

**RECORDS ORGANIZATION AND PROCESSING AT THE MINISTRY OF LANDS,  
HOUSING AND URBAN DEVELOPMENT**

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## DECLARATION

I declare that this report is my original work and has not been submitted in any higher institution of learning for the similar academic award.

Signature..........

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### APPROVAL

This research report has been carried out under my supervision and is submitted with my approval for examination.

Signature 

Date 24/07/2014

**DR.KALYOWA FREDRICK**

## **DEDICATION**

I dedicate this report to my beloved brothers Kutuusa Sharif and Kutuusa Yusuf, my dear sister Kutuusa Miracle, my friends Ajok Stella, Nyombi Zelda and Asimwe Fenny and my academic supervisor.

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## **LIST OF ABBREVIATIONS**

NEPAD:	New Partnership for Africa's Development
ICA:	International Council of Archives
ICT:	Information Communication Technology
IMF:	International Monetary Fund
UBOS:	Uganda Bureau of Statistics

## **ABSTRACT**

The major objective of this study was to assess records organization and processing at the Ministry of Lands, Housing and Urban Development. The study further had three specific objective which included; finding out the records organization and processing practices at the Ministry of Lands, Housing and Urban Development, finding out the benefits of proper records organization and processing and examining the challenges that come with the organization and processing of records.

This used a qualitative research approach. The research design is a case study of male and female staff of the Ministry of Lands, Housing and Urban Development in Kampala District. Two methods of data collection employed in this study, both the primary and the secondary data collection methods. Primary data was data collected for the first time from respondents familiar with the study and instruments to be used include interviews and observations method. On the other hand, secondary data will be also be collected by using documentary review, Text books and Journals.

The study results showed that; the ministry appointed a staff member at senior management level to whom they can delegate the responsibility of ensuring that sound records organization and processing practices are implemented and maintained. Furthermore, the respondents added that the records manager also develops and implements records management policies, which are endorsed by the heads of the ministry such as the ministry and permanent secretary. Study results further revealed that proper records organization and processing has quite a number of benefits and these included easy retrieval, access and disposal of records, ensure administrative governance, prevention and tracking of fraud and corruption, problem-solving and decision-making. Last but not least, the results of the study also showed that the main challenge that comes with the organization and processing of records is insufficient space for records storage. The study therefore recommends that the Ministry of Lands, Housing and Urban Development needs to appoint more records managers whose responsibilities will be compilation, implementation, maintenance and utilization of approved filing systems and the records filed according to these systems among other responsibilities.

## **CHAPTER ONE:**

### **INTRODUCTION**

#### **1.0 Introduction**

This study will assess records organization and processing at the Ministry of Lands, Housing and Urban Development. This chapter therefore will present the background to the study, statement of the problem, the objectives of the study, research questions, scope, significance of the study, and operational definitions of key concepts.

In the course of doing business, records are created through a variety of government activities such as vehicle registration, professional licensing, procurement contract transactions, general correspondence, and other external and internal business processes within state and local government offices (note: state government generally has oversight for local records rules and regulations) (Tafor, 2003). Governmental records may be created and transmitted in a variety of ways; handwritten, typewritten, audio/video recording, computer generated (including e-mail and databases). These records support, document, and provide evidence of a variety of governmental activities including; business processes, program evaluation, information policy making processes, accountability insurance and facilities planning among others (Tafor, 2003).

According to Currall et al (2008), the records of governmental agencies capture information used to protect the rights and interests of governments, businesses and citizens and to preserve history and culture by documenting information about noteworthy people, issues, places, and events. Most of these records are useful for a relatively short period of time and can then be destroyed. Some of the records will represent the agency's business record and need to be maintained for stewardship and public accountability purposes.

Some records need to be preserved for many years, and a few should be preserved permanently to maintain the historical record (Currall et al, 2008). The challenge for public officials is to manage each of these types of records, making sure that those records with important information are preserved, while records that are no longer valuable are disposed of in an appropriate and legal manner. This paper therefore intends to assess records organization and processing at the ministry of lands, housing and urban development.

## **1.1 Background of the study**

In October 2003, a meeting of Ministers responsible for records and archives management in East and Southern Africa held in Cape Town, South Africa, underscored the importance of archival heritage and good records and archives management practices. The Ministers pointed out that one of the critical challenges facing the region was the inadequate support by governments to archival institutions, yet such institutions played a key role, not only in the preservation of the heritage of Africa but in information management, that inevitably supported the economic and social developments of nations.

The Ministers called for a collaborative action in a number of areas relating to the organization and management of records and archives including the need to build electronic records capacity. The Ministers affirmed the need for governments, records management and archival professionals, multilateral organizations and donor agencies to give full support to endeavors of national and other archival institutions to better manage official records irrespective of media. They expressed the need to coordinate and develop programmes within the frameworks of the African Union and New Partnership for Africa's Development (NEPAD) in order to promote the culture, heritage and human dignity of Africa's peoples; and provide for more open, transparent, accountable and good governance for the betterment of the continent (ESARBICA, 2003).

In support of the above, Currall et al (2008) argues that governments must ensure the permanent keeping of its records since it needs to account to its citizens for its administrative actions. An effective keeping of records will enable compliance with transparency requirements. Government will be able to prove their administrative process through the records preserved. This was emphasized by Tafor (2003) in his citation from the International Council of Archives (ICA) (1997) that records provide "evidence of human activities and transactions" to protect the rights of both the public and government, and that is good for "democracy and good governance".

A case study undertaken by Akotia (2000) in the Ministry of Finance in Uganda on the management of financial records in government established that throughout the government of Uganda, ICT was considered an indispensable tool for enhancing productivity, yet little attention was paid to the information management issues and to understanding the forces of change that affect the form and integrity of the record created within an IT environment. Akotia (2000) further noted that the Ministry had no capacity for managing the basic elements of an electronic records programme including: staff who understood the functional requirements for record keeping and

had the competencies and skills required to manage electronic information delivery systems; legal and administrative requirements for managing electronic records; and accurately documented policies, standard operating procedures and formal methodologies for managing e-records. This study therefore intends to assess records organization and processing at the ministry of lands, housing and urban development.

The Ministry of Lands, Housing and Urban Development is an entity responsible for providing policy direction, national standards and coordination of all matters concerning lands, housing and urban development. It is responsible for putting in place policies and initiating laws that ensure sustainable land management, promote sustainable housing for all and foster orderly urban development in the country. The mandate of the Ministry is to ensure rational and sustainable use, effective management of land use and orderly development of urban and rural areas as well as safe, planned and adequate housing for socio-economic development. The records unit at the ministry therefore is responsible for records organisation, processing and management so that public administration moves on smoothly. The records and archives management as a discipline also further improves records management has been tied up with transparency, accountability and identifying that one of the factors in the chain to service delivery is records management at the ministry.

## **1.2 Statement of the Problem**

Despite the fact that Uganda has been the subject to the public sector reforms demanded by the World Bank and IMF, most of their official records and archives have not changed much to enhance transparency and accountability in government (UBOS report, 2008). Uganda faces major challenges with regards to the organization, processing and management of records and archives due to historical, political, cultural, managerial and technological factors. According to Mnjama (2004) there were real challenges faced by East Africa member countries such as Uganda in the organization of records. These include: absence of organisational plans for managing records; low awareness of the role of records management in support of organisational efficiency and accountability; absence of core competencies in records and archives management; absence of budgets dedicated for records management; lack of records retention and disposal policies; and absence of migration strategies for records among others. However, though there are several researchers that have looked at the management of records by government, very few have looked at how these records can be organized and processed. This study therefore intends to close this gap

by looking at records organization and processing at the ministry of lands, housing and urban development.

### **1.3 Aim of the Study**

The aim of this study is assess records organization and processing at the Ministry of Lands, Housing and Urban Development.

### **1.4 Objectives**

- To find out the records organization and processing practices at the Ministry of Lands, Housing and Urban Development.
- To find out the benefits of proper records organization and processing.
- To examine the challenges that come with the organization and processing of records?
- To suggest possible solutions to the challenges that come with the organization and processing of records.

### **1.5 Research Questions**

- What the records organization and processing practices at the Ministry of Lands, Housing and Urban Development?
- How are the benefits of proper records organization and processing?
- What are some of the challenges that come with the organization and processing of records?
- What are the possible solutions to the challenges that come with the organization and processing of records?

### **1.6 Scope of the Study**

#### **Content Scope**

This study majorly assessed the records organization and processing at the Ministry of Lands, Housing and Urban Development.

#### **Geographical Scope**

This was carried out at the Ministry of Lands, Housing and Urban Development located in Kampala District.

#### **Time Scope**



This study was carried in a period of two (3) months; this period of time was sufficient enough for the researcher to write all the chapters of the research project.

### **1.7 Significance of the Study**

- This study will assist the Ministry of Lands, Housing and Urban Development in general to determine the extent to which record management can help their Ministry to improve proper service delivery.
- The results of the study will enable the Ministry of Lands, Housing and Urban Development to identify the need for and make informed decisions about the adoption of records management system as a solution to improving public service delivery.
- The study will also help open the eyes of the public sector entirely about the impact of ineffective records management and the danger of unsecured records.
- It will ensure that they know what record organization and processing are and their advantages in rendering the public with services.

### **1.8 Definition of Key Concepts**

#### **Records**

Records are recorded information, regardless of physical form or characteristics, storage media or condition of use like cards, correspondence, disks, maps, memoranda, microfilm, papers, photographs, recordings, reports, tapes, writings and other data, information or documentary material.

#### **Records Organization**

Records organization refers to the organization or control of records in different formats, which are hard-copy files, correspondence, disks, maps, memoranda, microfilm, papers, photographs, recordings, reports and tapes. This ensures that records are easily accessible, retrievable and properly classified. Webster, Hare and Julie (1999) cite the definition of records organization from Ricks and Gow (1988) as “the systematic control of recorded information from creation to final disposal”.

## **Life-Cycle of Records**

The life-cycle of a record is a basis on which a records management system is made, as the system stipulates the procedures and processes that organizations need to follow at each phase of the record's life-cycle.

## **1.9 Chapter Conclusion**

This chapter mainly aims at assessing the records organization and processing at the Ministry of Lands, Housing and Urban Development. It further covers how missing files are organized and processed at the Ministry of Lands, Housing and Urban Development, it also examines the challenges that come with the organization and processing of records.

## **CHAPTER TWO: LITERATURE REVIEW**

### **2.0 Introduction**

This chapter is the literature review and this covers research findings by various researchers on the records organization and processing.

### **2.1 Records organization and processing practices**

The past twenty years has revolutionized the way in which information is generated and stored (Beastall, 1998). The service provided by records management is vital to any institution, and to every information-using employee in it. Its primary function is to facilitate the free flow of records through an institution, to ensure that information is rapidly available where and when it is needed. To carry out this function needs an efficient, effective records management programme. By helping the users to do their jobs better and more easily, the records manager serves the institution. Given that an organization's records are unique to it, they need to be managed explicitly, just as the organization would manage its other resources (people, money and estate). Records management systems and procedures should facilitate compliance with university policies. Specific business functions and activities within universities may be subject to specific legislation or to professional best practice or relevant ethical guidelines.

Again, heads of institutions, schools, other units and business functions within the university have overall responsibility for the management of records generated by their activities thus ensuring that records controlled within their units are managed in a way which meet aims of the University's Records Management policies. The Registrar has a particular responsibility in ensuring that the University corporately meets its legal responsibilities, and internal and external governance and accountability requirement.

Day-to-day responsibility will be delegated to a Records Manager, who will report to the Registrar. The Records Manager will have a coordinating and enabling role and will advise on policy and best practice. The key records management practices in the University records management policy framework are records creation and capture, records survey/audit, records analysis/retention schedule, disposal of records, records protection and security and provision of appropriate training for relevant staff (UEW Records Management Policy Framework, 2000).

Kanzi (2010) points out that for a sound records management practices to take place, heads of institutions should designate or appoint a staff member (Record Manager) at senior management level to whom they can delegate the responsibility of ensuring that sound records management practices are implemented and maintained. He added that records managers should develop and implement records management policies, which are endorsed by the heads of the institutions and their top management teams. Adherence to these should be continuously monitored and be reviewed on an annual basis.

Furthermore, he stated that there should be records management procedures to serve as a guide to employees, records classification system to facilitate efficient retrieval and disposal of records, and training of records managers and records office staff to equip them with the necessary skills to carry out their functions properly. Utulu (2001) also mentions that if any information was to be lost or misplaced, it could cause a range of problems some of which might affect the future of students needing essential information from their records. According to Afolabi (1999), Records Management and Archives staff should be responsible for providing an appropriate record management training programme to the University staff. Again, he added that records should not be taken from the University without the permission of the Records Manager/Archivist or an appropriate Office Manager.

Scholars of records management theory and practice agree that, in principle, organizations should create and capture records for every activity that involves more than one party and that they should identify and record every process that generates records (Yeo 2003). Therefore, records must be authentic, complete and usable. For example, even Information Communication

Technology (ICT) systems must be able to generate or capture the 'metadata' that record the contents, contexts and structures of records within the business processes that produce them (IRMT, 2008).

In addition, Shepherd and Yeo (2003), when assessing the need to create and capture records, suggested that it is essential to consider the requirements of the organizations or particular business units that need records to provide evidence and information for operational use, the requirements of the organizations, particular business units or external stakeholders that need evidence to ensure

accountability, the cost of creating, capturing and maintaining the records that organizations require and the risk to them if they do not have these records.

International Organization for Standardization (ISO, 2001) is of the view that a policy for creating records is also necessary. It should stipulate the requirements for capturing, registering, classifying, retaining, storing, tracking, accessing and disposing of records. Organizations create and keep records so that designated users, mostly from within the organizations and occasionally from outside, can use them when they need to.

Any records management system that captures records must have systems that allow users to use the records thoroughly (Shepherd and Yeo, 2003). Therefore, institutions create records for a purpose. The timely and accurate retrieval of records depends largely on how well organized and classified the records are. As a result, records classification systems should reflect the business activities of the organizations. Organizations need to determine the degree of classification control they require for their business purposes (ISO, 2001).

Shepherd and Yeo (2003) also pointed out that classification schemes are based on an analysis of functions processes and activities and document the structure of a records management system and the relationship between records and the activities that generate them. Again, they emphasized that it is necessary to use appraisal techniques to support decisions about retention, that is ‘which records can be destroyed at an early stage, and which merit longer-term or indefinite retention’. Other researchers and authorities emphasize that any effective records management programme requires classification (Kemoni 2007). Vocabulary control tools usually support classification systems. They give institution-specific definitions and explain the usage of terms.

Institutions should establish ongoing programmes for training in managing records. Institutions can design or set up this training together with external bodies. They cannot retain files, irrespective of their format (paper or digital), indefinitely. The reason for this is the cost of storage and maintenance as well as slower and difficult access because of the high volumes. Records systems should be able to facilitate and implement decisions about retaining or disposing of records. Therefore, the effective management of records requires that there are procedures for the timely disposal of records that institutions no longer need to support current day-to-day activities or those that they do not need to retain for legacy purposes (ISO, 2001).

## **2.2 The benefit of proper records organization and processing in the public sector**

Organisations or government bodies that manage their records properly are rewarded with several benefits. These benefits include, but are not limited to, easy retrieval and access to records, ability to prevent and track fraud and corruption, ease to follow informed problem solving and decision-making and the protection of organisations against legal charges/claims (litigations). The organisation is also able to comply with pieces of legislation as well as professional administration and accountability. Gerntholtz, van Heerden and Vine (2007) underscore that EMRs make records management even better since it enables a quicker and cheaper clinical documents compilation, patient summaries formulation, information retrieval and diverse clinical information audits. Bhana (2008) states that record keeping is an enabler since, without it, things like auditing and financial management will not be possible. Records can be used to support business activities, decision-making and accountability. Proper records management assists the organisation in preserving well-organized records in their business.

### **2.2.1 Easy retrieval and access**

Thurston (2005) and Iwhiwhu (2005) underscore that reliable, timely and accessible records should make available information about administrative actions, such as resources received, committed or spent resources, which facilitate and simplify accountability. Properly managed records are filed according to the filing plan or system. Retrieval is a matter of minutes, instead of hours. This is because records are easily identified by the file/reference number on the filing plan and then retrieved from the filing cabinets/shelves as there will be no misfiling if properly managed.

Properly managed e-records with no capturing errors can simply be searched on the e-records management system. This can be done by punching the reference number, subject, keyword or any other options of the record required as programmed and created by the system, on the keyboard and then accessing the e-document on the screen. For example, when the doctor is treating a follow-up patient s/he will need medical records to check the medical history of the patient before commencing with the follow-up treatment or any new consultation. In order to save time, the doctor must have quick access to the records to avoid long patient waiting times for the health services.

This can only be possible if the records are properly managed in the hospital. Thurston (2005) states that ineffective records management leads to files being piled in different offices and corridors, as a result of dumping difficult personnel to the records management unit and lack of continuous training, lack of policies and procedures and standards. Ngoepe (2004) stressed that good record keeping saves time since there is no hassle when searching for information. Records alteration and access are easily traced through an audit trail and records are easily disposed off as per relevant legislative framework, such as National Archives Act and Provincial Archives Act.

### **2.2.2 Administrative Governance**

Records are also kept for administrative, historic and archival values of certain records (Chachage, 2002). The organisation also needs to come up with a mechanism to check its compliance with policies and procedures for better administration. This mechanism should cover the records management system audit to hold non-complying members accountable (Chinyemba and Ngulube 2005). “Sound information and records management demonstrates compliance with rules” (Willis 2005). Information is a key for the organisation to effectively manage its business since it provides guidance for decision-making and accountability. This is because records provide a corporate memory to depend on. Introduction and proper practice of proper records management will ensure sustainable and good governance of the organisation since it documents decisions and organisational activities (Ngoepe 2004).

Furthermore, Ngoepe (2004) cited in the Auditor-General’s report states that hospitals in Mpumalanga, Gauteng and North West had to cancel millions of rand owed by patients during the financial years from 1994 to 1999. Proper records management also makes administrative governance in the organisation very easy. This is because it is with the availability of records that monitoring and evaluation of performance in different units of the organisation becomes easy and possible. It makes it easy for the leaders and management to identify mistakes, poor performance, good performance and improved performance of the past administrative activities. This may eventually lead to possible corrections and improvement. For example, the medical committee, clinical manager or the head of the hospital may plan to monitor whether doctors and nurses follow guidelines in hospital clinical and nursing policies. These policies might cover patients’ diagnosis, prescriptions and treatment. They can always check the content of medical records against the policies approved to mandate the hospitals. Rampfumedzi (2006) argues that clinical

improvement, progress or deterioration of the mother can be judged by using accurate records created during labour.

### **2.2.3 Prevention and tracking of fraud and corruption**

An anticorruption effort is one of the initiatives introduced to enhance economic performance, increase accountability and strengthen civil society which depends on proper records keeping. Fraud and corruption can jeopardize the bright future of many organisations and weaken service delivery in most government departments. One of the key tools in preventing and tracking fraud and corruption is proper records management. If properly managed, records can be used to investigate and prove fraud and corruption, and to carry out meaningful audits and review government actions. It is mostly with reliable, authentic and accurate records that an organisation or government entity can track and charge a person responsible for activities considered as fraud and corruption. However, without complete records, everything might be considered allegations which are difficult to prove. Poor records management creates an opportunity to commit fraud and corruption (Bhana 200; Thurston 2005; Ngoepe 2004). Sound records management is therefore necessary to “root out corruptions and malpractices” (Wamukoya et al, 2005). For example, patients’ records must be able to tell which doctor the patient consulted, when, which medicine was prescribed for the patient and how the patient was treated by which clinician or doctor.

### **2.2.4 Problem-solving and decision-making**

The other major reason for effective records management is to ensure successful problem solving and decision-making. Management of an organisation or government department can use information contained in records to solve certain specific problems and make an informed decision. This can only be successful if records are properly managed for easy retrieval and accessibility.

Ngoepe (2004) and Thurston (2005) state that in the absence of functional records management, decisions are made without full information since decision-makers would be lacking the required details for an informed decision. This opens opportunities for corruption or collusion between organisational staff. For example, Rampfumedzi (2006) states that midwives’ decisions about women’s care need to be recorded and properly preserved for future reference and assessment.



### **2.3 The challenges that come with the organization and processing of records**

Brendan (2012) observed the following as the challenges associated with records management; First of all, he noted weak legislative and organizational infrastructures as a major challenge.

Studies by Kemoni and Wamukoya (2000), Iwhiwhu (2005), and Egwunyenga (2009) confirms that African records keepers lack basic skills and competences for handling records and archives in the public sector. There is a serious problem of technophobia in most offices in Africa especially among the older employees. Due to inadequate skills in information technology, many traditional librarians, records managers, and archivists are very conservative and have phobia for computers. This may be due to generation gaps between the new and old professionals which led analogue information managers to perceive computers as a threat to their status as experts. Ezeani (2010) in her studies observed that younger librarians are faster in capturing the use of ICTs than the older librarians because “older librarians are finding it difficult to cope with the requirements of the digital age”. Also, Ojedokun (2008) noted that older librarians are “too reluctant to jettison the old practices for new one”. Successful application of information handling technologies in the management of electronic records in developing countries requires an ability to overcome staff and personal resistance.

Brendan (2012) opines that, growing use of information technologies in record management creates a lot of problems in the management of records in both public and private organizations. He added that in Africa and many developing countries governments are looking forward to computerizing their core functions and compelled most African countries to use ICTs in their public services by adopting e-government. Regrettably these projects fail to succeed because governments neither assess the available information framework suitable for electronic records management, nor consult the records managers to determine how the process of automation will not affect the role of records managers in providing reliable and authentic evidence.

In Miller’s (2004) view, the conversion from traditional records management activities to electronic environment will not succeed in Africa if the underlying processes are not structured in an efficient and effective fashion. Many African states are jumping into the information technology bandwagon without adequately incorporating good records management strategies.

## **2.4 Research Gap**

According to Yeo (2003), records organization and processing procedures to serve as a guide to employees, records classification system to facilitate efficient retrieval and disposal of records, and training of records managers and records office staff to equip them with the necessary skills to carry out their functions properly. Utulu (2001) also mentions that if any information was to be lost or misplaced, it could cause a range of problems some of which might affect the future of students needing essential information from their records. Scholars of records management theory and practice agree that, in principle, organizations should create and capture records for every activity that involves more than one party and that they should identify and record every process that generates records (Yeo 2003).

## **2.5 Chapter Conclusion**

This chapter majorly covers what other researchers say about the research purpose. Kanzi (2010) points out that for a sound records management practices to take place, heads of institutions should designate or appoint a staff member (Record Manager) at senior management level to whom they can delegate the responsibility of ensuring that sound records management practices are implemented and maintained. In addition, Shepherd and Yeo (2003), when assessing the need to create and capture records, suggested that it is essential to consider the requirements of the organizations or particular business units that need records to provide evidence and information for operational use, the requirements of the organizations, particular business units or external stakeholders that need evidence to ensure accountability, the cost of creating, capturing and maintaining the records that organizations require and the risk to them if they do not have these records.

## **CHAPTER THREE: METHODOLOGY**

### **3.0 Introduction**

This chapter is the research methodology and it covers detailed ideas about how the research will be conducted and which techniques will be implemented for conducting the research. This therefore comprises of the; research design, population of the study, sampling technique, sampling size, data collection methods, data collection tools, data quality control, data presentation and analysis, ethical considerations and the limitations of the study.

### **3.1 Research Design**

This used a qualitative research design. Qualitative research can be defined as “An unstructured methodology based on small samples, intended to provide insight and understanding” (Sabel 2012). Usually, this method is less structured and more intensive than standardized questionnaire-based interviews.

### **3.2 Study Area**

This study was carried out from the Ministry of Lands, Housing and Urban Development in Kampala District.

### **3.3 Study Population**

The study population was comprised of male and female staff of the Ministry of Lands, Housing and Urban Development in Kampala District.

### **3.4 Sampling technique**

Fisher’s sampling technique was used to generate a sample size of 30 respondents from Ministry of Lands, Housing and Urban Development. From these 30 respondents these include; 15 were male and the other 15 were female.

Fisher’s technique of sampling is expressed as;

Where;

N = Sample Size

Standard deviation at desired degree of accuracy (1.96)

Is the proportion of the population with the desire characteristics obtained (0.5)

Is the amount of error which can be readily accepted (0.1789)

Therefore by substituting the values in the equation as follows,

### 3.5 Sampling size

These 30 respondents was selected using simple random sampling because this method of sampling gives equal chance to every respondent to be selected.

**Table 1: Structure for the sample size**

<b>Category</b>	<b>Population</b>	<b>Sample</b>
<b>Men</b>	55	15
<b>Women</b>	30	15
<b>Total</b>	<b>85</b>	<b>30</b>

### 3.5 Data collection methods

Two methods of data collection employed in this study, both the primary and the secondary data collection methods. Primary data will be data collected for the first time from respondents familiar with the study and instruments to be used include interviews and observations method. On the other hand, secondary data will be also be collected by using documentary review, Text books, Journal, Newspapers, and Magazines.

### 3.6 Data collection tools

#### 3.6.1 Interview Guide

This involved verbal interaction between the researcher and respondents. The researcher prepared the interview guide questions in connection to research questions. The technique is used because,

sample is controlled more effectively, more information and that too in greater depth can be obtained, also the technique associated with greater flexibility, therefore the researcher has the opportunity to restructure questions so as to reach the research objectives. Interview helps to get reliable and valid information relevant to the research.

### **3.6.2 Observation Guide**

An observation guide is defined as a list of aspects or subjects that the researcher is keen to study in the field. Observation guide is where different topics were constructed to help a researcher observe the nature/kind of records organization and processing system practiced at the ministry, benefits of proper records organization and processing and also the challenges that come with the organization and processing of records.

## **3.7 Data quality control**

### **3.7.1 Validity and reliability**

Validity of an interview guide refers to the extent to which it measures what it claims to measure (Mugenda et al, 2003). In testing validity, the researcher will prepare interview guides and present them to the supervisor for scrutiny and suggestions on the relevance, clarity and suitability of the information. The supervisor will then make suggestions which will be incorporated into the final draft. Reliability of research instrument refers to the measure of degree to which research instrument yield consistent result or data after repeated trials. To establish the reliability of the research instruments, the researcher will administer the interview guides and pilot test them using 5 (five) respondents after which the researcher made the necessary corrections to the interview guides.

## **3.8 Data analysis and presentation**

The data was collected and analyzed using qualitative data analysis methods. Descriptive analysis was used in presenting the finding/results of the study.

## **3.9 Ethical consideration**

The researcher ensured the respondents' consent before involving them in the study. This included briefing the respondents about the research objectives, their roles and how they will benefit from the research. The researcher also ensured that the respondents' information given is treated with utmost confidentiality while presenting results.

### **3.10 limitations of the Study**

#### **Limited funding**

The whole process was expensive especially with secretarial work including typing, editing, materials like papers, pens and facilitation on food and transport cost.

#### **Limited time**

There is limited time for interviewing the respondents since they might be busy with their obligations.

#### **Limited access to respondents where people may not be willing to give some information**

Some respondents were not willing to give information. The researcher however explained clearly to the respondents that the purpose of the research is purely academic and that information was treated with confidentiality.

### **3.11 Chapter Conclusion**

This study was carried out from the Ministry of Lands, Housing and Urban Development in Kampala District. The study population comprised of male and female staff of the Ministry. Furthermore, Fisher's sampling technique was used to generate a sample size of 30 respondents. These 30 respondents were selected using simple random sampling because this method of sampling gives equal chance to every respondent to be selected. Additionally, two methods of data collection employed in this study, both the primary and the secondary data collection methods.

**CHAPTER FOUR:  
RESULTS AND DISCUSSION**

**4.0 Introduction**

This chapter presents the results and discussion of findings from data collected from the respondents at the Ministry of Lands, Housing and Urban Development. The results and discussion are done based on the elements considered in the interview guide and observation guide and organized in line with the research questions and objectives as stated in earlier in chapter one.

**4.1 Description of respondents Education Level** As shown in the table below, 4(20%) of the respondents attained diploma, 5(25%) attained certificates and 11(55%) of the respondents attained degree. From the interpretation, majority of the respondents attained degree hence providing adequate information to the study.

**Table 1: Showing Education Level**

Education level	No. of respondents	percentage
degrees	11	25%
diploma	5	11%
certificate	4	20%

## Gender Distribution

As shown in the table below, most of the respondents in the study 12(60%) were male and 8(40%) were female. this implied that the majority were male and greatly contributed to the reduction of work overload because men tend to work more than the women since they are stronger.

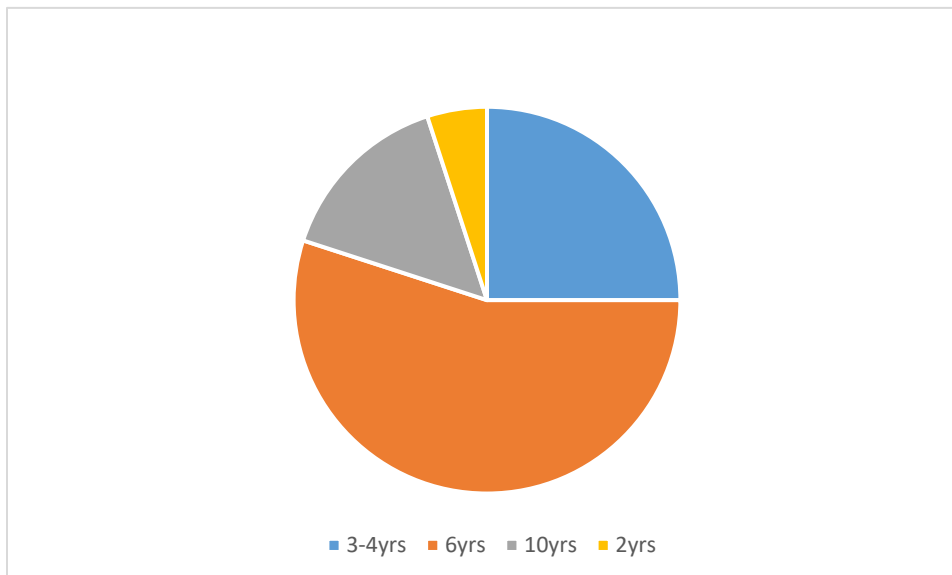
**Table 2: Showing Gender Distribution**

gender	respondents	percentage
male	12	60%
female	8	40%

## Working Experience

Data collected showed that atleast 5(25%) of the respondents had worked for a minimum of 3-4 years, 11(55%) of the respondents had worked for over 6 years, 3(15%) of the respondents had worked for over 10 years while only 1(5%) had working experience below 2 years as presented in the Pie chart below.

**Fig.1 A pie chart showing the working experience of respondents.**

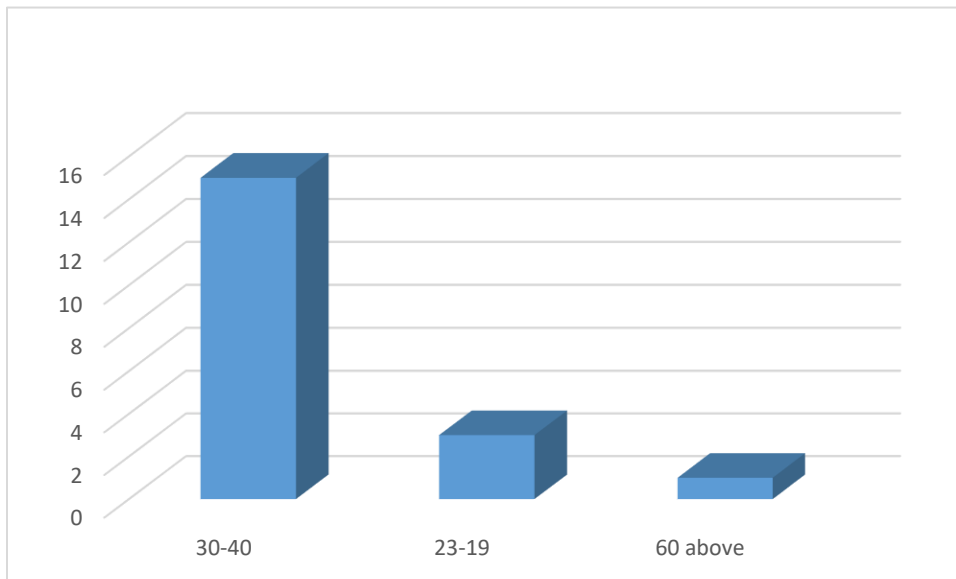




## ABOUT AGE;

According to the findings majority of respondents 15 (55%) were ranging from 30-40 years, 3 (30%) of the respondents were 23-29 and these were mostly contract workers. Respondents ranging from 60 and above were the least sample with 2 (15%) as shown in the bar graph below.

**Fig.2 A bar graph showing ages of respondents.**



### **4.2 Records organization and processing practices at the Ministry of Lands, Housing and Urban Development**

According to respondents at the Ministry of Lands, Housing and Urban Development, the ministry appointed a staff member at senior management level to whom they can delegate the responsibility of ensuring that sound records organization and processing practices are implemented and maintained. Furthermore, the respondents added that the records manager also develops and implements records management policies, which are endorsed by the heads of the ministry such as the minister and permanent secretary. Furthermore, adherence to records management policies are continuously monitored and reviewed on an annual basis.

Additionally, the respondents at the Ministry of Lands, Housing and Urban Development the day-to-day responsibility is delegated to a records manager. The records manager has a coordinating

and enabling role and provides advice on policy and best practice. The key records organization and processing practices at the Ministry of Lands, Housing and Urban Development are as follows:

### **Records creation and capture;**

The respondents were able to state that records creation and capture involved identifying what records the Ministry is required to create and capture. For example Ministry of Lands Housing and Urban Development can create records such as land titles. Respondents further informed us that one has to ensure that the systems in the Ministry including people, policy procedures, tools and software support this creation and capture. That is to say if you are to create records or capture information you have to make sure its not illegal for example you cannot capture information on someone land title without the owners permission, or you dont have to create a land title without following the Ministrys procedures.

### **Records audit;**

The study discovered that auditing is a formal check of financial records of the Ministry. The ministry usually uses the internal audit which is conducted by the members from the finance department. According to the respondents auditing of records ensures that the Ministry meets legal and regulatory requirements. The process also provides a window into the effectiveness of the Ministrys operations. Whether an internal audit or one conducted by an external body the procedure is similar. The respondents further stated that the ultimate goal of the audit varies but it typically focuses on ensuring that the Ministry follows the procedures for records management as defined by the operational controls and the regulatory requirements of the Government.

### **Records analysis;**

According to the respondents records are analysed in the Ministry which helps to ensure that there are no fake documents and to ensure that they are stored in there rightful places. This is to enable proper organisation of records and easy retrieval. They further stated that this process is done by the records manager, and during this process if the records manager gets to know that there are other copies of certain documents needed these are processed through various ways such as photocopying, scanning etc.

### **Disposal of records;**

The respondents explained that disposal at the Ministry is done by either destroying the records for good or retaining them as Archives in case they have continuing value. Respondents explained that for records to be destroyed entirely it can be due to various factors such as having the same documents in more than one copy, if there is no need for the rest of the copies they are destroyed to avoid confusion and to ensure proper organisation of records. They further stated that understanding what information to keep and disposing of information that is no longer needed is an important part of effective records organisation. However they emphasized that disposal must be done responsibly.

### **Records protection and security;**

According to research, every file that is kept in the Ministry has a movement card which is kept separately from the file, once a person takes a file from the registry information of who took the file, date on which they took it and the reason as to why it was taken are noted on the card. When the file is brought back the person signs to show that he/she brought the file back. Study shows that this is done for protection of the records and to keep track of movement of records in the Ministry. Further more research shows that it's only those that work in the records department that are authorized to access the records. This is to ensure safety of the records because if everyone was allowed to access the records most of them would be missing. This ensures records organisation since records are always in place and in case they are taken there is always knowledge of where they are.

### **Provision of appropriate training for relevant staff in the entire ministry;**

Respondents stated that staff are trained on proper organisation of records through workshops. They further stated that they are also given training to be able to process various records in the Ministry.

However, according to research made government accountability is an initiative that needs to be supported by an availability of reliable and accessible information. It is with proper, effective and efficient records management in the public sector that the government body is able to properly account as informed by available and accessible records. This is because if records are properly managed, accessibility also becomes easy and on time for the accounting officer to prepare and be ready to account. For example, the head of the health institution can use medical records to account

to the citizen about a complaint in a certain health service that would have been allegedly rendered improperly. S/he can also use medical records in accounting to the provincial Department of Health, and the provincial department can also account to the national Department of Health as their superiors. In hospitals, cases relating to maternal death, operations, child delivery (like assisted delivery and caesareans) and still birth usually raise a worrying concern in the citizens when the patient is not fine. So the hospital needs to convince them in order to satisfy citizens as to what steps were taken in diagnosing, prescribing and treating these patients.

#### **4.3 Benefits of proper records organization and processing at the Ministry of Lands, Housing and Urban Development**

According to the findings of the study, proper records organization and processing has quite a number of benefits and according to the respondents at the Ministry of Lands, Housing and Urban Development these include;

##### **Easy retrieval, access and management of records,**

Respondents informed the researcher that properly organised records are filed according to the filing plan or system which makes retrieval a matter of minutes not hours. They stated that this is because records are easily identified by the file/reference numbers and then retrieved from the filing cabinets/shelves as there will be no misfiling if properly managed.

##### **Ensure administrative governance;**

According to information from one staff, he explained that records organization and processing makes it easy for the leaders and management to identify mistakes, poor performance, good performance and improved performance of the administrative activities. He concluded and said that this may eventually lead to possible corrections and improvement.

##### **Prevention and tracking of fraud and corruption,**

The study proved that poor records organisation creates an opportunity to commit fraud and corruption. In the absence of functional records management, decisions are made without full information since decision makers would be lacking the required details for an informed decision. This opens opportunities for corruption or collusion between the staff.

### **Control of the growth of records;**

According to respondents at Ministry of Lands, Housing and Urban Development, they made it clear that even if the ministry and other public organizations are increasingly becoming reliant on electronic files, the amount of paper used in offices has not significantly reduced. If records are properly organized and processed, this will control the growth of records and thus reduce the storage space needed.

### **Ensure regulatory compliance;**

Basing on information from the interviews that were carried out at the Ministry of Lands, Housing and Urban Development, the government of the republic of Uganda is becoming stricter about compliance issues and the way to ensure regulatory compliance is through advanced records organization and processing.

### **Accountability;**

According to research it is with proper, effective and efficient records organisation in the public sector that the government body is able to properly account as informed by available and accessible records. This is because if records are properly organised, accessibility also becomes easy and on time for the accounting officer to prepare and be ready to account. Proper records organization and processing helps cut costs and save time and efforts and also keep employees motivated. The above study results are in agreement with Thurston (2005) and Iwhiwhu (2005) who underscored that reliable, timely and accessible records should make available information about administrative actions, such as resources received, committed or spent resources, which facilitate and simplify accountability.

Records are also kept for administrative, historic and archival values of certain records. The organisation also needs to come up with a mechanism to check its compliance with policies and procedures for better administration. This mechanism should cover the records management system audit to hold non-complying members accountable.

### **4.4 Challenges that come with the organization and processing of records**

According to the respondents at the Ministry of Lands, Housing and Urban Development, the following are the challenges that come with the organisation and processing of records.

### **Insufficient space for records storage.**

Respondents clearly stated that this is the main challenge at the Ministry. Many records are processed on a daily basis but there's no storage space created, this makes organisation of records difficult since there's no space where some records can go.

### **Improper records storage practices;**

The study was able to evaluate that since there isn't enough storage space, some records end up being stored in inappropriate ways for example some files can be kept on top or below others, since these files are made up of paper they end up getting torn. Improper records storage practices makes retrieving of documents hard.

### **Lack of proper security for records;**

Based on different interviews the researcher was able to find out that records are not offered proper security which at times leads to loss of important documents. And through observation the researcher came up with a conclusion that in case of a disaster like a fire outbreak, the Ministry risks losing a tone of records because there's only one fire extinguisher stationed on the whole open registry where a lot of documents are kept.

### **Lack of trained personnel;**

Study findings show that lack of professionally trained assistant records managers contribute to problems of records storage since they lack enough knowledge to utilize space and create it in case it has run out. Untrained personnel also don't know how to handle records and in most cases important records tend to go missing.

### **Inadequate resources**

The Ministry of Lands Housing and Urban Development lacks resources to facilitate proper records storage practices, lack of space for storage and too much dust. The findings of this study are in agreement with researchers such as Kemoni and Wamukoya (2000), Iwhiwhu (2005), and Egwunyenga (2009) who confirm that African records keepers lack basic skills and competences for handling records and archives in the public sector.

## **Technophobia;**

In most offices especially among the older employees. Due to inadequate skills in information technology, records managers and archivists are very conservative and have phobia for computers. Also, one respondent stated that older employees are “too reluctant to jettison the old practices for new one”.

Additionally, research shows that, growing use of information technologies in record management creates a lot of problems in the management of records in both public and private organizations. It also states that in Africa and many developing countries governments are looking forward to computerizing their core functions and compelled most African countries to use ICTs in their public services by adopting e-government. Regrettably these projects fail to succeed because governments neither assess the available information framework suitable for electronic records management, nor consult the records managers to determine how the process of automation will not affect the role of records managers in providing reliable and authentic evidence. Last but not least research further states that the conversion from traditional records management activities to electronic environment will not succeed in Africa if the underlying processes are not structured in an efficient and effective fashion. Furthermore, many African states are jumping into the information technology bandwagon without adequately incorporating good records management strategies.

### **4.5 Possible solutions to the challenges that come with the organization and processing of records**

When the respondents were asked on the measures to improve records organisation and processing their responses were as shown below;

1. Acquiring of more shelves, the respondents suggested that that the government should acquire more shelves to create more storage space in the registries where diferent records are stored. this would help in improving proper records organisation and processsing of more documents wouldnt be a problem since there would be enough space for there storage.

2. Create and capture records for every activity that involves more than one party and that they should identify and record every process that generates records. This greatly reduces loss of data and further improve organization and processing of records.
3. Management of Ministry of Lands, Housing and Urban Development and archives staff should be responsible for providing all the appropriate record organization and processing training programmes to all relevant ministry staff. This will in turn help mitigate the various challenges that come with the organization and processing of records and also makes records authentic, complete and usable.
4. Respondents also suggested that organisation and processing are fields that need to be run by experienced professionals who will know what has to be done. It is therefore necessary that Ministry of Lands, Housing and Urban Development train their organization and processing staff to have a qualification in this field. Moreover, workshops and seminars should be organized by the Ministry of Lands, Housing and Urban Development to train staff on records organization and processing.
5. Ministry of Lands, Housing and Urban Development officials should be work shopped on the Records Management Policy and the Procedure and should be posted on Ministry of Lands, Housing and Urban Development's website for easy access. This introduces professionalization which later helps in mitigating the challenges that come with the organization and processing of records at the ministry.
6. Last but not least, according to research, proper records organization and processing also makes administrative governance in the organisation very easy. This is because it is with the availability of records that monitoring and evaluation of performance in different units of the organisation becomes easy and possible. It makes it easy for the leaders and management to identify mistakes, poor performance, good performance and improved performance of the past administrative activities. This may eventually lead to possible corrections and improvement.



## **CHAPTER FIVE:**

### **SUMMARY OF FINDINGS, CONCLUSIONS AND RECOMMENDATIONS**

#### **5.1 Summary of Findings**

##### **Description of respondents;**

In education level, majority of the staff at ministry of Lands Housing and Urban Development were degree holders taking up 55% while the rest were diploma and certificate holders. According to the gender distribution the male scooped the hugest percentage of 60% leaving the women with 40% hence the male staff are more than the female. In regards to working experience most of the staff had worked for a minimum of 3-4 years. Lastly about age, the average age of respondents in this study was about 36 years with the youngest respondent being 23 and the oldest 60.

##### **Records organisation and processing practices;**

According to the study finding, the key records organisation and processing practices at the Ministry are; records creation and capture, records audit, records analysis, disposal of records and records protection and security. Additionally the ministry appointed a staff member at senior management level to whom they can delegate the responsibility of ensuring that sound records organization and processing practices are implemented and maintained. Furthermore, the respondents added that the records manager also develops and implements records management policies, which are endorsed by the heads of the ministry such as the ministry and permanent secretary. Adherence to records management policies are continuously monitored and reviewed on an annual basis.

##### **Benefits of proper records organisation and processing;**

Furthermore, according to the findings of the study, proper records organization and processing has quite a number of benefits and according to the respondents at the Ministry of Lands, Housing and Urban Development these include; easy retrieval, access and disposal of records, ensure administrative governance, prevention and tracking of fraud and corruption, problem-solving and decision-making.

##### **Challenges that come with the organization and processing of the records;**

According to the respondents at the Ministry of Lands, Housing and Urban Development, the main challenge that comes with the organization and processing of records is insufficient space for

records storage. Other challenges that come with the organization and processing of records at the Ministry of Lands, Housing and Urban Development include; improper records storage practices are a challenge in retrieving office documents, lack of proper security for records affects the records storage practices, lack of professionally trained records managers contribute to problems of records storage, inadequate resources to facilitate proper records storage practices is a problem, lack of space for storage and too much dust.

### **Possible solutions to the challenges that come with the organization and processing of records;**

Respondents also suggested possible solutions which might be used to tackle the different challenges they are facing and some of these were; the ministry should capture records for every activity that involves more than one party to reduce loss of data, the ministry staff should be responsible for providing training programmes to all relevant staff to help in producing authentic records, respondents also suggested that organization and processing of records needs to be done by professionals to avoid unnecessary mistakes, they also suggested that the records organisation and processing policy be posted on the ministry's website for easy access and proper records organisation and processing to be done for administrative governance easy.

### **5.2 Conclusions**

The main objective of this study was to assess records organization and processing at the Ministry of Lands, Housing and Urban Development. According to the findings, there are more male personells in the ministry which implies the work is done in time since naturally males are more hardworking than females. The results of the study further revealed that the key records organisation and processing practices at the ministry are records creation and capture, records audit, records analysis, disposal of records and records protection and security. Furthermore, the respondents added that the records manager also develops and implements records management policies, which are endorsed by the heads of the ministry such as the ministry and permanent secretary. Study results further revealed that proper records organization and processing has quite a number of benefits and these included easy retrieval, access and disposal of records, ensure administrative governance, prevention and tracking of fraud and corruption, problem-solving and decision-making hence proper records organisation and processing is not done in vain, it pays off according to the benefits listed. Last but not least, the results of the study also showed that the

main challenge that comes with the organization and processing of records is insufficient space for records storage followed by other challenges meaning its not an easy process.

### **5.3 RECOMENDATIONS**

#### **Hiring more records managers;**

The study reveals the importance of a records managers and it is unfortunate that Ministry of Lands, Housing and Urban Development has only about three (3) records manager. The organization needs to appoint more records managers whose responsibilities will be compilation, implementation, maintenance and utilization of approved filing systems and the records filed according to these systems among other responsibilities.

#### **Training of new and other existing staff;**

Organisation and processing are fields that need to be run by experienced professionals who will know what has to be done. It is therefore necessary that Ministry of Lands, Housing and Urban Development train their organization and processing staff to have a qualification in this field. Moreover, workshops and seminars should be organized by the Ministry of Lands, Housing and Urban Development to train staff on records organization and processing.

#### **Security advancement;**

The records department needs to advance their security measures for disaster occurrence. It is much easier to deal with the occurring disasters if the department will improve its securities like installation of fire alarms, water sprinklers , limiting access to the records and employ a security guard to monitor the records movement.

#### **Record management policy be made more accessible;**

The research also recommends that all Ministry of Lands, Housing and Urban Development officials should be work shopped on the Records Management Policy and the Procedure and should be posted on Ministry of Lands, Housing and Urban Development's website for easy access.

#### **Implementation of a records control schedule;**

There should be a records control schedule to control and manage all Ministry of Lands, Housing and Urban Development records and prevent unauthorized removal and destruction of records.

**Creation of more storage space;**

The Ministry should also fund the binding of a new storage area and expand the previous one and eliminate the issue of records and archives being stored in the same room. The registries should also buy enough and strong equipment and materials to hold the pile of files recreated by the department.

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**APPENDIX A:**  
**INTERVIEW GUIDE**

- What is your sex?
- How old are you?
- What is your marital Status?
- What is your educational Level?
- How many years have you worked with Ministry?
- What category of staff do you belong?
- How do you organize your office documents?
- How often do you file the office documents?
- What kind of records organization and processing system do you practice at ministry?
- How are missing files organized at the ministry?
- How are missing files processed at the ministry?
- What are some of the benefits of proper records organization and processing?
- What the Challenges that come with the organization and processing of records?



## **APPENDIX B:**

### **OBSERVATION GUIDE**

The researcher observed the following:

- How office documents are organized.
- Nature/kind of records organization and processing system practiced at the ministry.
- How missing files are organized at the ministry.
- How missing files are processed at the ministry.
- Benefits of proper records organization and processing.
- Challenges that come with the organization and processing of records.

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**COLLEGE OF COMPUTING & INFORMATION SCIENCES  
EAST AFRICAN SCHOOL OF LIBRARY AND INFORMATION SCIENCE (EASLIS)**

June 19, 2018

The Permanent Secretary  
Ministry of Lands Housing and Urban Development  
P. O. Box 7096  
Kampala - Uganda



Dear Sir/Madam,

**RE: INTRODUCTION LETTER – KUTUUSA SHAMIRAH REG. NO. 15/U/6797/PS**

This is to introduce to you the above named student of East African School of Library and Information Science under the College of Computing & Information Sciences, Makerere University. She is offering a Bachelor's Degree in Records and Archives Management (BRAM) Year III.

As part of the study program, she is carrying out a research study entitled, "**Assessment of Records Organization and Processing at the Ministry of Lands, Housing and Urban Development**".

The purpose of this communication is to request you to offer her the necessary assistance required.

Please note that all the information obtained shall be used for academic purposes only.

Sincerely,

Dr. David Luyombya  
**HEAD OF DEPARTMENT  
RECORDS AND ARCHIVES MANAGEMENT**