ASSESSEMENT OF RECORDS PROCESSING AND STORAGE SYSTEM AT KAMPALA CAPITAL CITY AUTHORITY REGISTRY.

BY

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A DISSERTATION SUBMITTED TO THE COLLEGE OF COMPUTING AND INFORMATION SCIENCE, EAST AFRICAN SCHOOL OF LIBRARY AND INFORMATION SCIENCE OF IN PARTIAL FULFILMENT FOR THE AWARD OF DEGREE OF RECORDS AND ARCHIVES MANAGEMENT OF MAKERERE UNIVERSITY.
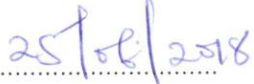
JUNE, 2018

DECLARATION

I ANDINDA SHIFRA, declare that this work has never been presented to any university, college or institution for any award.

Signature……………………………………Date 25ᵗʰ June 2018

APPROVAL

This is to certify that this study has been successfully completed under my supervision and is now ready for submission to the academic board with my due approval.

Signed..Date 25/06/2018

Dr. David Luyombya

Makerere University

DEDICATION

I dedicate this research to my parents Mr. and Mrs. Rwasti Noah for their endless care and tireless parental and financial support. May God bless them abundantly.

ACKNOWLEDGEMENT

I thank the administration of Makerere University, especially the East African School of Library and Information Science for their inputs which have positively shaped my skills and attitudes to face the challenges in the world.

Special thanks to my supervisor Dr. David Luyombya for his continuous guidance and correction that helped me to carry out this research successfully.

I thank the participants who were involved in the study willingly for making an invaluable input to this study. My God bless them abundantly.

Finally I give thanks to the almighty God for granting me the gift of life, knowledge, faith and strength to enable me complete this dissertation.

Table of contents

List of tables

List of figures

ABSTRACT

The purpose of this study was to assess the records processing and storage system at Kampala Capital City Authority, the specific objectives were; to investigate the current state of records processing and storage at Kampala Capital City Authority, to identify problems associated with records processing and storage at Kampala Capital City Authority and to propose the need for proper records processing and storage at Kampala Capital City Authority. The involved qualitative methods of data collection and analysis using interviews and observations. Twenty respondents were interviewed in this study and they who included; Senior records officer, Assistant records officer, Office messengers and Secretaries. Results showed that; Different kinds of records were found being stored at KCCA ranging from electronic to paper record such as minutes of annual general meetings, service delivery within the KCCA boundaries, payroll, purchase orders, list of machines and equipment, employee's registers, position and title of each employees, schedule of the organization activities, remuneration of employees, tax records, accounting records. The problems faced were both financial and organizational such as limited finance, poor attitude of record management staff on record keeping, lack secure storage cabinets and damp free storage areas, there is even a problem of pest infestation and limited polices and guidelines for the access of records. The need for proper records included easy access, organization achievement of efficiency, economic benefit, saves time and money through training and management. The study recommended that; KCCA should carry out scheduled trainings for records management staff to enhance good knowledge in records management; Storage cabinets and increased space should be enhanced at KCCA registry to easily store and handle huge documents generated at KCCA and Increased finance by KCCA to records management department and proper guidelines implementation on the access of registry documents.

CHAPTER ONE: INTRODUCTION

1.1 Introduction

This chapter presents the background, statement of the problem, study objectives, research questions scope of the study and significance of the study

1.2 Background of the study

1.2.1 Background of the organization

Kampala Capital City Authority (KCCA) is the legal entity, established by the Ugandan Parliament that is responsible for the operations of the capital city of Kampala in Uganda. It replaced the Kampala City Council (KCC).

The primary function of records processing and storage is to facilitate the free flow of records through an organization, to ensure that information is available rapidly where and when it is needed (Milituni, 2017). To carry out this function needs an efficient, effective records storage and retrieval management program (Meek, 2015). By helping the users to do their jobs better and more easily, the records manager serves the company (Yusof & Mokhtar, 2015). Given that an organization's records are unique to it, they need to be managing explicitly, just as the organization would store its other resources i.e. its people, money and estate (Meek, 2015).

Any organization established, public or private needs to document its activities and this can only be done by creating records (Yusof & Mokhtar, 2015). Records contain information relating to organization's activities captured in reproduction from during the organization course of administration (Saffady & Risks, 2005). Records display and confirm the decision taken, the actions carried out and the results of such actions, they support policy formation and management decision making, it protects the interest of the organization, the right of the employers, clients' citizens and help the organization to conduct its business and deliver its services in consistent and equitable ways (Aruleba, Akomolafe, & Afeni, 2016).

Records pro storage is crucial to all organization: Unless records are managed efficiently, it is not possible to conduct business, to account for what has happened in the past or to make decisions about the future. Records are a vital corporate asset and are required to provide evidence of action and decisions (Chavez-borja, 2002).

Without proper information, a decision maker is never certain about the outcome of her decision according to (Saffady & Risks, 2005) and since the record management is the concern information, must flow throughout the organization in such a way that it can be tapped where it is needed. This can be possible in the presence of a good records management system (Milituni, 2017). However, the contribution of record processing and storage in administration at Kampala Capital City Authority is an area of growing concern and must be very poor in the near future than it is now which paves aground for this study.

1.2 Problem statement

Records plays a very significant role in an organization. It is increasingly used as a corporate resource to improve productivity, efficiency and effectiveness. One as evidence of organization, functions, policies, procedures, operations and internal or external transactions, and valuable because of the information it contains (Meek, 2015). Such evidences are often available for employees to update or familiarize themselves with the normal operation of their organization. Ignorance of such documents may affect the competitive performance of an organization. This implies that records are used as strategic weapon to gain a competitive advantage (Milituni, 2017). Kampala Capital City Authority seems to have no good record processing and storage (Meek, 2015). The records storage is very poor evidenced by missing documents and improper filing systems (Musoke, 2010). Proper records management gives opportunity for promotions, pay increase and other motivations enjoyed by the employees and the management (Bigirimana, Jagero, & Chizema, 2015). These challenges motivated the researcher to assess records processing and storage at Kampala Capital City Authority.

1.3. General objective

To assess the records processing and storage system at Kampala Capital City Authority.

1.3.1 Specific objectives

1. To investigate the current state of records processing and storage at Kampala Capital City Authority.
2. To identify problems associated with records processing and storage at Kampala Capital City Authority.
3. To propose the need for proper records processing and storage at Kampala Capital City Authority.

1.4. Research questions

1. What is the use of records processing and storage at Kampala Capital City Authority.
2. What problems are associated with records processing and storage at Kampala Capital City Authority.
3. Why is there need for proper record processing and storage at Kampala Capital City Authority?

1.5 Significance of the study.

1. The finding of the study shall not only be beneficial to the staff at Kampala Capital City Authority but to the entire ministries of the republic of Uganda.
2. The study provides insights into the contribution of records processing and storage on the Authority performance. It also creates new methods and principles of records processing storage to aid the ministry in decision making.
3. The study shall benefit archivists to understand proper methods of record storage which enhances their organizations efficiency.
4. Knowledge obtained from this study will help other people in record management to understand better record keeping methods.
5. The study shall enhance safety and prevent the loss of the records at Kampala Capital City Authority.

1.6 Scope of the study

The scope of the study include; the contextual scope, geographical scope and the time scope

1.6.1 Contextual scope

The study covered relevance of effective records storage and processing; problems associated with records storage and processing and the effect of proper records processing and storage on the performance of at Kampala Capital City Authority.

1.6.2 Geographical scope.
The study covered the records department at Kampala Capital City Authority.

1.6.3 Time scope
The research was conducted in a period of two month: that's March 2018 to May 2018.

CHAPTER TWO: LITERATURE REVIEW

2.0 Introduction

This chapter presents the reviewed literature in relation to the study objectives and ends with the identified research gap which the study aims to fill.

2.1 Examining the state of records processing and storage

According to Aruleba et al., (2016) the importance of records processing is increasingly being recognized in organizations. It is therefore the responsibility of records managers to ensure that they gain the attention of decision-makers in their organizations. Gaining recognition is all about convincing management of the role of records storage as enabling unit in an organization.

Employees require information in order to carry out their official duties and responsibilities efficiently and effectively in a transparent manner. Records represent major sources of information and are almost the only reliable and legally verifiable source of data that can serve as evidence of decisions, actions and transactions in an organization (Saffady & Risks, 2005). According (Aruleba et al., 2016) the role of records storage is to ensure that members of staff involved in different operations have the information they need, when necessary.

According to Unegbu, (2013) a creation guide gives advice on how to make records that will meet organizational needs and how to document the filing system, record plan. This guide helps in describing different types of records, knowledge and training needed by all staff regardless of activities performed.

- Paper based records; in this format, information is recoded on any form of paper to support operational activities.
- Image records; this is where information is recorded in microform such as microfilms.
- Digital based records; these include information captured and recorded in digital form either on optical discs or magnetic discs.

Thomas Norris et al., (2002) during their study in Mengo and Mulago hospital, they accepted that types of records are administrative which are regularly needed in the day today function of the organization activity considered as vital records to these hospitals. For example staff reports, appointment letters, minutes of meetings from ministry of health, policies, guidelines, memos on how health services are conducted.

- Patient records; these include all information captured on patients, clients in the hospitals like laboratory reports, registration forms, treatment and counselling records.
- Financial records; these are records which document financial matters of the hospital and have fiscal value to the hospital and are generated by the accountant, auditors, cashiers like budgeting records, receipts, purchase orders and pay rolls.

There are a number of records that an association should keep as a matter of good policy and sound administration in ministries (Read, Ginn, & Ph, 2011b). Some records are required to be kept by law such as members' registers and employment and tax records. an up-to-date register of all members, including their nominated contact information; an up-to-date version of the rules; an up-to-date list of the names and addresses of people who are office holders under the rules of the association, including committee members, any trustees and those authorized to use the common seal; accounting records that correctly record and explain the financial transactions and position of the association in such a manner that allows true and fair accounts to be prepared; and every disclosure of interest made by a committee member to be recorded in the minutes of the meeting at which the disclosure was made (TAGBOTOR, ADZIDO, & AGBANU, 2015).

Among the other purpose Bigirimana et al., (2015); Chavez-borja, (2002), **records filing** records also act as raw materials for research in various disciplines, including science research, which is an important ingredient of socio-economic development. Furthermore, records can be used as an information resource for strategic planning

purposes. The service provided by records management is therefore of vital importance to both employees (end users) and organizational success. As outlined earlier, the primary function of records management is to facilitate the free flow of records throughout the entire organization. Most importantly, it remains the function of records management to ensure that an organization's records are safe for future reference (Unegbu, 2013). According to Abdulazeez, Abimbola, Timothy, & Linda, (2015) the role of records processing is that it acts as a control system that reinforces other control systems such as internal and external auditing. The record environment that allows opportunities to commit fraud, once fraud, once fraud is detected; records can provide a trail for investigators to track the root of corruption. However, for records to be useful in this capacity, they must be accessible. According to (Webster, Hare, & Mcleod, 1999), organization kept records for information retrieval, evidence of organization's activities and compliance with regulations. In support of (Webster et al., 1999).

Records storage. Without divorcing themselves from the above scholars, (Chinyemba, 2005)further explored the role of records management in an organization as follows: to avoid the cost of litigation or failure to comply with regulatory bodies; to prevent the loss of intellectual property or loss of corporate learning/ corporate memory; to prevent loss of information from disasters or theft and ensuring business continuity; to maximize the efficiency of operation and usage of information (Joseph, Debowski, & Goldschmidt, 2012). To respond in a timely and effective way to requirements of customers; to promote executives and their organizations from loss of reputation and credibility with the general public, customers etc. by demonstrating good practice and providing accountability for their actions (Joseph et al., 2012). Records need to be recognized as a vital and reusable asset, a source of content of content, context and knowledge (Norris, 2002). Organizations are currently involved in knowledge management. Records management should be seen as an enabling/support function towards knowledge management. The argument should be that without records, an organization would lose a wealth of knowledge produced by its employees during daily operation.

Records security. In the absence of strong records processing and storage systems, documents can easily be disorganized, concealed, lost, stolen, destroyed or otherwise tampered with. The loss or inaccessibility of documents results in increased opportunities for corruption and fraud to flourish. According to Joseph et al., (2012) it remains the duty of records managers to make other employees in their organizations aware of the importance of information in general and records in particular in supporting decision-making, accountability and good governance. According to Cowling (2003), evidence of past action is the basis of all forms of accountability; it is captured as records. For records to retain their value as evidence, they need to be preserved and managed. Storage needs to cover the whole life cycle of the records produced, irrespective of format.

2.2 Problems are associated with records processing and storage.

According to Chinyemba, (2005) the problems facing records processing and storage included lack of qualified staff such as a records manager and archivist; Lack of records management policies and procedures; Records management costs that are not immediately apparent. Cost may only become significant over a period of time and thus not attract management's attention and Limited resources to implement a system according to requirements (legislation).

According to Chavez-borja, (2002) limited guidelines was cited as the major problem to record storage and retrieval; employees need guidelines to manage all the information resources on their desktops, in their files, and in the computer systems with which they interact. Further, they need to determine which of those information resources are records and how much of that information is subject to open records laws.

Although mandated by governments (Bigirimana et al., 2015), records storage has been unevenly implemented with few agencies devoting a full-time position to the task. Even then, the job of records management has been driven by the need to destroy vast amounts of paper rather than to systematically control, manage, and use information and knowledge of the agency. As budgets have tightened and governments have turned to technology to "do more with less," e-mail, Web portals, databases, and other electronic

applications have been typically implemented without regard for managing the information or for ensuring the creation and preservation of records.

The electronic office poses unique challenges to recordkeeping (Webster et al., 1999). As noted in a previous section of this paper (Joseph et al., 2012), the most essential qualities of a record are that it is authentic and that its content is fixed over time. In other words, people must have confidence that a record is what it says it is. Electronic records, unfortunately, do not intrinsically inspire this confidence in the same way that paper records do. The ease with which electronic documents can be created, altered, accessed, duplicated, and shared jeopardizes their value as records. Ironically, the most appealing aspects of creating electronic documents are what weaken our confidence in electronic records.

In a study that examined the challenges of Record storage and processing in two Health Institutions in Lagos State Nigeria, Abdulazeez et al., (2015), where the specific objectives include: to investigate the challenges being faced in handling health records by the surveyed health institutions in Lagos State; and to suggest some solutions on the preservation and conservation of health records in the surveyed health institutions in the State, the findings showed that the major challenges faced in handling health records in the surveyed hospitals include: poor funding, inadequate computer and other ICT devices, poor skill in computing, harsh environmental conditions, lack of preservation and conservation policy.

2.3 Proper records processing and storage

Being organized and proper filing systems are some of the proper record processing and storage recommendations since records are indispensable to the efficient and economic operation of organizations. They serve as organizational memory, the evidence of past events and basis for future action. When created, maintained and disposed of in a systematic and orderly fashion, records are tremendous assets to an organization (Webster et al., 1999). Records are invaluable. Keeping complete records from the beginning can save time and money (Chinyemba, 2005).

Records are also viewed as an important tool to ensure that obligations of an organization are met. Furthermore, they are also of value for reference and management decisions (Callaghan & Groves, 2015). Accuracy of records will also prevent excessive residues by ensuring that withdrawal time has been met (Webster et al., 1999). A good records management system should be brief, understandable and easy to update.

Enabling organizations to keep track of its progress records show whether sales are up to or down, which clients are spending and which are not and whether any changes are needed (Gledhill, 2015). Without adequate documentation, making reliable business forecasts or looking back to see where an organization has been successful in the past is considerably more difficult.

Fundamental to the preparation of financial statements, all organizations rely on their financial statements to decide on future action. Financial statements are necessary when dealing with banks and creditor and also allow for quick and systematic access to information on assets, liabilities and equity related organization; reliable source to identify the source of income Organizations receive money and property from a variety of source on a regular basis (Gingrich & Morris, 2006). By using accurate records, they can identify where their various receipts come from and separate non-business receipts from taxable income.

According to Tagbotor, Yao, Adzido, & Agbanu, (2015) records acts as supplement to organizational memory. Without an adequate records management system, organizations would not be able to claim deductible expenditure. When tax falls due, it could be a loss, which could be particularly detrimental to organizations. Records are therefore of crucial importance to any organization's tax returns. They need to reflect the income, expenditure and credits that organizations note on their tax returns. Furthermore, keeping good records will ensure that organizations have accurate figures available for official inspection at all times. This would also help during auditing and financial reporting.

According to Ngulube & Tafor, (2006) a sound records processing and storage programme has the following effects in the organization; information will be easily accessible to and retrievable by any authorized users; productivity will be improved and

costs reduced through easier access to records and less time spent looking for information; more timely, better management decisions are likely to be achieved if a complete source of information is readily available; accountability will be improved; the organization will be able to meet legal commitments concerning the management of recorded information, including responding to requests based on freedom of access to information and Improved information integrity and preservation of corporate memory will be possible.

All organizations need to manage the information they create and accumulate in the course of their activities. Without good information processing and storage, no institution can function efficiently since legal, financial and administrative transactions must be documented and the reference and research requirements of the institution need to be served (Franklin, 2009). Poor information management means that organization may lose part or all of their corporate memory; records documenting the development of functions and data on research carried out may be destroyed or misplaced. Surviving material may be without order and control, thus losing its value as evidence and resulting in over- dependence on individual memory. Such lack of control results in loss of accountability for an organization's actions. Corruption and mismanagement in relation to problems of time and cost are likely to occur (Tagbotor et al., 2015). According to Legodi, (2011) it not only cost business more money, such as that spent on purchasing of additional filing cabinets, files folders and additional off-site storage, but business also loses efficiency and staff time when records cannot be quickly located and retrieved as they are needed. In summary, planning for and investing in the management of recorded information will result in improved customer service and lower cost.

2.4 Research gap

Organizational record processing and storage is vital in almost all aspects of its daily activities such as finance, administration etc. but most of the researchers have concentrated so much on record storage importance rather than the processing and its importance so this study will try to bridge the gap mostly on processing of information/record hence the need for this study.

11

CHAPTER THREE: METHODOLOGY

3.0   Introduction

This chapter presents the following sections which include; research design, area of study, study population, sample size, sample selection, data collection methods, data quality control and how data will be analyzed.

3.1 Research design

The research design refers to the overall strategy that a researcher chooses to integrate the different components of the study in a coherent and logical way, thereby, ensuring you will effectively address the research problem; it constitutes the blueprint for the collection, measurement, and analysis of data.The study adapted a case, descriptive design which was meant to assess records processing and storage at KCCA registry. The design will be chosen because the population was studied at one point in time. This was vital in obtaining in-depth data. The study applied qualitative methods of research to draw a clear understanding of the topic under study.

3.2 Study population

The study population included the staff in records department at KCCA. The study used 20 respondents who were selected purposively, 1 senior records officer, 1 assistant records officer, 10 office messengers and 8 secretaries.

3.3 Sample Size

Item	Designation	Sample size (n)	Sampling Technique
1	Senior records officer,	1	purposive
2	Assistant records officer,	1	Purposive
3	Office messengers	10	Random
4	Secretaries.	8	Random
5	**Total**	**20**	

3.3.2 Sampling techniques

The researcher used simple random sampling to select the study participants and this is where all the respondents had equal chances of being selected to select secretaries and office messengers and purposive sampling to select senior records officer and assistant records officer. The researcher then collected data from each element in the selected sample of the study population using an interview guide.

3.4 Methods and tools of Data Collection

This involved methods that were used to collect data and the tools that were used.

3.4.1 Methods of data collection

3.4.1.1 Observations

Observational techniques are methods by which an individual or individuals gather first hand data on programs, processes, or behaviors being studied. They provide evaluators with an opportunity to collect data on a wide range of behaviors, to capture a great variety of interactions, and to openly explore the evaluation topic. By directly observing operations and activities of record processing and storage, useful conclusions were drawn. Observational approaches also allowed me to learn about things the participants may be unaware of or that they are unwilling or unable to discuss in an interviewer.

3.4.1.2 Interviews.

An interview is a dialogue between a skilled interviewer and an interviewee. Its goal is to elicit rich, detailed material that can be used in analysis. Interview shall be conducted which shall be characterized by extensive probing and open-ended questions. The interview guide shall be prepared that includes a list of questions or issues that are to be explored and suggested probes for following up on topic. The guide helped me pace the interview and make interviewing more systematic and comprehensive, this was carried out with record management staff.

3.4.2 Data collection tools

An observation guide and interview guides were used to collect data for use in analysis.

3.5 Data quality control: Validity and Reliability of the measuring instruments.

3.5.1 Reliability.

Reliabilityrefers to the degree to which an assessment tool such as interview guide produces stable and consistent results. The reliability of the questionnaire was established by carrying out a pilot study. The extent to which results are consistent over time and an accurate representation of the total population under study is referred to as reliability and if the results of a study can be reproduced under a similar methodology, then the research instrument is considered to be reliable. The pilot study was carried out within Makerere University just like 10 respondents. This enabled the researcher to ensure that the questions are prompting the type of responses he expects. Results realized were discussed with the supervisor who then accepted the content reliability of the instrument.

3.5.2 Validity

Validity refers to how well a scientific test or piece of research actually measures what it sets out to, or how well it reflects the reality it claims to represent.Validity was established by bringing in experts such as the supervisor in order to check or provide guidance on the data collection tools. Validity determines whether the research truly measures that which it was intended to measure or how truthful the research results are.

3.6 Data analysis

This the study was purely qualitative, the qualitative data was analyzed using thematic analysis methods. The themes were selected from prior set research questions. This method enabled the researcher to provide a chronological flow of the research findings, interpretations and conclusions. This was helpful because it captured people's reality and experiences about record processing and storage.

3.7 Ethical considerations

The study upheld at most ethics during its conduction. Institutional approval was obtained through use of an introductory letter from the east African school of library and information science.

Explanations, information and the relevance of the study was availed to the peopleso that they make informed consent and know exactly what is going on and what is required of them during the study. This was accompanied by holding the dignity and worth of people where by no respondent was forced into the research but instead voluntary participation shall be enhanced.

At most confidentiality and privacy of information obtained from the respondents was upheld where by the researcher did include any names of respondents in the documentation and also personal information shall be strictly kept between the researcher and the respondents.

Objectivity was incorporated into the research whereby the researcher did not for example get emotionally involved with the respondents. This was done to obtain in-depth information from respondents and to reduce bias in reporting.

CHAPTER FOUR:

ANALYSIS, PRESENTATION AND INTERPRETATION OF FINDING

4.1 Introduction

This chapter presents the analysis and presentation of the findings in accordance to the stated objectives and research questions. The purpose of this study was to assess the records processing and storage system at Kampala Capital City Authority and the specific objectives were investigate the current state of records processing and storage at Kampala Capital City Authority, identify problems associated with records processing and storage at Kampala Capital City Authority and to propose the need for proper records processing and storage at Kampala Capital City Authority.

4.2 Socio-demographic of the respondents

This section presents the descriptive analysis of the respondent's background characteristics. It gives the descriptive analysis on their age, gender, academic qualification and number of years worked in the organization.

4.2.1 Age distribution of the respondents
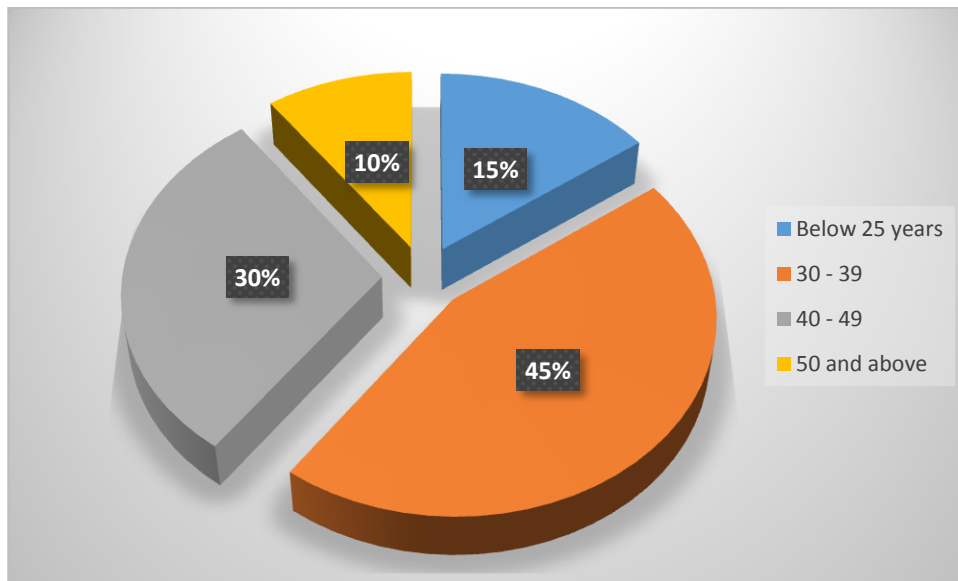
Figure 4.1 Age distribution of the respondents

4.2.2 Gender distribution of respondents

Table 4.1 Gender distribution of respondents (N=20)

Gender	Frequency	Percentage (%)
Male	8	40
Female	12	60
Total	**20**	**100**

Table 4.1 above shows that the majority of the study participants were females (60%) and the least were males (40%). This implies that the study contained more females than males.

4.2.3 Education level of participants
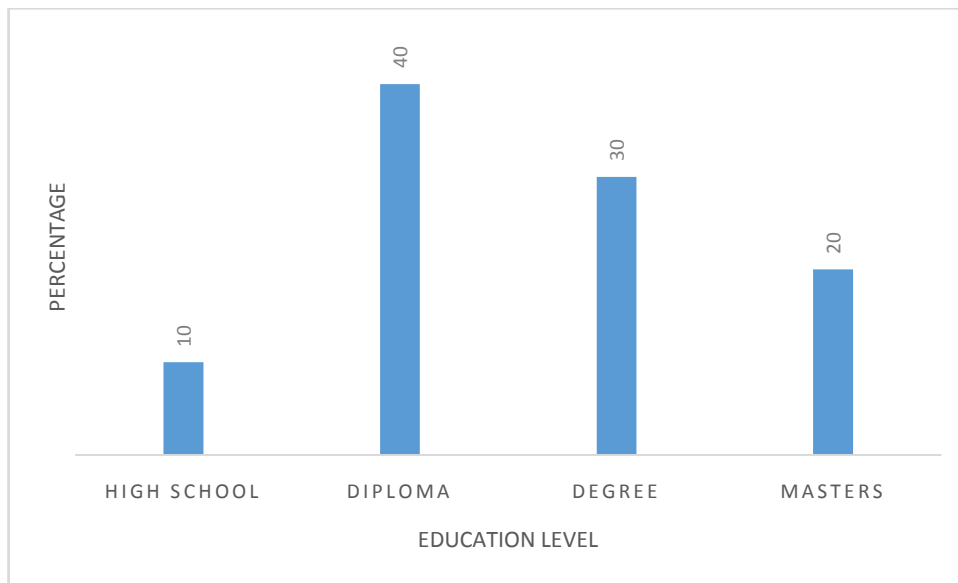
Figure 4.2 Education level of participants (N=20)

Figure 4.2 shows that Majority (40%) of the participants had attained diploma, followed by those who had a degree (30%), then those who had masters (20%) and the least had high school education (10%).

4.2.4 Number of years worked at KCCA.

Table 4.2 Number of years worked at the municipal council

Number of years worked	Frequency	Percentage
1-2	9	45
3-4	7	35
5-6	3	15
7 and above	1	5
Total	**20**	**100**

Table 4.2 shows that majority of the respondents (45%) had worked in the council for 1-2 years, followed by those who had worked in the KCCA for 3-4 years (35%), then those who had worked in the municipal council for 5-6 years (15%) and the least 5% had worked in the KCCA for 7 years and above.

4.3 Current state of records at KCCA

Under this objective, three research questions were developed which were;what kinds of records are stored do you always stored at KCCA? How do you store your records such that they are accessed when needed and what do you think is the importance of storing you records in this at KCCA?, below is data obtained from the respondents as regards to the research question.

4.3.1 Kind of records are stored do you always stored at KCCA

In an interview with the senior records officer at KCCA, it was reported that;

> *"Actually here we store records ranging from paper to electronic, but the most available records here are paper records such as the list of workers in different department, minutes of annual general meetings, service delivery within the KCCA boundaries, payroll, purchase orders, list of machines and equipment, workers remuneration plan etc."*

Also as observed by the researcher files containing minutes of meetings, list of KCCA employees especially those working on a contract basis were seen displayed in registry shelves. These findings also agree with Thomas Norris et al., (2002) during their study in Mengo and Mulago hospital found out staff reports, appointment letters, minutes of

meetings from ministry of health, policies, guidelines, memos on how health services are conducted were the major records being kept in the hospitals registry.

Another response from the records assistant was as follows

"Here, we keep both paper and electronic but we are doing everything possible to have only electronic records in the organization due to their advantages such as easy sharing among workers and stakeholders, limited space for storage of paper records. Examples of records kept here include employee's registers, position and title of each employees, schedule of the organization activities, remuneration of employees, tax records, accounting records and many others"

Observational techniques here did not agree with a report from the assistant records officer for example no documents concerning remuneration of employees was found as one of the office messenger was complaining that there is no any other form payment they get apart from salary, however the response from the assistant records officer agrees with Read, Ginn, & Ph, (2011b) where it was reported that some records are required to be kept by law such as members' registers and employment and tax records. an up-to-date register of all members, including their nominated contact information; an up-to-date version of the rules; an up-to-date list of the names and addresses of people who are office holders under the rules of the association, including committee members, any trustees and those authorized to use the common seal; accounting records that correctly record and explain the financial transactions and position of the association in such a manner that allows true and fair accounts to be prepared; and every disclosure of interest made by a committee member to be recorded in the minutes of the meeting at which the disclosure was made.

Interviewing one the office messengers, this is what she had to say;

"I keep a variety of records such as appointment letters, emails, workers attendance list, reports of different executed projects, KCCA annul reports, payrolls remuneration records and license and tax records"

4.3.2 Storage of records at KCCA

Respondents were asked what they consider when storing their records at KCCA

In an interview with one of the office messengers, it was reported that;

> *"Before storing any kind of record let it be paper or electronic, we first consider the security mechanisms that is how safe are they either from theft or loss, so the security of records is the preliminary consideration in any form of records storage"*

As observed by the researcher, especially the paper records were seen on tables even others not filed and this showed that there is no any form of controlled record access. This is likely to put KCCA at a risk of record loss and even inefficiency of the organization. The retrieval mechanism can also be compromised if there specific record storage plan.

4.3.3 Importance of storing at KCCA

Selected respondent for the study also replied to this research and the data below shows responses from different categories of selected respondents who included office messengers, secretaries, senior records manager and assistant records manager.

In an interview conducted with the assistant records manager, it was reported as follows;

> *"Ultimately record storage is very important to any organization and the case of KCCA records stored aid in tracking KCCA undertaken projects, completed projects, workers performance monitoring, monitoring tax payments for business owners in KCCA proximity boundaries, business transactions and tracking the organizations expenditure"*

As also observed files named KCCA license collections 2017 were seen in shelves, tax defaulter files also seen, files showing KCCA ongoing projects were also seen. This evidences what was put by assistant records manager, however also, this agrees with Tagbotor, Yao, Adzido, & Agbanu, (2015) where he reported that records acts as supplement to organizational memory. Without an adequate records management

system, organizations would not be able to claim deductible expenditure. When tax falls due, it could be a loss, which could be particularly detrimental to organizations. Records are therefore of crucial importance to any organization's tax returns. They need to reflect the income, expenditure and credits that organizations note on their tax returns. Furthermore, keeping good records will ensure that organizations have accurate figures available for official inspection at all times. This would also help during auditing and financial reporting but Bigirimana et al., (2015); Chavez-borja, (2002) are in disagreement with the interviewed respondents where he reported that records act as raw materials for research in various disciplines, including science research, which is an important ingredient of socio-economic development. Furthermore, records can be used as an information resource for strategic planning purposes. The service provided by records management is therefore of vital importance to both employees (end users) and organizational success. As outlined earlier, the primary function of records management is to facilitate the free flow of records throughout the entire organization. Most importantly, it remains the function of records management to ensure that an organization's records are safe for future reference (Unegbu, 2013) also Abdulazeez, Abimbola, Timothy, & Linda, (2015) disagreed with data from interviewees and put forward that the role of records processing is that it acts as a control system that reinforces other control systems such as internal and external auditing.

The senior records officer also reported that;

> *"We process and store records most especially for references like tracking workers performance, increase organizations performance and track the organizations revenues, and expenditures"*

Here the researcher did not observe anything that relates to what was put forward by the senior record manager at KCCA.

One of the office messengers also reported that;

> *"The importance of records processing and storage is to have an organized office and quick retrieval of documents when required"*

This however agrees with what was seen by the researcher where the messenger directly knew where the minutes of a previously held annual general meeting were kept when the senior records officer came asking for them.

4.4 Problems associated with records processing and storage at KCCA

The set interview guide also interviewed the respondents on the problems faced by the records management staff at KCCA and the data below shows responses from the target respondents for the study.

In an interview with the senior records manager, the following report was given;

> *"Numerous problems are faced here! The problems range from environmental, economic and political for example limited space for records storage, limited skills, and loss of documents/records, limited financial support, and forgery, records and poor attitude of record management staff on record keeping"*

However Chinyemba, (2005) had different finding from the above where it was reported that the problems facing records processing and storage included lack of qualified staff such as a records manager and archivist; Lack of records management policies and procedures; Records management costs that are not immediately apparent. Cost may only become significant over a period of time and thus not attract management's attention and Limited resources to implement a system according to requirements.

Also one of the secretaries interviewed reported;

> *Sometimes we deal with electronic records and their management requires high computer skills. Some of us here we just have elementary computer skills like typing editing and saving but sometimes records come when they need analysis like data collected from the field. This normally challenges us as records and archivist at KCCA"*

Yes as observed, the secretary was so well experienced in faster typing as she was observed when the head records manager ordered her to type a fund requisition letter and she was able to type it in less than 5 minutes so I think computer skills are not a problem to KCCA workers. In agreement with data from the secretary Abdulazeez et al., (2015) study findings showed that the major challenges faced in handling health records in the surveyed hospitals include: poor funding, inadequate computer and other ICT devices, poor skill in computing, harsh environmental conditions, lack of preservation and conservation policy.

One of the office messengers who had worked at KCCA for 5 years reported;

"We lack secure storage cabinets and damp free storage areas, there is even a problem of pest infestation especially for paper records kept for long and this compromises reference. Last week I was told to refer to annual report of 4 years back that is 2014 and I found when it was all eaten by cockroaches, this is a major challenge here"

Also as observed insects of unknown names and cockroaches were seen moving around file cabinets and this is an indication of pest infestation, however there was no literature captured for this problem.

Another female office messenger aged 37 reported that;

The major problems faced here are limited polices and guidelines for the access of records, everyone can enter and access the registry and at the end of the day records are misplaced and some end up getting lost and would like the KCCA to put strict rules and regulations to who is allowed to enter and access the records in the registry"

The above argument agrees with Chavez-borja, (2002) where he reported limited guidelines was as the major problem to record storage and retrieval; employees need guidelines to manage all the information resources on their desktops, in their files, and in the computer systems with which they interact. Further, they need to determine which of those information resources are records and how much of that information is subject to open records laws.

Lastly the assistant records also gave her view;

"Finance! No money to implement the necessary policies regards to records management, there is no money to purchase given software's for record management, purchase of computers is required but no money hiring of specialists sometimes is required but no money and so all the record management life cycle is compromised"

Actually observations confirmed this true where all the visited offices had almost no computers except a few, unfunctional computers seen meaning there is no computer specialist to repair these computers. Literature review also talks about fiancé in records management for example Abdulazeez et al., (2015), where the specific objectives include: to investigate the challenges being faced in handling health records by the

surveyed health institutions in Lagos State; and to suggest some solutions on the preservation and conservation of health records in the surveyed health institutions in the State, the findings showed that the major challenges faced in handling health records in the surveyed hospitals included poor funding.

4.5 Proper records processing and storage at Kampala Capital City Authority
A response from the records manager was;

> *"Storage of physical **records**. Paper **records** (i.e., non-electronic **records**) must be **stored** in such a way that they are both sufficiently accessible and safeguarded against environmental damage. For example, an active contract may be **stored** on ordinary paper in a file cabinet in an office"*

Training of records management staff was one of the proper records management practices identified from the field. All audited agencies provide some staff training on records management. This involves the use of relevant and understandable course content delivered by trainers with appropriate industry experience. However most training is ad hoc or could be improved. Training generally covers the importance of recordkeeping and how to create, archive, protect and destroy records. Insufficient or no training increases the risk that staff may mismanage records and breach the RKP and the retention and disposal schedule.

During the interview, one of the office messengers reported that;

> *"There is no planned schedule for our training on new innovations in managing records and she continued and said that she thinks they still operate on old principles of records management" she continued and said that proper records management help an organization to achieve efficiency and meet its goals, economic benefit, saves time and money"*

The above report agrees with (Chinyemba, 2005) who reported that efficient and economic operation of organizations. They serve as organizational memory, the evidence of past events and basis for future action and Webster et al., (1999) who reported that when created, maintained and disposed of in a systematic and orderly

fashion, records are tremendous assets to an organization. Records are invaluable. Keeping complete records from the beginning can save time and money.

In summary the records management element at KCCA needs an overhaul improvement so as to meet the needs of an organization.

CHAPTER FIVE

SUMMARY OF THE FINDINGS, CONCLUSION AND RECOMMENDATIONS

5.1 Introduction

This chapter gives a summary, conclusion and recommendations of the main findings in relation to the stated objectives and results obtained from chapter four.

5.2 Summary

The summary of the results is in line with the stated specific objectives of this study which are;

4. To investigate the current state of records processing and storage at Kampala Capital City Authority.

5. To identify problems associated with records processing and storage at Kampala Capital City Authority.

6. To propose the need for proper records processing and storage at Kampala Capital City Authority.

5.2.1 Current state of records processing and storage at Kampala Capital City Authority.

Paper records such as the list of workers in different department, minutes of annual general meetings, service delivery within the KCCA boundaries, payroll, purchase orders, list of machines and equipment, employee's registers, position and title of each employees, schedule of the organization activities, remuneration of employees, tax records, accounting records, reports of different executed projects, KCCA annul reports and payrolls are the records found kept at KCCA. The importance of KCCA records stored aid in tracking KCCA undertaken projects, completed projects, workers performance monitoring, monitoring tax payments for business owners in KCCA proximity boundaries, business transactions and tracking the organizations expenditure.

5.2.2 Problems associated with records processing and storage at Kampala CapitalCity Authority.

A variety of problems were identified which included;limited space for records storage, limited skills, and loss of documents/records, limited financial support, and forgery, records, poor attitude of record management staff on record keeping, lack secure storage cabinets and damp free storage areas, there is even a problem of pest infestation especially for paper records kept for long. Also reported limited polices and guidelines for the access of records, everyone can enter and access the registry and at the end of the day records are misplaced and some end up getting lost and would like the KCCA to put strict rules and regulations to who is allowed to enter and access the records in the registry.

5.2.3 Proper records processing and storage at Kampala Capital City Authority

Records stored in such a way that they are both sufficiently accessible and safeguarded against environmental damage. Planned schedule for our training on new innovations in managing records. Proper records management help an organization to achieve efficiency and meet its goals, economic benefit, saves time and money.

5.3 Conclusion

Different kinds of records were found being stored at KCCA ranging from electronic to paper record such as minutes of annual general meetings, service delivery within the KCCA boundaries, payroll, purchase orders, list of machines and equipment, employee's registers, position and title of each employees, schedule of the organization activities, remuneration of employees, tax records, accounting records. The problems faced were both financial and organizational such as limited finance, poor attitude of record management staff on record keeping, lack secure storage cabinets and damp free storage areas, there is even a problem of pest infestation and limited polices and guidelines for the access of records. The need for proper records included easy access, organization achievement of efficiency, economic benefit, saves time and money through training and management.

5.4 Recommendations

i. KCCA should carry out scheduled trainings for records management staff to enhance good knowledge in records management.

ii.   Storage cabinets and increased space should be enhanced at KCCA registry to easily store and handle huge documents generated at KCCA.

iii. Increased finance by KCCA to records management department and proper guidelines implementation on the access of registry documents.

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APPENDIX: INTERVIEW GUIDE

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Consent section

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My name is ANDINDA SHIFRA, am carrying out a study ASSESSEMENT OF RECORDS PROCESSING AND STORAGE SYSTEM AT KAMPALA CAPITAL CITY AUTHORITY REGISTRY. This interview items are about the study and you are kindly requested to participate not because anything is known about you but by chance. You are requested to respond to the questions below. The information given will be treated as confidential and the results of the study will be used for academic research purposes only.

SECTION ONE: BACKGROUND DATA

Age of respondent

Below 25 years	30 - 39	40 - 49	50 and above

Gender of respondent

Male	Female

Academic qualification

High School	Diploma	Degree	Masters	Professional	Other specify

Number of years worked in the organization.

Less than a year	1-5	6-10	10-15	15 and above

SECTION B

Current state of records

i)   What kinds of records are stored do you always store at KCCA?

ii) How do you store your records such that they are accessed when needed?

iii) What do you think is the importance of storing you records in this at KCCA?

SECTION C

Challenges of record and storage

    iv) What problems do encounter when trying to process your record?

    v) Identify the problems encountered when storing the records in at KCCA?

SECTION D

The need for proper record processing and storage

What methods do you use to store and retrieve your records?

What can be the solutions for the problems facing processing and storage of records?

What do you think are the benefits of proper record storage and processing?