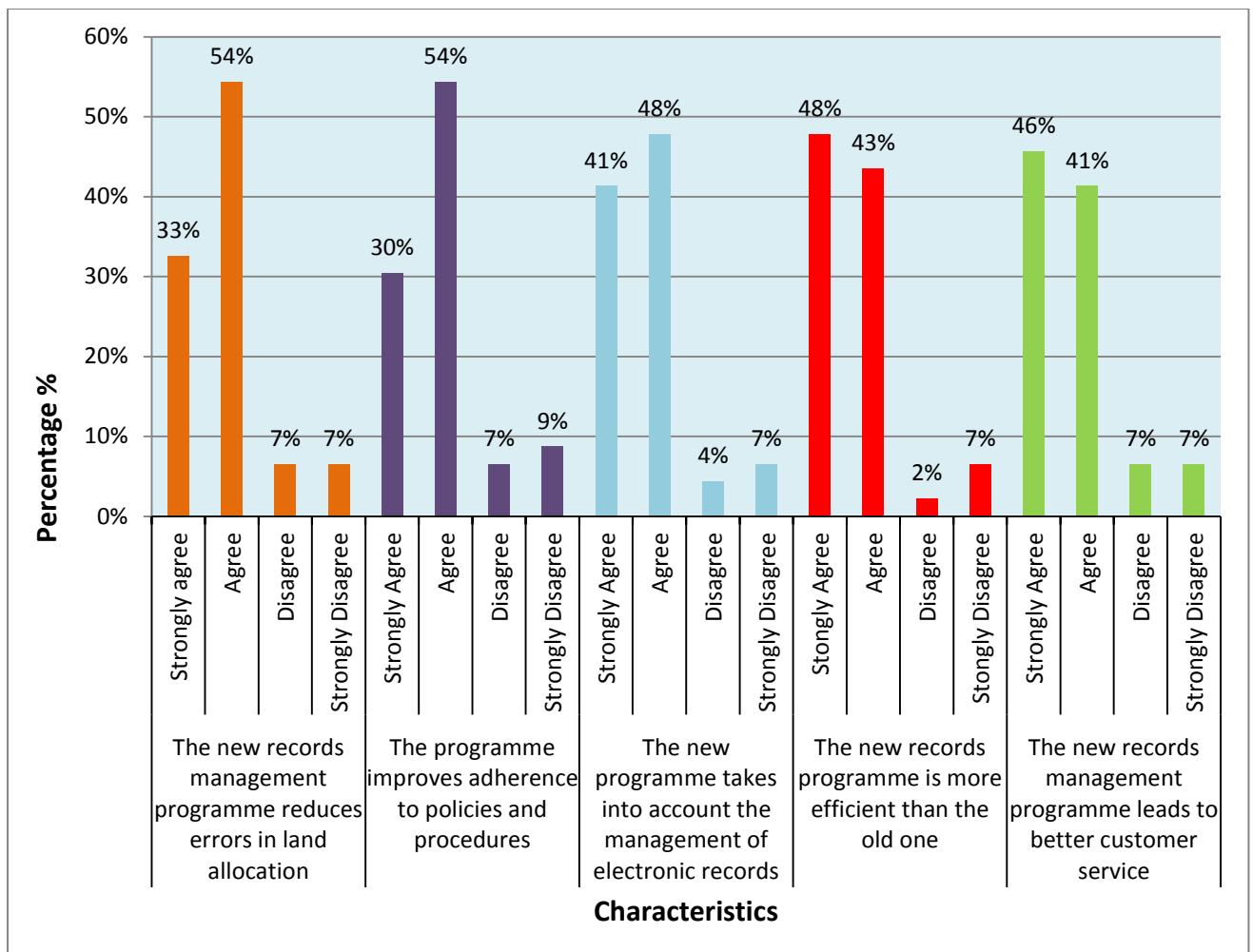


Figure 4.5. Characteristics of the new records management program.

Source: Field data (2016)

As shown in Figure 4.5, the first statement was about whether the new records management program reduces errors in land allocation. Forty (87%) respondents agreed that the new programs reduce errors in land allocation. This is supported by comments from respondents 11 and 21 who stated that,

“The usage of machine/computers brings accuracy” and “the electronic system makes land information easily accessible hence errors are reduced during land allocation and when formulating the waiting list”.

In addition, other respondents noted that the process of aligning land records with existing land parcels is ongoing without too many errors hindering the success of the project. Furthermore, participants also explained that; STARDUST and the LAPCAS project reduces errors such as double allocations because the system shows who owns what and where.

On the other hand, only 6 (14%) respondents disagreed with the statement that the new programs reduce errors in land allocation. For example, respondents 12, 15 and 40 stated that

“some files have been missing for a long time and others disappeared without a trace”, “errors in allocation of plot numbers and duplication of files is still a problem” and “errors are not necessarily reduced as there are old land allocation cases which are yet to be solved, hence until these files are cleared then double allocations and duplication of files will reduce”.

Though 6 (14%) respondents lamented that errors in double land allocations is still an existing problem, study results show that most (n=40, 87%) of the respondents do agree that the new records management program reduces errors in land allocation.

On the statement that read ‘new programs improve adherence to policies and procedures’ it was revealed that most of the respondents (n=39, 84%) agree with this statement. Furthermore, respondents 25 and 12 aver that,

“The new programs being implemented conform to the international recordkeeping standards” and “the records management system adheres to good and quality records management standards, hence enabling employees to adhere to set policies and procedures”

Respondents’ additional comments also stressed the fact that the RMU staff have become more professional with records keeping practices such that “conformity to set policies and procedures is ensured”, said respondent 24. Lastly, only 7 (16%) respondents disagreed that the new programs improve adherence to policies and procedures.

Respondents were further required to indicate whether the new program takes into account the management of electronic records or not. Forty one (89%) respondents agreed that the new programs take into account the management of electronic records. Respondents 13 and 29 revealed that,

“Records are being captured on STARDUST, which is an electronic tool”, “all records are currently being computerized” and “electronic records make it easy to retrieve files”.

Few (n=5, 11%) respondents disagreed that the new programs take into account the management of electronic records. From Figure 4.1, results indicate that 48% of the

respondents mentioned the existence of the electronic index, 54% mentioned the LAPCAS project while 59% mentioned digitization of records. These findings indeed show that the new programs take into account the management of electronic records.

The majority of the respondents (n=42, 91%) shared the same sentiments on a statement that required them to indicate whether the new records program is more efficient than the old one (Figure 4.5). From the comments section in the questionnaire, respondents 41 and 11 mentioned that;

“Online storage saves space and allows for easy access to records” and “the new program have fewer errors and oversights hence they are more efficient”.

Four (9%) respondents disagreed that the new records program is more efficient than the old one. Findings from the interview also indicated that Tlokweg Land Board has been able to solve court cases due to newly implemented records management programs. According to one of the interviewees, clients made false claims because they knew there were no documented minutes or records to prove them right or wrong, hence the land board faced difficulties in solving such cases. Further explanation from participant C, stated that;

“Fortunately after the implementation of the new classification scheme, STARDUST, filing system and LAPCAS project, it was much easier to access records and avoid double allocations”.

Lastly, respondents were asked to indicate their level of agreement on whether the new records management program leads to better customer service or not. In response, 40 (87%) respondents concur that customer service is improved. Furthermore, respondents 15 and 34 also revealed that,

“Instead of running up and down looking for a file, one is able to search for a computerized file in less than five minutes” and “ever since records have been easily accessible, customers are happy as there is timely service provision”.

On the other hand, 6 (14%) participants do not agree that customer service is improved. Respondents added some comments noting that; it is only when the new and the old (manual) system have been merged or integrated that service delivery can improve. Respondent 18 noted that,

“Only if the new programs were implemented properly, then they will reduce turnaround time”.

Follow up interviews also confirmed that customer service improved due to these new changes taking place in the records management unit. One of the interviewees noted that re-engineering records management processes was aimed at improving service delivery to internal staff and the community at large. Interview responses revealed that new records management programs were implemented in order to achieve the following; integrate all land records in Botswana, have a documented land directory, ease of access and tracking of records, improve service delivery and improve security. Participant C elaborated that;

“Having statistics on available plots makes the process of land allocation much easier. Also the waiting list is made based on the documented land directory”.

Another interviewee lamented that it was not easy to follow-up on board action sheets; but with the new program in place it is much faster to access board resolutions. As shown in Figure 4.6, during the researcher’s participatory observation period; it was discovered that minutes are now easy to retrieve. This is due to the fact that minutes are no longer filed as single sheets but rather they are printed annually in a book format which has enhanced access and retrieval to board resolutions. In this manner, customers’ queries are easily attended to, within a short period of time.



Figure 4.6. Tlokweng Land Board minutes.
Source: Field data (2016)

Interview data also revealed that change management practices in the implementation of new programs, can enhance customer service delivery. This is evident as Tlokweng Land Board put some mitigation measures in place as changes took place. Participant A further explained that,

“Some time last year, citizens were encouraged to send applications through postal services, this increased productivity, reduced frustrations, commotion, vandalism and service delays as clients queue for help”.

Interviewees also concurred that good information flow (i.e. adequate communication) enables officials to be well prepared for any challenges. It was further noted by participant D that;

“Inability to manage change during the implementation of records management programs can affect service delivery. Change is a roadmap to what you are going to do”.

The researcher also observed that due to the new filing system, the use of movable file cabinets and separation of files using different colors (Figure 4.2), service delivery has drastically improved at Tlokweng Land Board as it is now easy to locate client’s files in a short period of time. Findings also revealed that digitization of records has improved service delivery. This is supported by participant B who stated that;

“Digitization and use of electronic systems are some of the changes taking place in the RMU. For example; we now have the waiting list in electronic form”.

This was confirmed through participatory observation as the researcher noticed that clients use their national ID to check if they have been put on the waiting list. Customers at TLB are able to access the waiting list on a computer at the reception (Figure 4.7). This has helped clients to avoid delays from records and action officers. These study findings indicate that the new records management programs has indeed improved customer service delivery.



Figure 4.7. Client searching the waiting list at TLB.
Source: Field data (2017)

4.4.3 Change Management Strategies

Objective 3: To assess the change management strategies used in the implementation of records management programs

Through objective number three, the researcher intended to find out the change management strategies employed by TLB. The success of the programs implemented may be influenced by the way in which changes were introduced and managed at TLB. Respondents were thus asked questions pertaining to change management strategies in order to find out how management implemented the changes introduced at the land board. Questions in this section were asked based on Kotter’s change management theory. The following constructs of the model were adopted: *creating a climate for change* (sense of urgency and vision, change management team), *engaging and enabling the whole organization* (communication, empowerment and short term wins) and *implementing and sustaining the change*.

4.4.3.1 Creating a Climate for Change

Eight close-ended questions were asked in this section. Respondents were given statements which they had to choose either ‘yes’ (if they agree) or ‘no’ (if they do not agree). These set of questions were meant to find out if management prepares employees for new projects and creates an environment that allowed change to take place. This section will look at, sense of agency and change management team as vehicles for creating a climate for change.

A. Sense of urgency and vision

Table 4.5 *Establishing a sense of Urgency (N=46)*

Question	No		Yes		Total	
	Frequency (%)	Frequency (%)	Frequency (%)	Frequency (%)	Frequency (%)	Frequency (%)
Are you always aware of the changes taking place in the records management unit?	16	35	30	65	46	100
Did management explain the need to change into the new records management programme?	9	20	37	80	46	100
Do you understand the objectives, goals and vision of the records management programme?	11	24	35	76	46	100
Do you understand the impact of change on the way you carry out your daily duties?	7	15	39	85	46	100
When change in the records management unit was taking place, I had the desire to participate in the project implementation?	12	26	34	74	46	100

Source: Field data (2016)

Respondents were asked if they were always aware of the changes taking place in the records management unit. Findings, as shown in Table 4.5, indicate that the rate of awareness at Tlokweng Land Board is fairly reasonable. Thirty (65%) of the respondents agreed that they are always aware of the changes taking place in the records management unit while only 16 (35%) stated that they are not always aware of the changes taking place. Another question requested participants to state whether the management explained the need to change into the new records management program. Study findings depict that employees had knowledge of why there is a need to change to new records management practices. This is so because 80% (n=37) of the respondents agree that management had explained the need to change while only 20% (n=9) disagree.

The next question asked if respondents understood the objectives, goals and vision of the records management program. Findings in Table 4.5 reveal that the majority (n=35, 76%) of the respondents understood the objectives, goals and vision of the new records management programs. On the other hand, only 11 (24%) of the respondents indicated that they were not aware of the objectives, goals and vision of the new records management projects. On the question that read “Do you understand the impact of change on the way you carry out your daily duties?” Thirty nine (85%) of the respondents revealed that they understood the impact

of change on their daily duties while 7 (15%) did not understand how change will impact their jobs. The last question on this section aimed at determining if the respondents had the desire to participate in the project implementation. They were given a statement that read “When change in the records management unit was taking place, I had the desire to participate in the project implementation”. Research findings show that 34 (74%) of the respondents had the desire to participate in the change projects while 12 (26%) had no desire to take part in the new records management activities. These findings imply that TLB management did establish a sense of urgency among employees when implementing changes.

B. Change management team

Table 4.6 Respondents’ View on the Change Management Team

Question	No		Yes		Total	
	Frequency	(%)	Frequency	(%)	Frequency	(%)
Is there a change management team in your organization?	6	13	39	85	45	100
Do you think the change leadership team is committed to the success of the records management programme?	12	26	33	72	45	100
Do you think that your leadership team has the right people involved to make changes in the RMU successful?	13	28	33	72	46	100

Source: Field data (2016)

The questions in this section aimed at revealing whether Tlokweng Land Board had the right change management team in place. This is so because, change can be successful when the right people are leading the change activity. Three close ended questions were given to respondents and only one respondent did not indicate their response to the first two statements (Table 4.6). Most (n=39, 85%) of the respondents indicated that there is a change management team at Tlokweng Land Board. When asked whether the change leadership team is committed to the success of the records management program, 33 (72%) of the respondents agreed that the team is committed. Lastly 33 (72%) respondents also indicated that the change leadership team has the right people involved to make changes in the RMU.

4.4.3.2 Engaging and Enabling the Whole Organization

During implementation of changes, the management is supposed to ensure continuous communication of the vision and empower action towards change. It was for this reason that the researcher intended to find out what communication strategies were used by TLB

management to ensure smooth transition of change. Respondents were asked questions relating to communication, empowerment and short term wins.

A. Communication

The aim was to find out what was communicated to the employees, how it was communicated, frequency of communication and how effective was the communication.

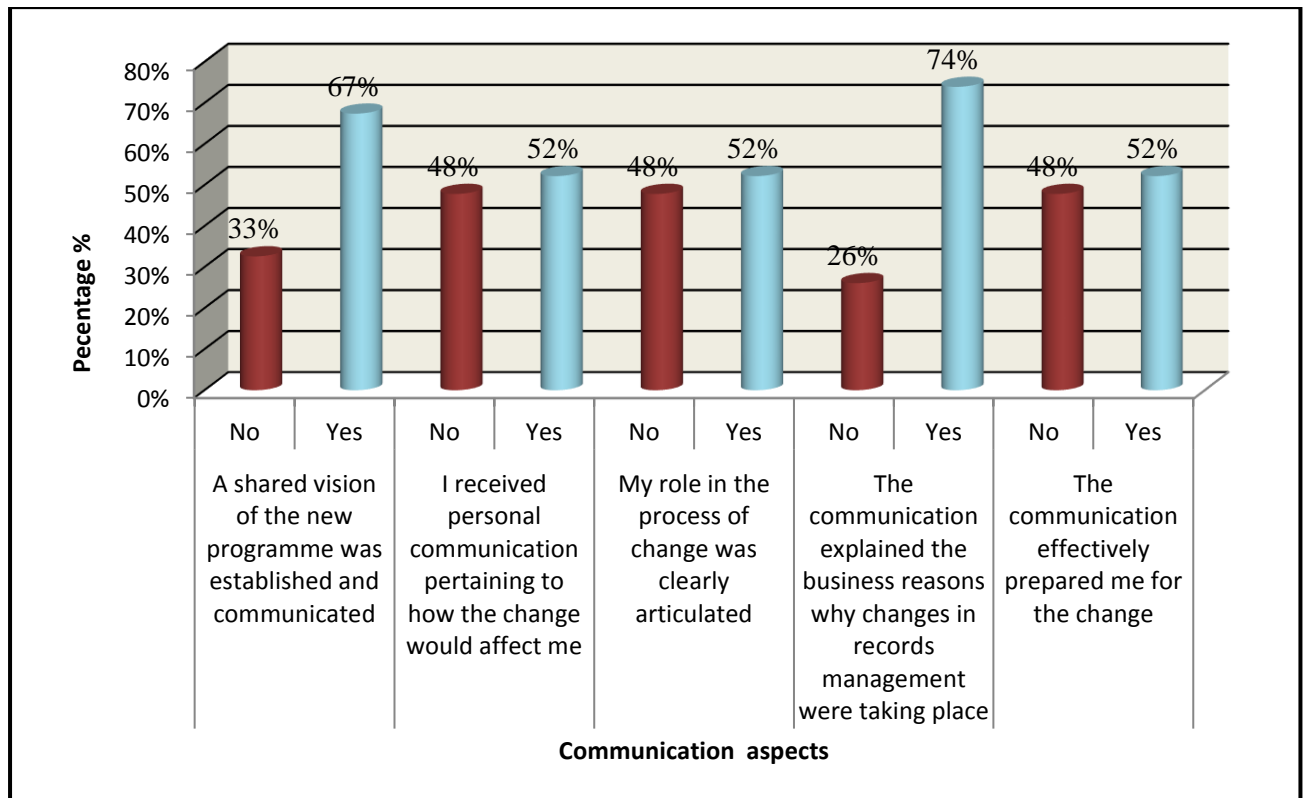


Figure 4.8. Communication to employees.

Source: Field data (2016)

Figure 4.8, shows that (n=31, 67%) of the respondents revealed that a shared vision of the new program was established and communicated. Respondents’ comments stated that communication was done during the general staff meeting on Thursdays and the vision was also shared through staff email. The second statement inquired if participants received personal communication pertaining to how the change will affect them. Study findings show that 24 (52%) of the participants received personal communication on how the change would affect them. One of the respondents stated that “the officer responsible invited me to the office and briefed me about the changes that were going to take place”. On the other hand 22 (48%) respondents indicated that they did not receive personal communication about the changes taking place. The comments section reveals that the majority of the participants were in

agreement that communication was done through general meetings and employees were addressed as a team.

Respondents were further asked if their roles were clearly articulated when changes took place. It is very important for employees to understand their roles during change implementation as this will reduce confusion and help them feel that they are part of the project. Research findings indicate that 24 (52%) respondents had their role clearly articulated hence they knew what to do during the process of change. Respondent 7 supported this finding by stating that “I was invited to the change management meeting and assigned roles and responsibilities for the project”. Only 22 (48%) respondents indicated that their roles were not communicated. Interviews were also conducted to determine the roles of the management personnel in change projects. The roles of the participants were important to this study as it enabled the researcher to assess how implemented changes affect employees’ daily tasks. In addition, the researcher wanted to establish whether employees needed to possess certain skills and abilities to complete their duties. Participants were then asked to state their roles in the projects implemented (Table 4.7).

Table 4.7 Interviewees Roles in the Implementation of Records Management Programs

Roles	Responsibilities
Change work stream lead and records committee member	Acts as the change champion. As part of the records committee team, takes important decisions regarding changes in the RMU. Also partakes in hands-on activities such as sorting of files needed for capturing. Also verifies the authenticity, accuracy and integrity of records captured.
Motivator and overseer	Motivates employees to be engaged in change activities and oversees the progress of all projects being implemented. Receives directives from the Ministry and ensures that changes are implemented accordingly.
File manager and protector	Ensures that records are not mixed and misplaced. Responsible for ensuring that records are well handled during data capturing as it involves employees who are not trained in records management. Also ensures security of records as numerous officers need access to various files for completing the land registration process.

Data capture	Responsible for updating and capturing records in the electronic index and retrieving files needed for land registration and other processes. Closing and opening of new files were necessary.
Trainer and system administrator	Train staff on how to use different systems. Responsible for ensuring that the system is working properly and attends to all faults. Issues access rights to computers and STARDUST. Checks errors in the waiting list and conducts frequent backup of electronic records.

Note: Roles were mentioned in reference to the LAPCAS project.

Source: Field data (2016)

As revealed from the study findings, all individuals have important roles to play in the implementation of records management programs. For example; Nancy from the focus group interview revealed that,

“Without IT personnel, the waiting list cannot be published as we have to check for errors, redundancies and double entries. We are responsible for training new staff on how to use STARDUST and we also allocate certain rights to users on STARDUST, hence without our help data clerks and action officers may not be able to complete their tasks.”

These findings show that employees’ roles were clearly articulated during change implementation.

Another question sought to find out if the communication explained business reasons why changes in records management were taking place. Most of the respondents (n=34, 74%) concurred that the business reasons for change were communicated. Though communication was done, one of the respondents indicated that information was not very clear. The rest of the respondents (n=12, 26%) disagreed that communication explained the business reasons for change. This was supported by respondent 10 who stated that communication “...was not done and there was no systematic way of tackling business issues pertaining to the change process”. Lastly, respondents were asked if the communication prepared them for the change. Research findings show that 24 (52%) respondents agree that communication effectively prepared them for change. Amongst the 22 (48%) respondents who noted that communication did not prepare them for change, respondent 13 said “I was not satisfied with the communication as I was resistant to change”.

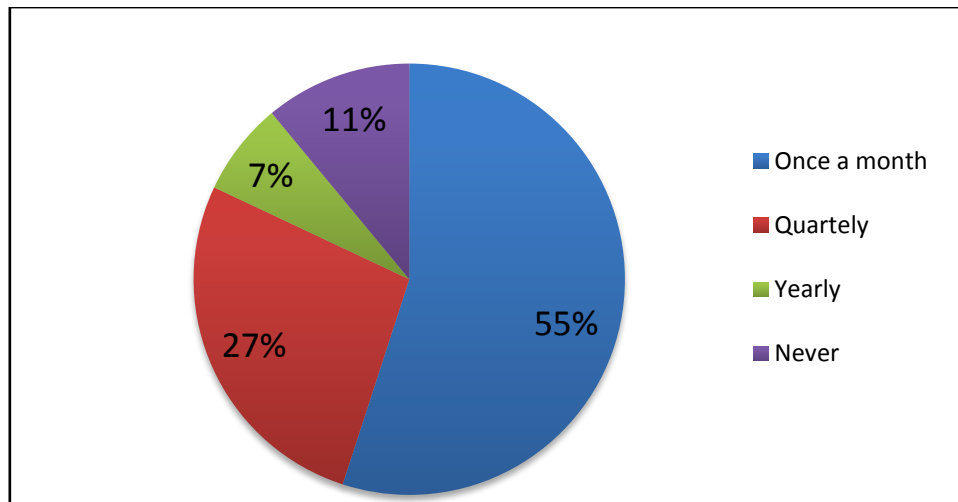


Figure 4.9. Frequency of communication to employees.
Source: Field data (2016)

Respondents were also asked to state how regularly they receive communication on the changes taking place in the RMU. Figure 4.9 shows that 24 (55%) respondents concur that updating takes place every month, 12 (27%) state that communication takes place quarterly, 3 (7%) said yearly while 5 (11%) said that they never receive any communication. The comments section revealed that communication is done whenever the need arises or when there are some changes taking place with the current projects.

Table 4.8 Mode of Communication (N=46)

Mode of Communication	No		Yes	
	Frequency	(%)	Frequency	(%)
Memos	34	76	11	24
E-mail	19	42	26	58
Intranet	36	80	9	20
Meetings	14	31	31	69
Newsletter	44	98	1	2

Source: Field data (2016)

Respondents were further asked to choose the most effective way of receiving communication. According to the findings in Table 4.8 respondents prefer Meetings (n=31, 69%), email (n=26, 58%), memos (n=11, 24%) and intranet (n=9, 20%) as the most effective mode of communication. Newsletter is the least preferred mode of communication as 44 (98%) of the

respondents were against its use for communication. Another mode of communication preferred as indicated in the comments section is the ‘word of mouth’. Respondents reflect that word of mouth is much more effective and also helps build interpersonal relationship skills. These findings indicate that most of the respondents are much more comfortable with the use of staff meetings and email as the mode of communication for any updates or announcements on changes taking place. This is supported by previous respondents’ comments that stated that communication was done during the general staff meeting on Thursdays and the vision was also shared through staff email.

Furthermore, interviews were conducted to establish the communication strategies used at TLB when implementing changes. Study findings revealed that Tlokweng Land Board management communicates with employees when there are changes taking place. Participants concurred that communication is done before and during the implementation process. Interviewees also revealed that the most commonly used methods of communication are; sensitization workshops, scheduled meetings, inspirational meetings, email and information bulletin boards. According to findings from Nanny, it was revealed that “various announcements and updates are made on Thursdays meetings in the morning and through staff emails”. These results imply that meetings and staff email are the most commonly used strategies for communication.

B. Empowerment and short term wins

Training is very crucial when new projects are being introduced especially when there is a need to use computerised systems. Preceding results show that majority of the respondents concur that a shared vision of the project was shared, business reasons for change were communicated, roles were clearly articulated and some even received personal communication about the changes. Though all these were in place, only 22 (48%) respondents indicated that they received necessary training and support to enable them to do their job more effectively. While 24 (52%) respondents indicated that they had not received any training or support.

Table 4.9 *Empowerment and Short Term Wins (N=46)*

Statement	No		Yes	
	Frequency	(%)	Frequency	(%)
Did you receive the necessary training and support to enable you to do your job more effectively?	24	52	22	48
Was training received during the project implementation adequate enough to enhance your	26	58	19	42

knowledge and ability to handle the changes taking place?				
Do you feel motivated when management rewards you for a job well done during the implementation process?	10	22	35	78

Source: Field data (2016)

Another question asked if the training received during the project implementation was adequate enough to enhance their knowledge and ability to handle the changes taking place (Table 4.9). Only 19 (42%) respondents agreed that training was adequate while 26 (58%) disagreed. In order to find out if employees can be motivated when given rewards for a job well done during the change implementation; respondents were asked if they feel motivated when management rewards them. Study findings show that 35 (78%) respondents do feel motivated when they are rewarded for a job well done during the implementation process.

Though Table 4.9 reveals that respondents disagreed that they did not receive enough training (n=24, 52%) interview data says otherwise. Participants concurred that vigorous training is conducted whenever there is a new project being implemented. This training is done in the form of refresher courses, workshops, and specialized days like LAPCAS day. One of the interview participants revealed that the messenger in the RMU was trained adequately and has a certificate in records management. This shows that TLB regards records management as an important field such that they had to ensure that the messenger is in a good position to handle records. In addition, participant A stated that “we conduct scheduled trainings when the project starts and when the need arises”. On the other hand, participant B noted that “in some cases not all employees are trained hence only records officers are trained as the projects are records based”.

4.4.3.3 Implementing and Sustaining Change

Seven statements were given to participants in order to evaluate if management does put measures in place to reinforce the changes put in place (Table 4.10). The general question asked was how does management ensure that changes implemented are adhered to? Findings on the first statement revealed that management does not create a sense of unity in the organization (n=26, 57%). Respondent 35 mentioned that “in our section there is no sense of unity or team spirit towards implementation of new projects”. Only 20 (43%) respondents agreed that management created a sense of unity and this was supported by comments from respondents 44, 35 and 23 that stated that, “They tell us that the change is for all of us”, “of late they make

an effort to include staff” and “there is regular briefing and team work spirit is evident” said one of the respondents.

Table 4.10 Reinforcement of the Changes (N=46)

Statement	No		Yes	
	Frequency	(%)	Frequency	(%)
They create a sense of unity	26	57	20	43
Continuous communication to remind employees about the vision of the new records management program	15	33	31	67
Hold employees accountable	23	50	23	50
Conduct project reviews	21	46	25	54
Ongoing training and coaching	26	57	20	43
Celebrate the change by recognizing success	25	54	21	46
Competitions to motivate change champions	32	70	14	30

Source: Field data (2016)

Though there is a lack of sense of unity, 31 (67%) respondents indicated that there is continuous communication to remind employees about the vision for the new records management programs. Respondents 18 and 31 further explained that, “we are updated on all the changes taking place” and “management uses internal methods of communication within the organization”. Respondents were also asked if management holds employees accountable. An equal number of responses was attained, hence it was not clear if indeed management holds employees accountable or not (Table 4.10). The fourth statement was about whether management conducts project reviews and 25 (54%) consented that they do; while 21 (46%) respondents said “No” there are no project reviews. The findings further indicate that ongoing training and coaching is not done to a great extent as only 20 (43%) respondents agreed that there is ongoing training. Furthermore, only 21 (46%) respondents indicated that management celebrates change by recognizing success. Respondents noted that there is an initiative for employee of the month. This initiative recognizes success of individuals but it is not specifically for those who excel in project implementation. The last statement asked if management holds competitions to motivate change champions. The results show that there are no competitions to reinforce change at TLB (n=32, 70%). These findings indicate that

management at Tlokweng Land Board is not putting much effort in ensuring that implemented changes stick and employees do not backslide to old ways of doing things.

On the other hand, interviewees concurred that management tries by all means to ensure that employees do not backslide to their old ways of doing things but rather stick to changes implemented. Participant A revealed that, they reinforce change through “continuous training, employee of the month initiative, sends reminders through emails and memos. Participant C also noted that they also “conduct project reviews, create a flexible environment and involve ‘bogosi’ and some of the community members as change champions”. Furthermore, participant A explained that “temporary workers are encouraged through writing reference letters, recommendation to other organizations and extension of contracts”. This kind of gesture towards temporary workers motivates those who are joining and the permanent staff as they witness the rewards of being committed to changes taking place.



Figure 4.10. MLH change management framework.

Source: Field data (2016)

Follow up interviews were designed to find out the change management strategies used by management when implementing changes. Interviewees revealed that TLB has change management strategies in place. These strategies were identified as having the change management team in place (both at ministry level and land board level) and specialization of duties. Documents reviewed also revealed that, the Ministry of Lands and Housing (MLH) has a comprehensive change management frame work in place (Figure 4.10). The MLH framework combines four change management theories; Prosci approach, Kotter’s eight steps to successful change, Kurt Lewin’s approach and the ‘Head, Heart and Hands’ approach. This framework

consists of five change phases (scope and diagnose change, assess and plan change, unfreeze, change, refreeze) with five work streams of change activities (communication and engagement, manage organization and people, leadership alignment, learning and development, manage change work stream). Only one interviewee mentioned the existence of this framework and also noted that this framework has never been implemented in Tlokweng Land Board.

4.4.4 Attitudes and Perspectives of Employees Towards Change

Employees’ views or perspectives regarding change management is very crucial as it can enhance the success of change implementation. Their opinions towards change can also help management to employ the right change management strategies.

Objective 4: To determine the attitudes and perspectives of employees towards change

The aim was to understand what employees think about change and how management should go about it. The Prosci’s ADKAR model was used as a lens to understand employees’ attitudes and perspectives towards change. Only two questions were asked in this section.

The first question in this section sought to determine if the ADKAR components were relevant to TLB employees. These components helped to assess employees’ attitude and perspectives towards change. Prosci’s ADKAR model has 5 components; Awareness, Desire, Knowledge, Ability and Reinforcement. Each component has a negative effect when not taken care of during the implementation process. Respondents were tested on these five components and findings revealed that participants do feel confused (n=39, 87%) when they are not aware of what is going on in the organization (Table 4.11). Respondent 37 affirmed that “Yes I feel confused when am not adequately briefed”.

Table 4.11 Respondents Attitudes towards Change (N=46)

Statement	No		Yes	
	Frequency	(%)	Frequency	(%)
Do you ever feel confused when you are not aware of what is going on in the organization?	6	13	39	87
Do you ever resist changes taking place when you do not have the desire to participate?	30	65	16	35
Do you ever have fear/anxiety when you do not have knowledge on how to change?	15	33	31	67

Do you ever feel frustrated when you do not have the ability to implement required skills and behaviour to implement changes?	5	11	41	89
Do you ever feel like backsliding to your old ways of doing things when managers do not reinforce the change?	21	46	25	54

Source: Field data (2016)

Thirty (65%) participants indicated that they do not resist changes taking place when they do not have the desire to participate. Amongst the 16 (35%) respondents who noted that they do resist changes when they do not have the desire to participate, it was also stated by respondent 12 that “I resist because I fear the unknown”. Most (n=31, 67%) of the respondents also indicated that they do have fear/anxiety when they do not have knowledge on how to change. This was supported by respondents 19 and 45; “I fear that I may be downsized” and “I fear that I may lose my job”.

Respondents were further asked if they ever feel frustrated when they do not have the ability and required skills to implement changes. Study findings show that indeed employees do feel frustrated (n=41, 89%) when they lack the ability and skills to implement the necessary changes. Respondents 7 and 10 stated that “I feel frustrated because I do not want to fail” and “when I do not have the ability to implement change I feel left out”. Lastly, respondents were asked if they ever feel like going back to their old ways of doing things when managers fail to reinforce the change. Only 21 (46%) respondents said “no”, while 25 (54%) respondents indicated that they do feel like backsliding when change is not reinforced.

Follow up interviews, revealed that resistance is one of the drawbacks during change implementation. Participants A, B and C, concurred that though staff was excited about new programs due to understanding that records would be managed better, some still exhibited some traits of resistance. According to Participant A,

“Some users want to stick to what they know i.e. they are used to a certain culture. Moreover professionals managing records are used to non-professionalism”.

Participant C also elaborated that;

“There was fear at first. People resisted changes because it is not easy to accept it at once. But later on, employees started complying”.

Participant B further revealed that employees possessed the following characteristics towards change;

“Employees resisted when working hours were needed beyond normal hours, fear and anxiety, they were frustrated when access to records became limited and backsliding due to lack of understanding and knowledge”.

Furthermore participant A also explained that;

“Employees were frustrated as files were collected from action officers while they are helping clients and action officers wrote letters without files, this made work very difficult for both records managers and action officers”.

Participant D revealed that such attitudes and perceptions towards change were counter measured through pep talks, encouragement, taking one step at a time, coaching and mentoring. Participant A further noted that employees are still at different levels of adopting changes taking place. Some are at the learning stage while others are already on board and used to new ways of doing things. Participant B also noted that external stakeholders were not greatly affected by the change. However, findings indicate that chiefs (Dikgosi) had great influence on the community especially when it comes to the land registration initiative. Participants C also noted that;

“At first everybody did not understand well the LAPCAS project including Dikgosi and the community at large, as they thought MLH wants to re-possess their plots in the process of land registration”.

Participant A clarified that there was support after resistance;

“Dikgosi were not available for land registration at first, due to fear of the unknown but now they are a great source of help as they are issuing confirmation letters for unclaimed land”.

These findings show that participants’ attitudes towards change vary from one individual to another.

The last question sought to establish if participants would be able to accept and adapt to changes if all the ADKAR (Awareness, Desire, Knowledge, Ability, and Reinforcement) elements are in place. Respondents were given a ‘yes’ or ‘no’ question with 5 statements. All the respondents

(100%) agree that they would be able to accept and adapt to changes if they are *aware* of the need to change, have the *desire* to participate and support change, and have *knowledge* on how to change, have the *ability* to implement required skills and when management *reinforces* change. These findings provide evidence that Prosci's ADKAR model is ideal and can help implement successful change in any organization.

4.5 Emerging Issues

a) Challenges encountered during implementation

Study findings revealed that there were some challenges encountered during change initiative implementation. Participant B lamented that “due to lack of access to files which were still being processed, there was delayed service provision”. This was noted as the main challenge during the implementation process. There were some varied responses in terms of availability of resources to complete the necessary tasks. For example; participant a noted that “there was adequate support, we had enough money, temporary data clerks, and computers were available to complete our jobs” while participant C lamented that “there was shortage of manpower and resources”. In addition, resistance was also noted as one of the main challenges during implementation.

b) Success factors of a records management program

Findings revealed that for a records management program to be successful the following should be in place; records management policy, management support, easy and quick access to records and security of records (have back up). One of the respondents noted that additional changes to be implemented in the next financial year include construction of a custom designed building for records centre. This building will meet international standards for records storage rooms. With this type of building in place then all future changes will be successful as records have a safe storage.

c) New programs improved the image of Tlokweng Land Board

The study findings revealed that the implementation of new records management programs improved the image of the organization. Participant A explained that;

“The impact of these changes on TLB is enormous. This is so because Tlokweng Land Board was recognized by the Ministry of Lands and Housing as having one of the best

records management team and programs in place. Due to all these changes, especially with the use of color coded files and the arrangement in the storage room, our RMU has been able to benchmark to other government and private organizations, commonwealth countries like Tanzania and other local land boards. Our image has really improved ever since our recordkeeping practices went through some changes”.

The above statement is supported by the researcher’s observation as she witnessed personnel from one of the government agencies, benchmarking from the records unit at TLB. The researcher was also able to retrieve the certificate of excellence awarded to the RMU as shown in Figure 4.11.



Figure 4.11: Certificate of excellence
Source: Field data (2015)

d) Challenges arising

The findings show that, the new filing system, classification scheme and the LAPCAS project have advantages in terms of improvement in land records management and customer service delivery, But participant A lamented that:

“Though there is a new classification scheme, electronic index and the use of different file colors, all these are going to change when the LAPCAS project is completed. This is due to the fact that LAPCAS aims at integrating all land records in Botswana hence a standardized Land Information Management system will be used across all land boards and file colors are probably going to change. We are going to be forced to adapt to a new classification system which may not recognize the classification system being used now”.

This shows that Tlokweng Land Board might undergo some major changes anytime soon, once the LAPCAS system has been rolled out to all land boards. The Ministry of Lands and Housing (MLH) will have to ensure that vigorous change management strategies are put in place for the system to be implemented successfully.

4.6 Summary

The purpose of the study is to explore change management practices at TLB. This chapter presented results analyzed through quantitative means using SPSS and qualitative means using thematic grouping technique. The study findings revealed that changes taking place at TLB records unit include; LAPCAS project, a new filing system, digitization of records, STADUST, file labeling system, use of colored stickers, electronic index, retention and disposal schedule, records committee, records policy and the classification scheme. Amongst these changes, the majority of the employees are aware of the new filing system, digitization and the LAPCAS project as they are the most recent and ongoing projects. Research findings further revealed that these new programs were expected to yield the following benefits; easy access to records, security of records, reduce errors in land allocation and increase efficiency in recordkeeping practices. The findings also show that the Tlokweng Land Board makes use of a good change management strategy influenced by renowned theories of change management. Lastly, consonant with the Prosci's ADKAR model, the findings revealed that employees do possess the following characteristics towards change; resistance, anxiety/fear, confusion, frustration, and backsliding. Further, the findings show that TLB has been doing well in managing change and can be used for benchmarking recordkeeping practices in Botswana.

Chapter 5

DISCUSSION OF FINDINGS

5.1 Introduction

The previous chapter dealt with analysis and interpretation of data obtained from Tlokweng Land Board through interviews, questionnaires, document review and participatory observation. This chapter synthesizes the results presented in chapter four. The discussion focuses on research findings pertaining to change management practices in the implementation of records management programs. This chapter will present the discussion of findings according to the themes derived from the objectives of the study:

- λ Types of changes taking place
- λ Expected benefits of new programs
- λ Change management strategies
- λ Attitudes and perspectives of employees towards change

5.2 Discussion of Findings

This section elaborates the research findings presented in chapter four. The themes as per the objectives, are discussed and illuminated by relevant literature.

5.2.1 Changes Taking Place

The study findings revealed that there are indeed numerous activities taking place at TLB. Some of the fundamental changes taking place were listed as follows; new filing system, digitization of records, LAPCAS project, electronic index, STARDUST, use of colored stickers, classification scheme, file labelling system, records policy, records committee, retention and disposal schedule. According to participants, most of these changes started being effective around 2009. The aim was to re-engineer all records management processes in order to meet the goals set by the Ministry of Lands and Housing. It was discovered that some of these activities were actually processes required to complete other records management programs. For example, TLB implemented changes such as electronic index, STARDUST and scanning/digitization, to enable computerization of records and aid in the implementation of the LAPCAS project. According to the findings of the study, the LAPCAS project is central to all activities taking place in the records management unit as it aims at integrating all land records in Botswana.

Records are the evidence of all organizational activities and transactions. An effective records management program must be in place in order for the organization's valuable information assets to remain authentic, accurate, and retrievable. In this 21st century era, organizations must re-engineer their records management programs in order to remain relevant and improve customer service delivery. This is only possible through embarking on changes that will enhance effective and efficient recordkeeping practices. As such, Tlokweng Land Board has taken its records management program seriously by implementing all the crucial changes that will enhance recordkeeping practices. Each land board in Botswana has the mandate to implement effective changes to their recordkeeping practices that will enhance the success of the implementation of a holistic land administration systems (Malatsi & Finnstrom, 2011; Mguni, 2010). The integration of land records information systems can only be possible if all land boards have proper and effective records management programs and this starts by implementing the necessary changes as done by TLB.

The findings in this study are very important as they reveal some of the necessary changes required for an efficient and effective records management program. Failure to implement some of these changes in land boards may lead to continuous poor records management practices and delayed service delivery. Ohio State University (2015), emphasizes that an effective records management program should have a comprehensive set of policies and procedures that are reviewed regularly. Amongst others, TLB saw it fit to implement changes regarding the records management policy, records committee and also have the retention and disposal schedules in place. As revealed by participant D;

“The records policy is vital and acts as a foundation for all records management practices in our land board. Hence without it, we are bound to fail in our duties as records managers and there might be chaos in terms of recordkeeping practices since there will be no set standards and procedures to guide us.”

This is supported by Mutero (2014), who discovered that the NUST Department of Physical Planning and Works in Zimbabwe, had poor records management practices due to lack of records management policy, procedures and standards. This shows that TLB has taken the right direction by implementing changes required to improve the records management program.

Reports and findings in Botswana also reveal that other land boards have embarked on the implementation of various changes in their records management units (Makhumalo, 2014;

McGeoff, 2013; Mudongo, 2013). As revealed in *MmegiMonitor* newspaper, dated 14 October 2013; just like TLB, other land boards also implemented STARDUST to help with capturing all the necessary data needed to complete the LAPCAS project (McGeoff, 2013). A case study by Hoyle and Sebina (2008) and a report by Mguni (2010), revealed that since the 1990's land boards have been introducing various changes in order to improve land administration in Botswana. Some of these changes include the implementation of electronic systems such as The Land Inventory for Tribal Land Boards of Botswana (LYNSIS), Botswana Land Integrated System (BLIS), The State Land Information Management System (SLIMS) and Tribal Land Information Management System (TLIMS). The same study also revealed that in 2002 the Mochudi Sub-Land Board developed a database on land applications and certificates while in 2006 the Ngwato Land Board developed a records management policy draft, classification system and an electronic index (Hoyle & Sebina, 2008).

Literature has also revealed that, other departments such as the Deeds Registry have embarked on the computerization of land records in order to improve turnaround time (Mguni, 2010; Mudongo, 2013; Tembo, Nkwae, & Kampamba, 2014). Makhumalo (2014), conducted a study in all Botswana main land boards and six sub-land boards. The study revealed that these land boards had started implementing changes such as implementation of the INFOMATE tool, used by surveyors to collect spatial data, map of plots, lease numbers and names of plot owners. The study also revealed that retention schedules were implemented to allow land boards to retain records required by the organization. A classification scheme that distinguished the administrative from substantive files were also implemented (Makhumalo, 2014). This same study also revealed that about 33% of the land boards in Botswana had embarked on the digitization project; where files were scanned for sharing through microsoft access database, while others were shared through shared folders in the network/server (Makhumalo, 2014). Studies elsewhere also revealed that various land boards, for example; in Kenya, Malaysia, Pakistan and India, have implemented a functional classification scheme, retention and disposal schedule, records management policy and an electronic records management system, so as to improve land records management practices (Kwanya, 2014; Aggarwal, 2014; Akingbade, 2012; Ali & Nasir, 2010; Patel, 2014).

Research findings at TLB show that there are numerous changes taking place. The study findings imply that the organization is active and recognizes the need to change. This may have an implication on daily duties of employees if the change process is not well managed (Figure 5-1 below). For instance; some action officers may not be able to access the necessary files on

time as they are still being used in the LAPCAS office. This results in frustration on the employees side and also delayed service delivery. Moreover these changes are not yet stabilised as participant A revealed that;

“ Our file colour codes and the classification scheme are likely to change when the LAPCAS project is fully implemented in all land boards, because it has its own classification scheme and colour codes”.

This shows that there are other changes yet to be implemented in land boards and Tlokweng has already witnessed a number of changes which might be very disturbing to the employees as what they are getting used to now will change within a short period of time. Therefore appropriate change management strategies need to be in place for these changes to run smoothly without any negative effects on both the organization and its employees. These findings also act as a best practice example for the Ministry of Lands and Housing. MLH can influence other land boards to benchmark from TLB and implement some of these changes in order to have an integrated approach towards land records management practices in Botswana. Once all land boards have improved their records keeping practices then the implementation of the LAPCAS project across all land boards will be much easier. But failure to implement required changes will delay the intergration of land records in Botswana. It is therefore mandatory for MLH to implement the change management framework in all land boards and train the change management team members.



Figure 5.1. Impact of implementing changes.

Source: Field data (2017)

Drivers for change

As revealed in the preceding discussion, there are numerous changes taking place at Tlokweng Land Board. Participants revealed that these changes were influenced by various challenges

which were faced by the land board in providing services to their clients and conducting the daily business transactions. The major problems that influenced the implementation of changes were security issues and incomplete records. Participants lamented that TLB has been facing problems of double allocations due to lack of a comprehensive land registry and this has led to numerous court cases. Access to records was not regulated hence records were at risk of being stolen, destroyed, misplaced and misfiled as most employees could access files without any authentication. Due to scattered and misplaced records, it was difficult to handle some of the customer's complaints and in the process service delivery was delayed. In an effort to minimize these problems, TLB implemented various changes to improve their recordkeeping practices. In addition, as a directive from the Ministry of Lands and Housing, the land board was also compelled to improve its records management program in order to complete the LAPCAS project.

Land records are very key to the development of any country and they give a clear picture of what the country owns as well as what areas need to be developed. Without a proper land records management program in place, economic development may be hindered as there are no proper records to influence decision making. Therefore, the security of records and availability of complete records are of paramount importance to any organization as these will foster transparency and authenticity of business transactions. The findings at Tlokweng Land Board are of vital importance as they reflect that failure to monitor access to records and their management can lead to various problems that will impact on the functions of the organization. Moreover the study findings show that it is vital to implement necessary changes in order to correct ineffective business processes such as keeping board minutes in arch lever files; which makes it very difficult to access them at a later stage.

The challenges faced by TLB seem to cut across many land boards in Botswana as various studies also revealed the same challenges which have led to the re-engineering of records management programs and introduction of new practices (Hoyle & Sebina, 2008; Onoma, 2009; Bornegrim & Collin, 2010; Lantmäteriet, 2011; Abankwah, 2012; Mudongo, 2013; Molund & Vestin, 2014). Similar to challenges faced by the Tlokweng Land Board, the Ngwato Land Board also revealed that double allocation of land parcels is one of its challenges (Ngwato Land Board, 2011). A survey by Ramokate (2010) revealed that the Kweneng Land Board faced problems of poor records management practices. This problem includes misfiling, lack of records retention schedules, operation of a multi file classification scheme, theft of records and damage as security measures were inadequate. Due to these problems, Ramokate (2010)

recommended the development of a comprehensive records management program with policies that will provide guidance in the management of land records. A further study by Makhumalo (2014) also revealed that land boards in Botswana were facing the following problems; incomplete records, loss of court cases due to failure to produce sufficient evidence upon litigation, also that security was compromised as storage facilities were poor, and allocation registers could not be accessed due to records kept in arch lever files which were scattered and also incomplete. All these problems lead to delayed service delivery, hence some land boards were compelled to computerize land allocation registers and introduce electronic indexes that will aid in the retrieval of records (Makhumalo, 2014).

Studies conducted in Africa also revealed that land boards elsewhere are re-engineering their records management programs in order to deal with certain challenges. For example; Derby (2002) affirmed that a functional information system was implemented in Tanzania due to duplicate land allocation, allocated but unregistered parcels and outdated ownership information of land parcels. Another study in Rwanda also revealed that a Land Registration System was implemented in 2009 due to the persisting problem of lack of official written records to prove existing land rights ownership (Manirakiza, 2014). Further studies in Rwanda also revealed that need for tax authorities to generate considerable revenue for the government leads to some changes in the implementation and management of the land registry as it would enhance the property taxation process (Mukarage, 2016). This shows that records management programs may change not only to solve organizational problems as revealed at Tlokweng Land Board, but changes may be necessary due to the need to serve other departments that depend on the land records.

The study findings indicate that changes may be necessary due to problems that the organization is facing. It is now evident that it is not just TLB that had a problem of poor records management hence it is difficult for land records to be integrated in Botswana if there are no proper records management programs in land boards. MLH may face the risk of not being successful with the implementation of the LAPCAS project if these problems continue to persist in various land boards. The problems identified in this study, hinder service delivery and promote low productivity and inefficiency of public officers. For example, these problems go against the Public service Act of 2010, Chapter 26:01, section 17 which requires all public officers to serve the public efficiently and without delay, so as to promote clients welfare and their lawful interests (Government of Botswana, 2010). In the event that the above problems continue to persist in land boards then the Botswana public service-customer service standards

and MLH service charter will be violated as customers will not be served in a timely manner and not given quality service.

5.2.2 Expected Benefits of the New Programs

As revealed in the study findings, TLB implemented a number of changes so as to overcome various problems that hindered the organization from functioning effectively and efficiently. Research findings from the interviews, show that the records management program was re-engineered so as to attain the following benefits: integrate all land records, have a documented land directory, improved security, easy access and tracking of records and improved service delivery.

Integration of all land records: the new filing system that uses plot numbers as file names enables plot details to be recorded in one file. For example: if a current plot owner sells or divides the plot, the names of the new owners are added in the same file bearing the plot number. It is therefore not necessary to create another file for the new plot owner. This system has enabled the history of one plot to be viewed in a single file and hence increasing access to information unlike when a plot has numerous files due to change of ownership.

Have a documented land directory: implementation of STARDUST and the LAPCAS project will facilitate the compilation of a complete land directory. Participant A noted that;

“We are using STARDUST to capture all details about plot owners and different land parcels. As land parcels are registered and the system is able to show who owns what and where, then we are also able to tell which land is available for allocation. With this kind of information at our fingertips . . . we are able to make quick decisions pertaining to how many plots can be allocated at a time and this reduces customer’s frustrations as they do not have to wait for longer periods in the waiting list. It will be more different this time because the waiting list will only be produced according to the land available”.

The study findings revealed that with the completion of the LAPCAS project all land records in Botswana will be integrated hence could be accessed in all land boards. Furthermore the land directory will aid with decision making as MLH is able to identify areas for economic development.

Improved security: the findings of the study show that records are prone to theft, loss and misfiling due to improper security measures. Unauthorized employees could access records

due to poor security measures. However, the new storage room has some improved security features and only authorized records officers are allowed to access files. Misfiling of records has also been reduced due to the fact that only qualified records personnel access and organize the files.

Easy access and tracking of records: the electronic index helps records officers with locating files and the scanned documents in the shared folders alerts action officers of new files that need their attention. The use of colored files also makes the arrangement of files in the cabinet much easier and also facilitates quick retrieval of files. For example, if a client has a query about a ploughing field, one goes straight to where green files are located and then use a reference number to locate the file. This is much quicker than when all files have the same color.

Improved service delivery: the study findings revealed that poor records management practices lead to delayed customer service delivery. Therefore one of the expected benefits of introducing changes in the records management environment was to improve service delivery and the image of the organization as a whole. The findings further revealed that the use of postal service for land application and the introduction of an electronic waiting list has reduced customer frustrations and increased productivity.

According to respondents, the new records management program has the following characteristics which act as benefits to the organization:

The new program reduces errors in land allocation: it was revealed that chiefs (Dikgosi) verify owners of plots which were allocated before the establishment of the land board.

“The chiefs’ involvement in the verification processes reduces the chances of the land board allocating an occupied plot to another citizen” said one of the participants.

Furthermore, capturing all land records in the system and having a complete map of land parcels, has also made it easier for the land board to identify vacant and occupied plots. The findings also indicate that, the new filing system and the secured storage room has made it possible for action officers to prove the owners of plots under dispute. As a result, double allocation and false claims are reduced.

Improves adherence to policies and procedures: research findings show that a records management policy, retention and disposal schedule, classification scheme and a records

management committee were implemented in order to govern the creation, usage, storage and disposal of records. Without proper guidelines and procedures there would be chaos in recordkeeping practices but the changes made by TLB have ensured that recordkeeping practices adhere to set policies and standards.

Takes into account the management of electronic records: the findings revealed that records received in the RMU are scanned and circulated through shared folders on the network. All customers' information and their related plots are captured into the system (STARDUST). The waiting list is also accessed electronically. Records are no longer paper files only, but also e-records that prove the existence of the plot and its ownership history.

The new records management program is more efficient than the old system: study findings has revealed that changes implemented in the records management unit has increased productivity as action officers spend less time on a task and also records managers are able to retrieve records in a timely manner hence clients are served in a more effective way.

Leads to better customer service: with records information being online, it has become easier for action officers to deliver services to clients without any delay. Self-service platforms such as computerized database comprising a waiting list, have also improved customer service.

These study findings are important as they show that re-engineering of records management programs by adopting necessary changes can yield huge benefits for the organization. The benefits realized by TLB through the implementation of changes illustrates the importance of moving with time. When the records management environment is no longer suitable for the current environment, changes should be initiated so as to reap appropriate benefits and avoid tarnishing the organizational image, loss of finances and low productivity. The benefits realized by TLB can also act as motivation for other land boards to implement changes and improve their recordkeeping practices. If they remain in the current recordkeeping environment where poor records management has become the norm, MLH will continue to face various challenges in land management. Therefore, it is critical for all land boards to implement essential changes.

Literature also shows that land boards all over the world have re-engineered their records management programs by introducing various changes. One of the most fundamental changes throughout the world is the automation of records management practices through the implementation of Electronic Records Management Systems (Mutimba, 2014; Tembo, Nkwae, & Kampamba, 2014). Literature concurs with findings from Tlokweg Land Board, that

various changes were implemented in order to realize various benefits such as avoiding double booking and illegal occupation, integrating the land records system with other government departments, providing online services to the public and facilitating data sharing among land boards (Ali & Nasir, 2010; Farah, 2011; Mooketsi & Leonard, 2013). According to Mampe & Kalusopa (2012) and Mutimba (2014), changes were implemented in records management practices with expectations that service delivery will be improved. Another study conducted in Nigeria, proved that effective implementation of records management practices positively enhances organizational performance, decision making and service delivery (Unegbu & Adenike, 2013).

Research findings indicate that implementing appropriate changes in the records management programme have tangible benefits as depicted in Figure 5-3 below. From the findings, the researcher construed that implementing an effective records management program leads to accountability and transparency in all organizational transactions. A good records management program entails having policies and procedures as the foundation for recordkeeping practices, then have a classification scheme, retention schedule, proper records storage facility, disaster preparedness plan and disposal schedule. Transparency and accountability leads to improved customer service delivery and a good organizational reputation. Good customer service on its own can have a huge impact on the image of the organization. Therefore it is vital that land boards strive for effective records management practices so as to provide excellent services to the public.

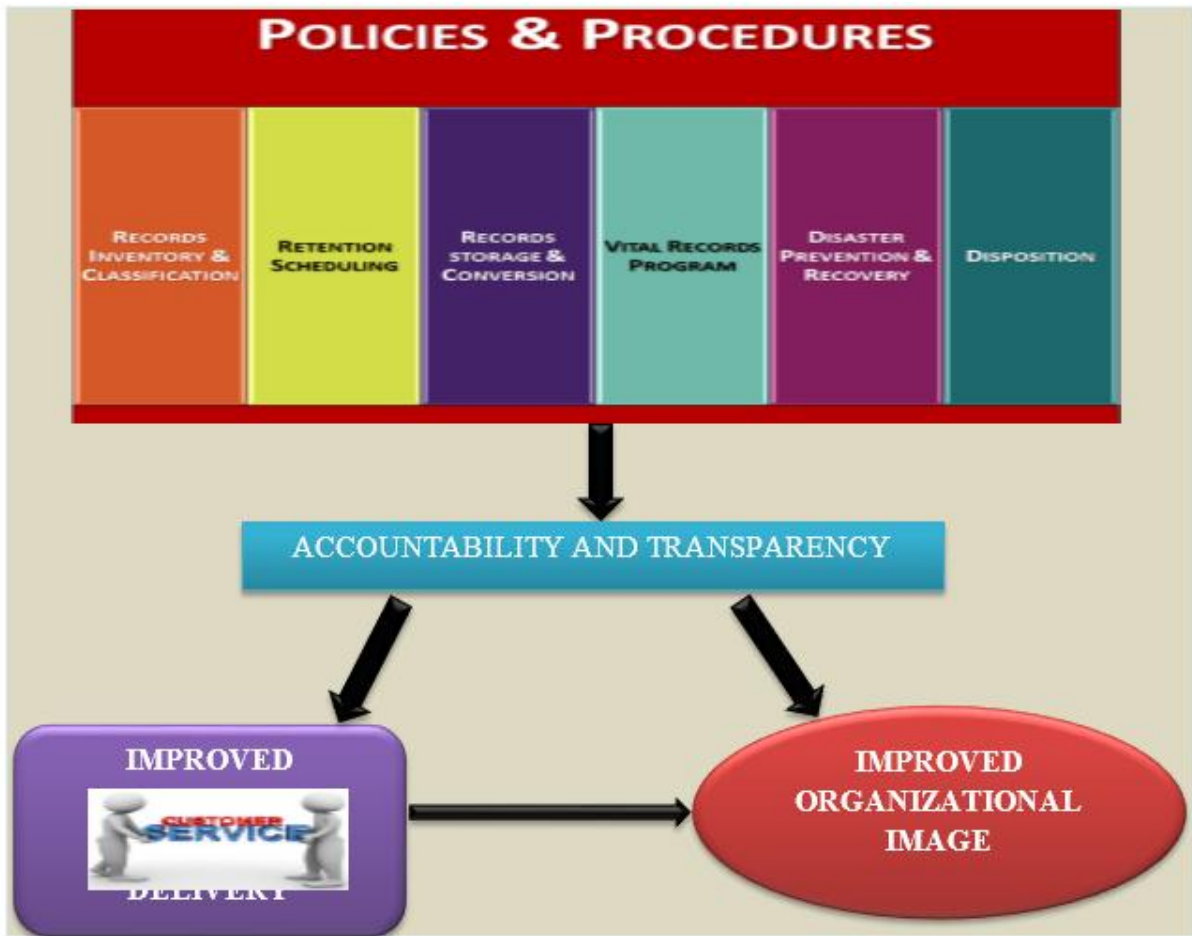


Figure 5.2. Benefits of re-engineering records management practices.

Source: Ohio State University (2015) and Field data (2016)

These findings imply that the new changes in the records management unit at TLB have improved recordkeeping practices. As seen from the research findings, all efforts to minimize redundancies, lack of productivity and poor service delivery were not in vein. TLB has been able to improve customer service delivery and consequently its image has also improved. Other government departments and private organizations came to benchmark at TLB. If these changes are kept in place and employees do not backslide to their old ways of doing things, then the records management unit will continue to yield good results. Therefore management should maintain the new recordkeeping environment and implement more changes if necessary.

Though TLB implemented changes that to some extent make up a good records management program, the research findings indicate that the records unit does not have a disaster preparedness plan. None of the participants listed it as one of the changes in the RMU. The absence of the disaster preparedness plan somehow makes the records management program

weak as there is no guideline regarding what to do or how to handle records when disaster strikes. These results suggest that Tlokweng Land Board is at a risk of losing records in the event of a disaster occurring. This also means that all its efforts in re-engineering their records management program will be in vein should a disaster occur. The land board would also lose the privilege to enjoy the benefits of an effective records management program as shown in Figure 5.3. It is therefore critical for the land board to develop and implement a records management disaster preparedness plan.

5.2.3 Change Management Strategies

Change management strategies provide a roadmap for change management initiatives. Thus there is a need to adopt appropriate change management strategies. Change management theories or models can be used as a strategy.

5.2.3.1 Creating a Climate for Change

A. Sense of Urgency and Vision

Research findings revealed that TLB established a sense of urgency when changes were implemented into the RMU. This was achieved by ensuring that employees are aware of the changes taking place. Initial communication to alert employees about new changes was conducted. This ensured that employees knew what was going to happen even before the changes could start taking place. Secondly, the need to change into the new records management program was clearly articulated. TLB faced various problems (drivers for change) which were a result of poor records management practices. The management used this as an opportunity to make employees understand the need for the organization to change its way of doing things and implement changes that will benefit both employees and the organization. Management also ensured that employees understand the objectives, goals and vision of the new records management program. The findings show that the vision for implementing new changes was communicated. Employees were also made to understand the impact of change on their daily duties. Roles and responsibilities were clearly articulated and this reduced their level of confusion and frustration during the change process. TLB also created an environment that enhanced employees' desire to participate in the implementation of change.

When changes are being introduced in an organization, it is vital that management creates an environment that makes the employees to understand and believe that indeed the change is necessary. A study by Calder (2013) revealed that participants agreed that there is a need to

make people aware that a change must be made and why it is important. Richesin (2011) also found out that 60% of the employees in a non-profit organization agreed that a sense of urgency was created through training days which addressed the change initiative. Employees need to be on board right from the start before changes are implemented. Failure by management to clearly communicate the vision of the new projects may lead to failure or delayed success of the implementation. Kotter's theory denotes that at least 75% of the employees should believe that the change is necessary (Kotter, 1996). Results from TLB are consonant with Kotter's change management model as more than 75% of the participants indicate that a sense of urgency was created.

According to Kotter (2012), creating a climate for change entails 3 steps (sense of urgency, guiding coalition, creating a vision) which are very critical for setting the environment in which change will take place. In a case study carried out in Sweden, it was revealed that it is essential to establish organizational change readiness prior to roll out (Guler, 2010). Katsaros, Tsirikas, and Bani (2014) conducted a study in a public hospital to explore employees' perceptions regarding organizational change readiness, and they found out that if change initiatives are well planned and the vision is effectively shared, then readiness to change is increased. Creating a climate for change prepares the organization for the changes to be implemented. Employees' desire to partake in the change initiatives is also increased hence employees are likely to adopt the changes much faster than when the organization was not prepared. On the other hand, failure to create a climate for change may lead to employee resistance and consequently implementation failure (Smollan, 2011).

Inability to create a sense of urgency may leave employees in a state of confusion and unwillingness to adopt changes. As such, TLB should maintain the standard and have structures that avoid the collapse of what has already been put in place. TLB can remain efficient by continuously creating a climate for change through the use of different strategies such as, adopting Kotter's change management theory which has been proven to produce best results in different settings. TLB should also consider implementing a communication policy or strategy that stresses the need to send personalized emails whenever each department is implementing change. The personalized emails should state the vision and objectives of the project, business reasons why change is taking place and articulate the roles and responsibilities of individuals. This type of personalized communication makes employees to feel that they are part of the project right from the beginning.

B. Guiding Coalition

Findings revealed that Tlokweng Land Board (TLB) has a change management team in place. Findings show that the team has the right people involved and they are very committed to the success of the records management program. TLB managed to form a powerful team as indicated in Kotter's change management model (step 2), by identifying a change champion who is more innovative to lead the team. These findings denote that there is a high chance at TLB for changes to be implemented successfully as the right people have been chosen to lead the change activities.

In their study, Abbas and Asghar (2010) revealed that 70% of the organizational changes fail to reach their goals due to lack of proper leadership. The same study emphasized that every change project or activity needs a very effective and highly competent leadership that is capable of addressing organizational changes in the most appropriate way (Abbas & Asghar, 2010). This is also supported by Battistelli, Montani, and Odoard, (2013), who argue that change management leadership is important as it reduces negative reactions to change due to its impact on job autonomy and feedback. Having a change management team in place is very crucial but also requires some measures to be put in place. For example, failure to train and equip the change management team at TLB will result in changes not implemented appropriately and employees will not have responsible leaders to guide them through the changes. The team also needs to be motivated for them to be fully engaged in the change management process.

Study findings suggest that the change management team at Tlokweng Land Board is very active and doing their job very well. In this case management should continue to motivate the change management team so that they do not lose their focus on managing changes being implemented. The team should be enrolled in training that will further their knowledge in the area of change management. By doing so, TLB will have a much stronger team that can implement even bigger projects without facing resistance from employees. Management should also hold competitions between change management team leaders from different land boards as a way of motivating them and keeping them active in change implementations.

5.2.3.2 Engaging and Enabling the Whole Organization

A. Communication

According to study findings, communication was used as one of the major strategies to ensure that changes are appropriately introduced and explained to employees. Management used workshops, electronic mail, scheduled meetings- designed for discussing arising issues concerning project implementation and project reviews, inspirational meetings -held every Thursday to encourage and remind employees of changes taking place, and bulletin boards to communicate information regarding any changes that take place in the records management unit. TLB engaged employees by communicating the vision of the new program, conducting personal communications, and articulating employees' roles and responsibilities. Some of the major roles identified during the interviews were; change work stream leader, motivator, overseer, file manager and protector, data capture, trainer and system administrator. From the study findings, it was noted that these roles were mainly linked to the LAPCAS project which is ongoing at TLB. Though most of the participants indicated that their roles were identified, 48% of the participants indicated that their roles were not indicated. This is quite a large portion of employees who did not know what role to play during the change process. This could mean that their lack of knowledge on their responsibilities towards change projects could have left them confused and frustrated. When follow-up interviews were conducted, it was clarified that some employees did not know their roles due to the fact that the changes introduced were thought to be records management projects. Hence some employees from other departments were not initially included in the change projects, though along the way their input was considered vital to the changes taking place. Respondent 19 noted that;

“I did not even know that there were changes taking place in the RMU, not even to talk of what my role was in those change projects. It was only at a later stage when files were being brought to me for clarification that the management realized that I need to be part of the change process. That was when I was officially told that my help is needed in order to complete the process and my roles were then clearly indicated.”

Findings from Neo and Nancy also revealed that;

“Records managers did not ask for IT assistance when developing the electronic index. We only got to know about it when they were facing some problems” and “in relation to the LAPCAS project I was not initially involved as it was thought to be a records management project”.

It was further revealed that apart from their roles not being clearly articulated, the IT personnel did not have knowledge about different file colors in the RMU as they rarely use records. This shows that some action officers may not be aware of the changes taking place unless if the program or change affects their daily duties. Furthermore, action officers depend on the output of other employees. Inability to properly indicate and communicate roles of all necessary action officers may lead to delay of duties and provision of services to customers. It is for this reason that it is vital for all employees to understand their roles as failure to do so may inhibit other action officers to complete their task and hence cause delays.

TLB also communicated the business reasons why changes were taking place. As a result, the communication effectively prepared employees for the changes. It was also clear from the findings that management communicates information relating to changes before and during the implementation process so as to keep everyone abreast with what is going on. Findings also revealed that most employees prefer the use of meetings, word of mouth and email as the most effective mode of communication as compared to newsletter, intranet and memos. This is vital for management to take note of, as information may not reach employees on time if the wrong mode of communication is used. Nielsen (2012) concurs with these findings by stating that effective employee communication is imperative in the successful implementation of change programs.

Contrary to the findings at TLB, Richesin (2011) found out that only a few respondents (39%) agreed that they often had communication about change initiatives. This difference in findings perhaps suggests that TLB management is more enthusiastic about changes hence their communication strategy was more effective than the one used in a study by Richesin (2011). Boikhutso (2013) also found out that during change implementation, there was bad communication and roles were not clearly defined. These two studies indicate that change implementation was not successful due to lack of communication. In the case of Tlokweng Land Board, communication was adequate. This implies that there is a high chance for TLB change initiatives to be more successful. Kulvisaechana (2001), Harp (2011) and Ruissalo (2015) concur that communication is a fundamental change management strategy. In their case studies, it was revealed that communication was an important tool for reducing doubt and fear of employees, thereby increasing their receptivity to change and increasing the success of change implementation. This indicates that TLB ought to understand that employees are not just objects who need to be informed but they are subjects of the change (Ruissalo, 2015). Without a properly planned communication strategy then change initiatives are doomed to fail.

It is therefore imperative for management to have clearly defined and documented roles. Without roles, expectations are not known and may not be accomplished. A proper communication plan should be in place to convey these roles. A house journal can also be designed to provide updates on the organisational situation.

B. Empowerment and Short Term Wins

During change processes, it is vital for management to ensure that they empower action to change and reward achievements. The study findings revealed that this was lacking at TLB. Though communication was conducted to a certain degree, most participants indicated that they did not receive training pertaining to changes which were taking place. The low response rate (48%) on the aspect of training, could be attributed to the fact that at the time the survey was conducted, the records unit had just recruited new data clerks to help with capturing of data. It was also revealed that most of these employees had no records management background so they needed to have been trained. The findings also show that training offered at TLB was inadequate as participants lamented that; the training did not enhance knowledge and ability to handle changes taking place. These findings are similar to Mi (2012), whose study revealed that employees did not receive sufficient training for their new role, while others complained that the training they got was not very helpful. On the other hand, interview data revealed that training is done at TLB. Interview participants concurred that training is done in the form of workshops, refresher courses and specialized days like LAPCAS day. It was also noted that training is conducted whenever a need arises. Since the change initiatives were records based, training was also said to be conducted for records officers only, hence not all employees are trained all the time. TLB should have a systematic training program that caters for all employees.

Employees further revealed that apart from being trained during change implementation, they are also motivated when they are rewarded for a job well-done during the implementation process. Though TLB has a change management team to set goals and oversee change projects, they did not provide rewards for a job well-done. Unlike TLB, Richesin (2011) discovered that there were no short term wins due to the fact that there was no change management team to set the goals. Empowerment to act also involves removing of barriers to change and providing all the necessary resources (Richesin, 2011). In this case, TLB did not successfully remove the barrier of lack of knowledge and ability to implement changes. This confirms that in order for change initiatives to continue being successful without employees backsliding, there is need to

empower employees with skills and the ability to carry out their responsibilities. This can be done through scheduled and on the job training. Without adequate training, employees may not be able to cope with the ever changing work environment, especially with new programs in the records management unit. Moreover, effective training helps to maximize job performance (Nassazi, 2013; Khan, Khan, & Khan, 2011 and Niazi, 2011). Mourfield (2014) also noted that “without motivated employees it is impossible to move through change”. It is therefore imperative for management to continuously encourage employees by recognizing their success and rewarding them for a job well-done. TLB should have implemented a proper reward system to motivate those who are engaged in change projects.

5.2.3.3 Implementing and Sustaining Change

One of the most important strategies is to ensure that change is institutionalized and sustained. As seen from the results, TLB has not managed to put enough measures in place to ensure that implemented changes are sustained. In their efforts, they managed to establish continuous communication to remind employees about the vision for the new records management program. They also conducted project review. The findings were not clear as to whether employees are held accountable as an equal response was obtained. On the downside, TLB management does not create a sense of unity amongst the employees to ensure that they continue in unison to implement changes. There is no ongoing training and coaching that will increase employee’s skills and abilities in dealing with new changes. The findings also revealed that management does not celebrate change by recognizing success and there are no competitions to motivate change champions. These results show that TLB is not putting much effort into ensuring that employees do not backslide to their old ways of doing things but rather stick to the new environment. It is evident that the changes have not yet been institutionalized or made part of the organizational culture. Similar findings in a study by Richesin (2011), show that only 20% of employees in his study agreed that the changes had been institutionalized into the organization. Failure to make changes stick may lead to employees not upholding the new policies and procedures and eventually backsliding to old habits. TLB’s change management team should implement strategies that will freeze or reinforce the changes implemented.

Contrary to these findings, interview results revealed that management tries to re-inforce change through training, sending of reminders through emails and memos, creating a flexible work environment and employee of the month initiative. Unfortunately, “employee of the month initiative” is not an initiative focused on change projects but rather it is an initiative in all government departments which is meant to motivate employees to work harder and provide

quality customer service. In addition, temporary staff are motivated to work in the new environment by writing reference letters, recommendations and extension of contracts. Management argued that, this kind of gesture towards temporary staff encourages the permanent staff to stick to new changes as they witness the rewards granted to those who are committed to change. Lastly, the study findings revealed that MLH has a change management framework but participants noted that this framework has never been taught to the TLB change management team. As such, the framework was not used during implementation of all the changes mentioned above. MLH should consider implementing their framework in all land boards and train all change management team members.

5.2.4 Attitudes and Perspectives of Employees Towards Change

The Prosci's ADKAR model (Awareness, Desire, Knowledge, Ability and Reinforce) was used to determine the attitudes and perspectives of employees towards change initiatives. It was discovered that inability to manage the people side of change while implementing changes will definitely lead to a negative outcome as stated in the ADKAR change management theory. The findings show that employees do (1) feel confused when they are not aware of what is going on, (2) have fear and anxiety when they do not have the knowledge on how to change, (3) feel frustrated when they do not have the ability to implement required skills and behaviour to implement changes, (4) feel like backsliding to their old ways of doing things when managers do not reinforce changes.

Contrary to the Prosci's ADKAR model, the findings show that employees do not resist changes taking place when they do not have the desire to participate. This contradictory result may be due to fear of participants to state that they do resist change. It is possible that respondents were afraid of being blamed for unsuccessful project implementation as resistance means employees are not taking part in the change process. Furthermore, according to the interview data, it was clearly indicated that both employees and clients resisted change when the change initiative was first introduced into the organization. Land board customers resisted change as they thought that the land board wanted to re-possess their lands, hence they did not come to register their plots. Employee resistance was displayed when they were asked to work beyond normal hours. There was a lot of frustration when access to records was limited and employees started backsliding due to lack of knowledge and understanding of how these changes would improve their daily work performance and achieve the organization's vision. Resistance was also noted to have resulted from the fear of losing one's job as employees did

not fully understand how the new changes would affect their jobs. This shows that employees value their jobs so much that when change is taking place they need to understand how the change will affect their daily duties. A study conducted by Munetsi (2011) at the Office of the Premier (OTP) in the Eastern Cape Province (South Africa), also revealed that most of the employees were resisting using the new system because they were not comfortable with it. This shows that employees need to be trained effectively so that they have adequate skills to fulfill their daily tasks using new initiatives. Lastly the findings revealed that employees are able to accept and adapt to change if all the Prosci's ADKAR elements are in place. TLB should adopt the ADKAR model in implementing change as it will act as a lens towards employee's perspectives.

5.3 Summary

This chapter discussed the results presented in chapter four. The major findings indicate that Tlokweng Land Board is a very active organization as it has various activities being implemented simultaneously. Due to the various changes implemented, the land board is experiencing positive changes and enjoying the benefits of re-engineering their records management program. The discussion shows that TLB mostly uses communication and training as change management strategies. The findings also revealed that the ADKAR change management model is suitable for understanding employees' perspectives towards change. The model enables the organization to manage the people side of change.

Chapter 6

SUMMARY, CONCLUSION AND RECOMMENDATIONS

6.1 Introduction

This chapter presents a brief summary and conclusion of the study on change management strategies in the implementation of records management programs at Tlokweng Land Board (TLB). The summary and conclusions of this study are based on the research objectives presented in chapter one, section 1.3 and data presented, analyzed and interpreted in the previous chapters. The chapter also provides recommendations for improvement when managing change initiatives at TLB. This chapter concludes with suggestions for future research in the field of change management and records management initiatives.

6.2 Summary of Findings

This section summarizes the following Objectives:

- To identify the changes taking place in the records management unit
- To establish the expected benefits of re-engineering records management programs
- To assess the change management strategies used in the implementation of records management programs.
- To determine the attitudes and perspectives of employees towards change.

6.2.1 *Changes Taking Place at TLB*

The first objective of the study was to identify the types of changes taking place at Tlokweng Land Board in their records management unit (RMU). It was found out that the RMU is undergoing vigorous recordkeeping practices re-engineering process to solve various challenges faced in the RMU. Examples of the challenges that were faced by TLB include; misplaced and missing records, unsecure records, incomplete records which inhibit decision making process, loss of court cases and double land allocation. All these problems led to poor service delivery and created a poor image for the organization. To improve challenges of land administration and records management at TLB, management implemented numerous changes in the recordkeeping processes. The changes implemented were as follows; new filing system,

digitization of records, electronic index, STARDUST, use of colored stickers, classification scheme, file labelling system, records management policy, records management committee and the retention and disposal schedule. The findings show that most of these changes were implemented so as to create a conducive environment for recordkeeping. This new environment with new processes enabled the implementation of the LAPCAS project. Complete and integrated land records are vital for the success of the LAPCAS project introduced by the Ministry of Lands and Housing (MLH) with the aim to integrate all land records in Botswana and improve land administration. Without re-engineering of recordkeeping practices in land boards, records will remain in a poor state and inhibit the success of the LAPCAS project which is currently at the core of MLH. MLH should hold competitions amongst various land boards. Competitions will motivate records managers to implement changes necessary for the improvement of recordkeeping practices.

6.2.2 Expected Benefits of Re-engineering Records Management Programs

The study also sought to establish the benefits of re-engineering records management practices at TLB. From the study findings, it was established that changes were implemented in the RMU so as to achieve the following; integrate all land records in Tlokweng, have a documented land directory, facilitate ease of access and tracking of records, improved security of records and provide quality service to the public. It was also found out that indeed the new records management program is meeting the expected benefits as it (1) reduces errors in land allocation, (2) improves adherence to policies and procedures, (3) takes into account the management of electronic records- and this facilitates ease and multiuser access to records, (4) it is more efficient than the old one- turnaround time has been reduced and (5) leads to better customer service- customers queries can be solved within the stipulated time frame and self-service initiatives have been implemented to reduce delays and commotion at the land board facility. In addition, due to these new records management environment, TLB records management unit has received recognition of excellence from MLH. In addition, other government and private organizations have started benchmarking from their recordkeeping practices. The findings revealed that though TLB has started reaping the benefits of implementing various changes, they do not have a disaster preparedness plan. Should a disaster occur, employees will have nothing to guide them in terms of securing and preventing records from damage. It is therefore imperative that management develops a disaster preparedness plan. The change management

team should also strive to maintain the recordkeeping environment that yields better results such as low operation costs, high productivity and quality customer service.

6.2.3 Change Management Strategies Used by TLB Management

Another objective sought to find out the change management strategies used by TLB management to implement change. This was achieved through the use of Kotter's 8 step change management model in combination with the Prosci's ADKAR model. According to Kotter's 8 step model, there are three stages, each with a specific step to follow during the change process. As seen from the study findings, TLB management fulfilled the first stage completely while the other two stages were conducted half way;

Creating a climate for change: TLB managed to create a sense of urgency and vision by communicating the changes taking place and explaining the need to change. They also formed a change management team to create the vision of the new records management program and guide the organization into the new records management environment. TLB can maintain this standard by using Kotter's change management model and implementing a proper communication plan that focuses on personalized communication.

Engaging and enabling the whole organization: the results indicate that they managed to implement various communication strategies such as meetings, memos, bulletin boards, workshops, and emails to communicate the vision, explain business reasons for change and to identify roles for employees who were involved in the change initiatives. As a result the communication prepared employees for the change. Even though communication was carried out to a greater extent, training for the new records management environment was inadequate. Most participants lamented that they did not receive training, whilst among those who agreed that they received training they also indicated that it did not enhance their skills and ability to handle changes taking place. In terms of short term wins, participants noted that they feel motivated when management rewards them for a job well done during the change process. TLB should consider implementation of a systematic training plan that caters for all employees' needs. Training and motivating of the change management team is vital to the success of the change process.

Implementing and sustaining change: this is the last and probably the most important stage as it has the power to determine whether change will last or not. The findings revealed that change was reinforced through continuous communication to remind employees about the vision for

the new records management program and conducting project reviews. There was a neutral response as to whether management holds employees accountable for their actions during the change process. On the downside, it was discovered that management does not create a sense of unity to keep employees united throughout the change process, there is no ongoing training or coaching, they do not celebrate the change by recognizing success and there are no competitions to motivate change champions. Furthermore, it was also found out that MLH has its own comprehensive change management framework but it was never implemented at TLB. Management should establish platforms for continuous training and establish a reward system tailored for those engaged in change initiatives. MLH should also implement the change management framework in all land boards.

6.2.4 Attitudes and Perspectives of Employees Towards Change Implementation

The Prosci's ADKAR change management model suggests that whenever one of the elements is not implemented then there will be a negative effect. The study findings attest to this ADKAR change management model. This is so because participants agreed that they do feel confused when they are not aware of what is going on; they have fear and anxiety when they do not have the knowledge on how to change; they feel frustrated when they do not have the ability to implement required skills and behaviour to implement change; they feel like backsliding to their old ways of doing things when managers do not reinforce change. Surprisingly, participants indicated that they do not resist change taking place when they do not have the desire to participate. But this was contradicted by results from the follow up interviews which indicated that employees resisted change as they feared to lose their jobs. They also resisted when they were required to work extra hours. The outside community also resisted to register their plots as they feared that the land board will repossess their lands. Overall, the findings revealed that employees possessed the following attitude and perspectives towards change; fear and anxiety, resistance, frustrations, and confusion. Finally, it was established that employees are able to accept and adapt to changes if all the five elements of the ADKAR (awareness, desire, knowledge, ability and reinforce) model are in place. TLB should adopt the ADKAR change management model to manage the people side of change.

6.3 Conclusions

The study has achieved its purpose of assessing the change management strategies used at TLB during change implementation. The study was necessitated by the high incidence of failure in

land records management systems implementation at the Ministry of Lands and Housing as shown in the literature. The study has revealed that a good records management program is essential for land boards to achieve their mandate. TLB was able to implement changes that make up a good records management program but TLB has not developed a disaster preparedness plan and yet this is crucial. It has been established that it is necessary for land boards to re-engineer their records management programs by implementing adequate changes in their recordkeeping processes. By so doing, land boards will be more accountable and their activities transparent to the public. In return, this will improve customer service delivery and organizational image (Figure 6.1).



Figure 6.1. Benefits of a good records management program.

Based on Kotter’s change management model and Prosci’s ADKAR model, the study established that Tlokweng Land Board is to some extent managing to implement change successfully. This is due to the fact that TLB has created a conducive environment for implementing change by ensuring that there is management support, adequate resources and continuous communication of the vision. It can be concluded that communication has been used as the most effective tool for managing change at TLB. However, TLB has not yet managed to reinforce the change implemented as it was established that there is lack of adequate training and motivating of change champions. Moreover, the change management team has no training whatsoever on the change management framework produced by MLH. It is imperative that MLH ensures that all land boards are aware of the change framework and are well equipped on how to use it.

6.4 Contribution to Knowledge

This study has made the following contribution into knowledge:

- a) The study introduced change management in the field of land records management: change management has been studied mostly in the area of implementation of health records management systems. Numerous land management systems have been implemented in various countries where some were successful while others failed or collapsed. This study will inform theory and practice as managers can adopt the findings and suggestions when implementing land records management systems or any type of records management program. This study will also serve as a benchmark for researchers in the field of change management and land records management.
- b) It validated the ADKAR model: the study findings verified that it is important to manage the people side of change. This can be achieved through the use of the ADKAR model which ensures that resistance, fear, anxiety, confusion and frustration are reduced or eliminated in the change process.
- c) The study combined Kotter's 8 step model and the ADKAR change model: research findings established that the use of a combined change management model such as Kotter's 8 step model and Prosci's ADKAR model of change management as a strategy, is very effective and produces better results. In this study, the components of the ADKAR model were embedded into the three stages of Kotter's model (creating the climate for change, engaging and enabling the organization, implementing and sustaining the change). The researcher therefore concludes that during change implementation, employees should be regarded as subjects (not objects) of change. The ADKAR model can be used to assess the individual readiness and also influence individual receptivity to change. Kotter's change management theory can then be used by management as a lens through which they ascertain employee's perspectives and attitudes towards change and also use it to create an environment that influences acceptance of change (Figure 6.2).

In practice, the study findings denote that change managers need to keep a constant check on both external and internal factors that put pressure on the records management programs to change (Figure 6.2). Factors such as user demands, organizational processes, competition, regulatory laws, standards, policies and procedures, may change mainly due

to technology. In today's world, technology is the driving force for major organizational changes. It has the potential to improve working processes, improve customer service delivery and increase productivity and efficiency. When these factors change, they affect the records management environment therefore a transition will be necessary in order to operate in a new efficient records management environment. Failure by managers to analyze the drivers (internal and external factors) for change will lead to inefficiencies, low productivity and consequently poor service delivery. It is therefore vital for land board managers to continuously assess recordkeeping practices in order to implement the necessary changes that will continue to improve the organizations' records management program.

According to Figure 6.2, managers operating in unproductive environments should first identify the cause for change and factors fueling the need to change. After this, the transition process commences with the application of change management strategies. During the transition (as shown in Figure 6.2), change managers should make use of the Kotter's 8 step model alongside with the ADKAR change model. Kotter's model can be used by management as a lens to see through and understand employees' perspective towards change using the ADKAR model. In that way change will be successfully implemented to achieve the desired records management environment.

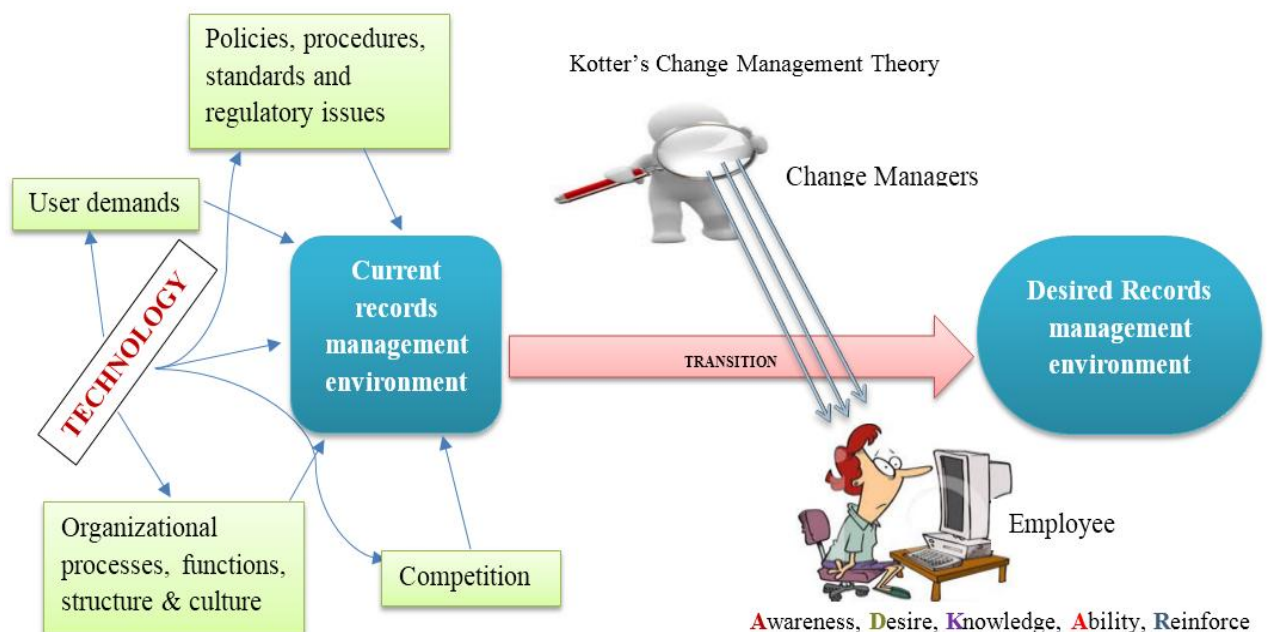


Figure 6.2: Change management lens.

As represented in Figure 6.2, the researcher opines that change managers will be able to determine what they need to put in place in order to ensure that employees are aware of the changes, have the desire, have knowledge, the ability and how to reinforce change. There is much to gain from these two models as land boards can use them to increase their success in implementing records management change initiatives. This type of approach as revealed from the study findings has the potential to decrease failure and increase the success rate of project implementation. For example, TLB has managed to have organized and accessible records through the use of colored files. Communication has enabled them to ensure that action officers use the right files all the time and abide by the records management policies and procedures.

6.5 Recommendations

In view of the findings presented in the preceding sections, the following recommendations are made:

6.5.1 Short-term

Though the following recommendations may be deemed as short term activities, it is vital for management and change champions to adopt these recommendations as continuous processes.

- **Communication**

The study showed that TLB is making good efforts in terms of communicating change taking place to its employees but there is need for improvement in this area. This study recommends that even though change initiatives are classified as records management projects, communication should be made to all employees in the organization regardless of their position or role in the project. Secondly, the change management team should clearly document, identify and communicate the roles of employee's right from the start of the project. This will ensure smooth transition of daily duties and improve productivity. Lastly, a comprehensive *communication plan* should be developed to ensure that all details regarding changes are timely communicated by the right person to the right personnel. TLB should also consider establishing a *house journal* where all updates are made about the changes taking place in the organization. This journal can be a monthly publication that will keep employees abreast with the changes taking place.

- **Training and coaching**

Training equips employees to produce better results. This study recommends that human resources managers and records managers collaborate during implementation of change initiatives. The combined efforts will enable effective implementation of training and

coaching tools which are fundamental for implementing changes in the organization. When employees are not adequately trained, they will lack skills and the ability to implement the required changes. A *training plan* should be established with adequate schedules, monitoring and evaluation tool, training facilitators and time frames to ensure that necessary knowledge and skills is imparted to end users during the change process. It was also noted that some personnel dealing with files had no prior training and no records management background. All individuals who are not records officers and have no records management background, should be trained on how to handle records so as to preserve and conserve their quality and authenticity for future use.

- **Motivation of change champions**

It is clear from the study findings that TLB does not celebrate change by recognizing success and does not hold any competitions to motivate change champions. Participants also indicated that they are motivated when rewards are given to those who perform best during change initiatives. It is therefore vital that the change management team considers various ways of reinforcing change through motivation of change champions. A systematic *reward system* should be established to cater for those who take change seriously and excel in the implementation process. The change management team should also be motivated by conducting *competition* amongst different land boards.

- **Reinforce changes**

It is clear from the research findings that TLB is lacking when it comes to ensuring that change sticks in the organization and employees do not backslide. Records managers and the change management team should consider having a *monitoring and evaluation tool* that will enable them to assess the progress of change implementation. *Adhoc training programs* should also be put in place to cater for new employees and improvement of skills for those who are not yet used to the new ways of doing things.

6.5.2 Long-term

These are recommendations that may not be achieved within a short period of time as they require planning, staffing, budgeting and implementation strategies.

- **Disaster Preparedness and response plan**

Tlokweng Land Board has succeeded in implementing necessary changes that make up a good records management program, but they have not yet implanted a disaster preparedness plan. Therefore there is urgent need for the records management committee to develop a disaster preparedness plan which will aid in the recovery of records should it be that a

disaster occurs. According to Queensland State Archives (2012), a disaster preparedness plan is a step by step process for protecting, preparing for and recovering from disaster events. Without a back up plan for disaster events, TLB is bound to lose their records and this will affect the implementation success of the LAPCAS project.

▪ **Implementation of MLH change management framework at land board level**

Due to the LAPCAS project which is ongoing across all land boards in Botswana, it is clear from the findings that TLB will continue to undergo some changes as a new records centre is going to be established, and once the LAPCAS project is fully implemented the classification scheme and file color codes may change. This implies that TLB, still has a long way to go in managing change and hence proper change management strategies must be put in place. It is therefore crucial that MLH trains and implements its change management framework at land board level. This will equip the change management teams at land board level and enhance the implementation success.

6.6 Further Research

The following areas are suggested for further research:

- This study was limited to Tlokweng Land Board only. Therefore, the numerous change activities implemented at TLB cannot be generalized to all land boards based on the findings of this study only. It is imperative that further research is conducted in all Botswana land boards to determine what changes they have implemented and what strategies are being used to implement those changes.
- Further studies should be carried out to assess the applicability and relevance of the MLH change management framework in the implementation of records management programs at land board level. Research can also assess how the MLH change management was used in the implementation of the LAPCAS project.
- Another study could assess land boards change readiness in Botswana: this will help determine if land boards in Botswana are ready to implement the new Land Information System under the LAPCAS project. This type of study will help MLH to evaluate whether land boards are ready to implement the new system and determine when and how to roll out the system to all land boards.
- Land boards play a vital role in the e-governance initiative and provision of quality services to the public in terms of land administration. In order to improve public service delivery in land administration, there is need to manage electronic records and also ensure that they

can be used in the court of law as evidence. Therefore further studies should be carried out to assess e-records readiness and e-discovery readiness in land boards.

- Further studies should also verify if the combination of Kotter's 8 step model and Prosci's ADKAR model are indeed applicable in the implementation of records management programs and establish their success rate.

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APPENDICES

Appendix 1– Interview Guide (Board secretary & Records Managers)

Title: *Exploring change management practices in the implementation of records management programs in the public sector in Botswana, with a view to propose an appropriate approach to change management.*

1. What are the records management programs implemented in the organization? When was that?
2. What is the status of these programs? Complete, ongoing, on hold?
3. What was your role in the implementation of these programs?
4. What influenced the implementation of these programs?
5. What were the expected benefits of the programs implemented?
6. What has been the impact of the new records management programs on the organization?
7. Did you communicate to the other staff to make them aware of the implementation? When; before, during or after the implementation?
8. What were the communication strategies in place to make the staff aware of the changes taking place?
9. Generally how do you train your staff in relation to program implementation?
10. What were the change management strategies and methodologies used to implement the programs? Were they beneficial?
11. What were the users' perceptions and/ attitudes towards the implementation of the new programs?
12. In your own view, did employees possess any of the following characteristics during the transition; confusion, resistance, fear/anxiety, frustration and backsliding? How did you deal with these situations?
13. Overall, how did the employees respond to change? Adopted or accepted, still learning, resisted?
14. In your opinion, can you say the implementation was successful?

15. What do you consider the success factors of a records management program implementation?
16. In the past, has failure to implement records management programs had an impact on service delivery?
17. In your opinion, do you think the transition into the new project was well handled by top management? Please explain further.
18. How did you reinforce the change in order to sustain it?
19. Were there any other challenges faced during the implementation?
20. If you were to implement all over again, what would you do differently?

Demographic information

- a. Department.....
- b. Gender.....
- c. Designation
- d. Qualification.....
- e. Years of service in that position.....

Appendix 2 – Questionnaire



Liah Shonhe
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I am a student (Liah Shonhe: 200904186) at the University of Botswana currently studying archives and records management at a master’s level. As part of the requirements for my degree, I am undertaking a study which aims at “*Exploring change management practices in the implementation of records management programs in the public sector in Botswana, with a view to propose an appropriate approach to change management*”. The results of this research will be used for academic purposes only as per the attached consent form. The identities of the respondents will be kept anonymous. Thus being said, I kindly request your assistance in answering the following questions.

Please Tick (√) where appropriate

Demographic information

- a. Department.....
- b. Gender.....
- c. Designation
- d. Qualification.....
- e. Years of service in that position.....

A. Changes taking place and expected benefits

Questions	Comments
1. Please list any of the changes taking place in the records management unit.	

2. What are the characteristics of the new records management programme	Strongly Agree	Agree	Disagree	Strongly Disagree	General Comments
The new records management programme reduces errors in land allocation					
The programme improves adherence to policies and procedures					
The new programme takes into account the management of electronic records					
The new records programme is more efficient than the old one					
The new records management programme leads to better customer service					

B. Creating a Climate for Change

Questions	YES	NO
Sense of Urgency and Vision		
3. Are you always aware of the changes taking place in the records management unit?		
4. Did management explain the need to change into the new records management programme?		
5. Do you understand the objectives, goals and vision of the records management programme?		
6. Do you understand the impact of change on the way you carry out your daily duties?		
7. When change in the records management unit was taking place, I had the desire to participate in the project implementation?		
Change Management Team		
8. Is there a change management team in your organization?		
9. Do you think the change leadership team is committed to the success of the records management programme?		
10. Do you think that your leadership team has the right people involved to make changes in the RMU successful?		

C. Engaging and enabling the whole organization

Questions	YES	NO	Comments
Communication			
11. A shared vision of the new programme was established and communicated			
12. I received personal communication pertaining to how the change would affect me			
13. My role in the process of change was clearly articulated			
14. The communication explained the business reasons why changes in records management were taking place			
15. The communication effectively prepared me for the change			

16. How regularly do you receive communication on the changes taking place in the RMU?

Once a month Quarterly Yearly Never

17. What is the most effective way for you to receive communications?

Memos E-mail Intranet Meetings Newsletter

Other (Please specify) _____

Empowerment and short term wins

18. Did you receive the necessary training and support to enable you to do your job more effectively? YES NO

19. Was training received during the project implementation adequate enough to enhance your knowledge and ability to handle the changes taking place? Agree Disagree

20. Do you feel motivated when management rewards you for a job well done during the implementation process? YES NO

D. Implementing and sustaining change

21. How do the management ensure that changes implemented are adhered to?	Please tick (✓) applicable answers	Comments
They create a sense of unity		
Continuous communication to remind employees about the vision of the new records management programme		
Hold employees accountable		
Conduct project reviews		

Ongoing training and coaching		
Celebrate the change by recognizing success		
Competitions to motivate change champions		

E. Employees Perspectives towards change

Questions	YES	NO	Comments
22. Awareness, Desire, Knowledge, Ability, Reinforcement			
Do you ever feel confused when you are not aware of what is going on in the organization?			
Do you ever resist changes taking place when you do not have the desire to participate?			
Do you ever have fear/anxiety when you do not have knowledge on how to change?			
Do you ever feel frustrated when you do not have the ability to implement required skills and behaviour to implement changes?			
Do you ever feel like backsliding to your old ways of doing things when managers do not reinforce the change?			
In your own opinion, would you be able to accept and adopt to changes if the following elements are all in place;	YES	NO	
a. Awareness of the need to change			
b. Desire to support the change			
c. Have the knowledge of how to change			
d. Have the ability to implement required skills and behaviour			
e. If management continuously support me to sustain the change			

Appendix 3 – Approval for Voluntary work

TEL: 3928277
FAX: 3925751
E- mail: tlokwenglb@info.bw



Private Bag T09
Tlokweng
Botswana

OUR REF: TLB 4/2/5 VI(11)

25 September 2015

Liah Mahara
P .O .Box 40847
Gaborone

APPLICATION FOR A JOB AS A VOLUNTEER-YOURSELF

Reference is made to the above captioned matter.

This brief communicate serves to inform you that your application have been successful. The voluntary attachment will commence on the 28th September 2015 to 31st December 2015.

Tlokweng Land Board will give you all the necessary support during the attachment period.

Batsho Nkhwa (Mr.)
For/Board Secretary

Vision: sustainable Human Settlement

MISSION: Management of Land and Delivery of Housing for Socio-economic Development.



Appendix 4 – Informed Consent Form

PROJECT TITLE: Change Management Practices in the Implementation of Records Management Programs: A Case Study of Tlokweng Land Board

Principal Investigator: Miss Liah Machara

Phone number(s): 77079147/74434813

What you should know about this research study:

- We give you this informed consent document so that you may read about the purpose, risks, and benefits of this research study.
- You have the right to refuse to take part, or agree to take part now and change your mind later.
- Please review this consent form carefully. Ask any questions before you make a decision.
- Your participation is voluntary.

PURPOSE

You are being asked to participate in a research study of “*Change Management Practices in the Implementation of Records Management Programs: A Case Study of Tlokweng Land Board*”. The purpose of the study is to contribute to the body of knowledge pertaining to change management and create a path for government departments to follow when implementing effective records management programs that will aid in enhancing public service delivery. You were selected as a possible participant in this study because your organization has been involved in the re-engineering of its recordkeeping practices and you exhibit the desired characteristics (i.e. managers and users of the records management programs) required to make this project a success. Before you sign this form, please ask any questions on any aspect of this study that is unclear to you. You may take as much time as necessary to think it over.

PROCEDURES AND DURATION

If you decide to participate, you will be invited to answer a questionnaire that will take 15 min or less. Or you may be required to answer a few question through face to face interview, which will be conducted according to the appointed time slots and they will be audio taped. The questionnaires shall be handed over to the respondent and collected within 7 days.

RISKS AND DISCOMFORTS

This research poses no risks to the participants.

BENEFITS AND/OR COMPENSATION: There shall be no monetary benefits. The study results will be beneficial to the organization as they can use the findings to rectify where there are challenges and use it as a benchmark in implementing future records management programs.

CONFIDENTIALITY: The researcher will only use collected data for educational purposes, therefore the participants' identity will not be disclosed to any third party. Participants will not be required to write their names on the questionnaires.

VOLUNTARY PARTICIPATION

Participation in this study is voluntary, but passionate participation is crucial for the collection of valid data. If you decide not to participate in this study, your decision will not affect your future relations with the University of Botswana, its personnel, and associated institutions. If you decide to participate, you are free to withdraw your consent and to discontinue participation at any time without penalty. Any refusal to observe and meet appointments agreed upon with the central investigator will be considered as implicit withdrawal and therefore will terminate the subject's participation in the investigation without his/her prior request. In this event the subject will be paid what is owed to him/her or forfeit a proportionate amount of relative payment mentioned earlier in this document. In the event of incapacity to fulfill the duties agreed upon the subject's participation to this investigation will be terminate without his/her consent and no compensation will be offered under these circumstances.

AUTHORIZATION

You are making a decision whether or not to participate in this study. Your signature indicates that you have read and understood the information provided above, have had all your questions answered, and have decided to participate.

Liah Machara _____

Name of Research Participant (please print)

_____ Date

Signature of Staff Obtaining Consent

Date

(Optional)

YOU WILL BE GIVEN A COPY OF THIS CONSENT FORM TO KEEP.

If you have any questions concerning this study or consent form beyond those answered by the investigator, including questions about the research, your rights as a research participant; or if you feel that you have been treated unfairly and would like to talk to someone other than a member of the research team, please feel free to contact the Office of Research and Development, University of Botswana, Phone: Ms. Dimpho Njadingwe on 355-2900, E-mail: research@mopipi.ub.bw, Telefax: [0267] 395-7573

Appendix 5 – MLH Research Permit

TELEPHONE: + (267) 3682000
TELEGRAMS: MERAPE
FAX: + (267) 3911591/3904826



MINISTRY OF LANDS AND HOUSING
PRIVATE BAG 00434
GABORONE
BOTSWANA

CMLH1/17/ 11 (23)

2015– 10- 19

Liah Machara

P.O. Box 40847

Gaborone

Dear Liah

APPLICATION FOR RESEARCH PERMIT BY LIAH MACHARA IN CHANGE MANAGEMENT PRACTICES IN THE IMPLEMENTATION OF ELECTRONIC RECORDS MANAGEMENT SYSTEMS

The above subject matter refers.

This letter confirms that Ms Liah Machara is granted permission to carry out a research on “change management practices in the implementation of electronic records management systems in Tlokweng Landboard .

We trust the reach Programme will be conducted in accordance with local and international in accordance with the local and international ethical norms and as per research guidelines of July 2004 issued by the office of the President.

Please be advised that all information obtained from Tlokweng Landboard would be solely for academic purposes, and nothing else

We request an oral presentation on the findings to the senior management and the final copy to be submitted to the ministry at the end of the research Programme.

The focal person for ministry is the head of Research Mr. Khawulani Ace Bachobeli.

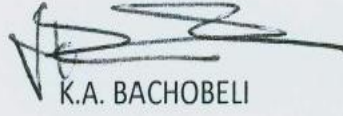
The following personnel are involved in the research:

- i) Ms Liah Machaba (Principal investigator)
- ii) Dr Balu Grand(Supervisor)

The research will be undertaken in the following areas: Tlokweng Landboard

The research will conducted in a period of ten(10) months, commencing on the 19th of October 2015to 30th August 2016.

Yours Sincerely,



K.A. BACHOBELI

19/5/2015

For/PERAMANENT SECREATARY

Appendix 6 – TLB Research Permit

TEL: 3928277
FAX: 3925751
E- mail: tlokweglb@info.bw

OUR REF: TLB 1/14/5 I (43)

Liah MACHARA
P. O. Box 40847
Gaborone

Dear Madam



Private Bag T09
Tlokweg
Botswana

October 26, 2015



REQUEST TO CONDUCT RESEARCH ON TLOKWENG LAND BOARD

Reference is made to your letter date October 19, 2015 the above subject.

Please be informed that your request to conduct research in Tlokweg Land Board on “Change management practices in the implementation of electronic records management systems’ has been acceded to.

You have been granted authority to conduct your research from October 26, 2015 to May 31, 2016. Please be advised that you will use information gathered from this exercise for the purpose of your research and will not, under any circumstances, be passed to a third person.

We wish you the best in your studies.

Yours Faithfully

W. Tibi
For Board Secretary



Vision: sustainable Human Settlement
MISSION: Management of Land and Delivery of Housing for Socio-economic Development.



Appendix 6 – ORD Research Permit (UB)



Office of the Deputy Vice Chancellor (Academic Affairs)

Office of Research and Development

Corner of Notwane
and Mobuto Road,
Gaborone, Botswana

Pvt Bag 00708
Gaborone
Botswana

Tel: [267] 355 2900
Fax: [267] 395 7573
E-mail: research@mopipi.ub.bw

Ref: UBR/RES/IRB/GRAD/232

18th February 2016

Permanent Secretary
Ministry of Lands and Housing
Private Bag 00434
Gaborone, Botswana

**RE: APPLICATION FOR A RESEARCH PERMIT: REQUEST FOR EXPEDITED APPROVAL:
LIAH MACHARA**

Since it is a requirement that everyone undertaking research in Botswana should obtain a research permit from the relevant arm of Government, The Office of Research and Development at the University of Botswana has been tasked with the responsibility of overseeing research at UB including facilitating the issuance of Research permits for all UB Researchers inclusive of students and staff.

I am writing this letter in support of an application for a research permit by Ms Liah Machara, who is a graduate student pursuing Master's Degree in Archives and Records Management at the Department of Library and Information Studies at the University of Botswana. Ms Machara has proposed to conduct a study titled "**Change Management Practices in the Implementation of Records Management Programs: A Case Study of Tlokweng Land Board**". The overall objective of the study is to explore change management practices in the implementation of records management programs at Tlokweng Land Board (TLB). The findings of this study may help managers in appreciating the need to manage change when implementing new systems or when carrying out projects that will result in change of the original day to day activities of an organization. Records managers may also use the findings in establishing a customized framework for change management and possibly use the knowledge as a baseline for further research.

The Office of Research and Development is satisfied with the process for data collection, analysis and the intended utilization of findings from this research. We will appreciate your kind and timely consideration of this application.

We thank you for your usual cooperation and assistance

Sincerely,




Dr M. Kasule
Assistant Director for Ethics, Office of Research and Development

Appendix 7- TLB Functional Classification Scheme

6. LAND MANAGEMENT

6/1 LAND BOARD ESTATE MANAGEMENT

	<i>New Ref</i>	<i>Old Ref</i>	<i>Security Level</i>	<i>Retention Period</i>
Assessment and Compensation	TLB 6/1/1	C/41	O	
Project Memorandum (Compensation)	TLB 6/1/2	NEW	O	
Land Acquisition	TLB 6/1/3	NEW	O	
Land Reservations	TLB 6/1/4	NEW	O	
State Land Allocation Advisory Committee	TLB 6/1/5	NEW	O	
Lease Management	TLB 6/1/6	NEW	O	

6/2 LAND ADJUDICATION

	<i>New Ref</i>	<i>Old Ref</i>	<i>Security Level</i>	<i>Retention Period</i>
Appeals Management	TLB 6/2/1	NEW	O	
Appeals (individual files)	TLB 6/2/2	A/5...	O	
Disputes(Individual files)	TLB 6/2/3	NEW	O	
Complaints Management (common-law)	TLB 6/2/4	NEW	O	
Complaints Management (customary)	TLB 6/2/5	A/3		
Land Tribunal Judgments(other land boards)	TLB 6/2/6	NEW	O	
Legal Advice	TLB 6/2/7	C/68	O	
Reconsiderations	TLB 6/2/8	NEW	O	
Appeals (individual files)/per 0000	TLB 6/2/9	NEW	O	
LEGAL REPORTS	TLB 6/2/10	NEW	O	

6/3 LAND /APPLICATION-COMMON LAW

	<i>New Ref</i>	<i>Old Ref</i>	<i>Security Level</i>	<i>Retention Period</i>
Common Law Recommendations	TLB 6/3/1	Not for TLB	O	
RESIDENTIAL (Holding file)	TLB 6/3/2	A/7	O	

RESIDENTIAL (Individual files)	TLB 6/3/2-7/07	B/9/....	O	
COMMERCIAL (Holding file)	TLB 6/3/3			
COMMERCIAL (Individual files) (saloon, boutique ,restaurant, butchery, fresh produce, filing station, furniture shop, chibuku depot, shopping complex, phone shop, bottle store, bar, hardware, dry clean, pharmacy, mortuary)	TLB 6/3/3-8/99	B/5/...	O	
INDUSTRIAL (Holding file)	TLB 6/3/4		O	
INDUSTRIAL (Individual files) (welding workshop, brickmoulding, clothing manufacturing, mechanical, sorghum milling, warehouse, scrap yard, plumbing, carpentry)	TLB 6/3/4	B/6/...	O	
CIVICAND COMMUNITY (Holding File)	TLB 6/3/5		O	
CIVIC AND COMMUNITY (Individual files)	TLB 6/3/5	B/8....	O	
AGRICULTURE (Holding File)	TLB 6/3/6		O	
AGRICULTURE (Individual files)	TLB 6/3/6	B/3...	O	
Tourism (Holding File)	TLB 6/3/7	NOT FOR TLB	O	
Tourism (Individual files)	TLB 6/3/7	NOT FOR TLB	O	
CEDA Young Farmers Applications/Youth grants	TLB 6/3/8	B/10 C	O	
Mining and Prospecting(burrow pits)	TLB 6/3/9	B/10	O	
Illegal occupation	TLB 6/3/10	NEW	O	
Deferred Applications	TLB 6/3/11	NEW	O	
Rejected Applications	TLB 6/3/12	NEW	O	
Common-law enquiries	TLB 6/3/13	B/10/A	O	
Remote area dwellers	TLB 6/3/13	NOT FOR TLB	O	

6/4 LAND ALLOCATION/APPLICATION-CUSTOMARY

6/4/1 PLOUGHING FIELDS

	<i>New Ref</i>	<i>Old Ref</i>	<i>Security Level</i>	<i>Retention Period</i>

Land allocation (customary)	TLB 6/4/1		O	
Approved applications (individual files)	TLB 6/4/1-01/11		O	
New applications(per village)	TLB 6/4/1/1-1	Not for TLB	O	
Transfer- Inheritance(unregistered plots, deceased)	TLB 6/4/1/2	A/11	O	
Rejected Applications	TLB 6/4/1/3	NEW		
Deferred applications	TLB 6/4/1/4	NEW		
Ploughing fields Enquiries	TLB 6/4/1/5	A/3		
Illegal field occupation	TLB 6/4/1/6	NEW		
Ploughing fields registration	TLB 6/4/1/7	NEW		
Special applications	TLB 6/4/1/8	NEW		
Cluster fencing Remote Area Dwellers	TLB 6/4/1/9	NEW		
Cancelled /withdrawn applications	TLB 6/4/1/10	NEW		

6/4/2 RESIDENTIAL PLOTS

	<i>New Ref</i>	<i>Old Ref</i>	<i>Security Level</i>	<i>Retention Period</i>
Approved applications (individual files)	TLB 6/4/2-01/11	PLOT NUMBERS		
New Applications (per village)	TLB 6/4/2/1	A/7	O	
Transfer- Inheritance(unregistered plots, deceased)	TLB 6/4/2/2	A/11		
Rejected Applications	TLB 6/4/2/3	NEW		
Deferred applications	TLB 6/4/2/4	NEW		
Residential Plots Enquiries	TLB 6/4/2/5	A/10	O	
Illegal residential occupation	TLB 6/4/2/6	NEW		
Infill (per village)	TLB 6/4/2/7	NEW		
Residential registration	TLB 6/4/2/8	NEW		

Remote area dwellers	TLB 6/4/2/9	NOT FOR TLB		
Cancelled /withdrawn applications	TLB 6/4/2/10	NEW		
Special Applications OPENED 27/06/12	TLB 6/4/2/11	NEW		
Land Allocations OPENED 27/06/12	TLB 6/4/2/12	NEW		

6/4/3 WATER RIGHTS

	<i>New Ref</i>	<i>Old Ref</i>	<i>Security Level</i>	<i>Retention Period</i>
Approved applications (individual files)	TLB 6/4/3-01/11	NEW	O	
New Applications (per village)	TLB 6/4/3/1	NEW	O	
Transfer- Inheritance(unregistered plots, deceased)	TLB 6/4/3/2	A/11	O	
Rejected Applications	TLB 6/4/3/3	NEW	O	
Deferred Applications	TLB 6/4/3/4	NEW	O	
Points Enquiries	TLB 6/4/3/5	NEW	O	
Illegal water points occupation	TLB 6/4/3/6	NEW	O	
Water points registration	TLB 6/4/3/7	NEW	O	
Cancelled /withdrawn water points applications	TLB 6/4/3/8	NEW	O	

6/4/4 DWELLING HUTS

	<i>New Ref</i>	<i>Old Ref</i>	<i>Security Level</i>	<i>Retention Period</i>
Approved applications (individual files)	TLB 6/4/4-01/11	NEW	O	
New Applications (per village)	TLB 6/4/4/1-1		O	
Transfer- Inheritance(unregistered plots, deceased)01	TLB 6/4/4/2	A/11	O	
Rejected Applications	TLB 6/4/4/3	NEW	O	
Deferred Applications	TLB 6/4/4/4	NEW	O	
Dwelling huts Enquiries	TLB 6/4/4/5	NEW	O	
Illegal Dwelling huts occupation	TLB 6/4/4/6	NEW	O	
LOANS huts registration	TLB 6/4/4/7	NEW	O	
Cancelled /withdrawn water points applications	TLB 6/4/4/8	NEW	O	

6/4/5 KRAALS

	<i>New Ref</i>	<i>Old Ref</i>	<i>Security Level</i>	<i>Retention Period</i>
Approved applications (individual files)	TLB 6/4/5-01/11	NEW	O	
New Applications (per village)	TLB 6/4/5/1		O	
Transfer- Inheritance(unregistered plots, deceased) KRAALS	TLB 6/4/5/2	A/11	O	
Rejected Applications	TLB 6/4/5/3	NEW	O	
Deferred Applications	TLB 6/4/5/4	NEW	O	
Kraals Enquiries	TLB 6/4/5/5	NEW	O	
Illegal Kraals occupation	TLB 6/4/5/6	NEW	O	
Kraals	TLB 6/4/5/7	NEW	O	
Cancelled /withdrawn kraals applications	TLB 6/4/5/8	NEW	O	

6/5 LAND MANAGEMENT PROJECTS

	<i>New Ref</i>	<i>Old Ref</i>	<i>Security Level</i>	<i>Retention Period</i>
Land Administration Procedures Capacity and Systems (LAPCAS)	TLB 6/5/1	C/234	O	
Tribal Land Integrated Management System (TLIMS)	TLB 6/5/2	C/107 B	O	
State Land Information Management System (SLIMS)	TLB 6/5/3	NEW	O	
BOTSWANA GEOGRAPHIC LAND INFORMATION SYSTEMS (BGLIMS)	TLB 6/5/4	NEW		

6/6 LEGISLATION POLICIES AND PROCEDURES

	<i>New Ref</i>	<i>Old Ref</i>	<i>Security Level</i>	<i>Retention Period</i>
Tribal Land Grazing Policy	TLB 6/6/1	C/21	O	
Tribal Land Act	TLB 6/6/2	C/166	O	
Compensation Guidelines	TLB 6/6/3	NEW	O	

Deeds Registry Act	TLB 6/6/4	NEW	O	
Forest and Range Resources Act	TLB 6/6/5	NEW	O	
Communal area Planning and Development Policy	TLB 6/6/6	NEW	O	
Allocation policy	TLB 6/6/7	C/215	O	
Extraction of natural resources policy	TLB 6/6/8	C/96	O	

6/7 MEETINGS AND MINUTES

<i>File Name</i>	<i>New Ref</i>	<i>Old Ref</i>	<i>Security Level</i>	<i>Retention Period</i>
Schedule of Land Board Meetings	TLB 6/7/1	NEW	O	
Land Board Agenda/ Itinerary	TLB 6/7/2	C/34	O	
Action Sheet	TLB 6/7/3	NEW	O	
Land Board Kgotla Meetings	TLB 6/7/4	A/58	O	
Land Board Minutes	TLB 6/7/5-09	C/23A	O	
Public Notice	TLB 6/7/6	C/142	O	

6/8 REPORTS

	<i>New Ref</i>	<i>Old Ref</i>	<i>Security Level</i>	<i>Retention Period</i>
Allocations Reports	TLB 6/8/1	NEW	O	
	TLB 6/8/2	NEW	O	
Youth Allocation reports	TLB 6/8/3	NEW	O	
Investigations Reports	TLB 6/8/4	NEW	O	
Range Assessment Reports	TLB 6/8/5	NEW	O	
Technical Reports	TLB 6/8/6	NEW	O	
Development Covenant Reports	TLB 6/8/7	NEW	O	

6/9 SURVEY AND MAPPING

	<i>New Ref</i>	<i>Old Ref</i>	<i>Security Level</i>	<i>Retention Period</i>
Base maps	TLB 6/9/1	NEW	O	

Land Demarcation	TLB 6/9/2	NEW	O	
Land Surveying	TLB 6/9/3	NEW	O	
Land Use Plans	TLB 6/9/4	C/24	O	
Layout Plans	TLB 6/9/5	NEW	O	
District Land Use Planning Unit(DLUPU) (Own District)	TLB 6/9/6	C/12	O	
District Land Use Planning Unit(DLUPU) (Other District)	TLB 6/9/7	NEW	O	
Land Boundaries	TLB 6/9/8	NEW	O	
Physical Planning	TLB 6/9/9	C/162	O	
Village Development Plans	TLB 6/9/10	C/160	O	
District Development Plans	TLB 6/9/11	C/133	O	
Integrated Land Use Planning	TLB 6/9/12	NEW	O	
Law Molfs Investments	TLB/6/9/13	NEW	0	

Appendix 8 - Land Rights Claim Form



REPUBLIC OF BOTSWANA
MLH 9/15

Land Rights Claim Form

Land Board/Sub Land Board _____

.....District Claim No.:

LOT No.:(where available)

Ward, Village.....

I.

(a) Citizen Claimant

Surname: _____ Forenames: _____

Previous name(s), if any: Surname: _____ Omang/Passport _____

Postal Address _____

Tel. _____ Cell: _____ Email: _____

(b) If married, details of spouse

Surname: _____ Forenames: _____

Tel. _____ Cell: _____ Omang/Passport No: (if non-Citizen): _____

(c) Company/Organisation Claimant

Company Name: _____ Company Registration No: _____

Representative's Surname: _____ Forenames: _____

Postal Address _____

Tel. _____ Cell: _____ Omang/Passport No: (if non-Citizen): _____

Representative, where applicable:

Surname: _____ Forenames: _____

Omang/Passport No: (if non-Citizen): _____

Tel. _____ Cell: _____ Email: _____

If transfer is pending, give full names and telephone of previous owner:

Surname: _____ Forenames: _____

Omang/Passport No: (if non-Citizen): _____ Tel: _____ Cell: _____

If no evidence, how and when plot was acquired:

I, the undersigned, understand that providing false information to a public officer is an offence.

Signature: _____ Date: _____ / _____ / _____

Claimant/Representative

DD/MM/YYYY