ANALYSIS OF RECORDS RETENTION AND STORAGE PROCEDURES OF WAKISO DISTRICT LOCAL GOVERNMENT

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A DISSERTATION SUBMITTED TO THE DEPARTMENT OF RECORDS AND ARCHIVES MANAGEMENT IN PARTIAL FULFILLMENT OF THE REQUIREMENTS FOR THE AWARD OF THE BACHELOR’S DEGREE OF RECORDS AND ARCHIVES MANAGEMENT OF MAKERERE UNIVERSITY

AUGUST, 2018
DECLARATION

I assert that this report titled "Analysis of Records Retention and Storage Procedures" being submitted in partial fulfillment for the Award of the Bachelor of Records and Archives Management of Makerere University is the original work carried out by Nantongo Prossy with Registration Number:15/U/10878/PS and Student Number: 215017889

The work presented in this report has never been submitted for award of any degree or its equivalent, either in this or any other University / Institution for any academic award. Thus, the work is original, a result of my own research, and where other people's research was used, the authors have been duly acknowledged.

Signature................................................................. Date..............25/06/2018

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This report has been submitted for examination with the approval of the supervisor below.

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MR. SSENONO RICHARD
(ACADEMIC SUPERVISOR)
DEDICATION

I dedicate this work to my family members and friends who have encouraged, prayed and supported me throughout this report documentation and my entire course. I also dedicate this work to my research supervisor Mr. Ssenono Richard. He was exceptionally good to me, offering me academic and motivational guidance during the four months I have worked with him.
ACKNOWLEDGEMENTS

In assorted ways, a number of people have contributed to making this study achievable. First and foremost, I would like to thank Mr. Ssenono Richard whose supervision and guidance has enabled me to produce this exceptional and excellent work. Your contribution is forever enshrined in my heart.

I extend my sincere appreciation to the Head of Records and Archives Management Department and the Principal of College of Computing and Informatics Science. Writing this report would have been extremely difficult, almost impossible without the cooperation and assistance of the teaching and non-teaching staff of SCIT with whom I made numerous consultation in regards to this research study report. I am indebted to all of them for giving me their time and support during my dissertation writing.

Above all, I would like to thank the almighty God for his grace, wisdom and protection that allowed me to achieve my dreams of completing this research study with an exceptional report. Finally, yet profound, I would like to thank my parents, relatives and friends for their constant support throughout the years at campus and their constant provisions for these three years. May God richly bless them. The comments and help from all the people mentioned above are gratefully acknowledged.
LIST OF ABBREVIATIONS

DVD  Digital Video Disc
RAD  Records and Archives Department
USB  Universal Serial Bus
WDLG Wakiso District Local Government
WDHQ Wakiso District Head Quoters
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ABSTRACT

This research study was done to analyze records retention and storage procedures, a significant aspect of records management. The study was carried out at Records and Archives Department of Wakiso District Local Government in Wakiso district. Procedures of records retention and storage are a very vital element of records management which ensured longevity of records, validity and consistency. District Headquarters are among the highest records consumers as they relate the past to the present in order to predict the future. Wakiso District is solely responsible for implementation and supervision of both local and central government administrative, judicial, social, political, economic and traditional activities and also recruits personnel to perform every activity for betterment of the district education, security, trade and relation with other districts, regions and central government. This generates a lot of records which as revealed by the research study findings, is predominantly paper-based records mostly from generated from administrative, education, human resource and financial departments of the district. The study focused on finding the types of records created and stored at the Records and Archives Department of Wakiso district, the current retention and storage procedures, challenges facing procedural records retention and storage at records and archives department and the solutions to remedy the challenges. To achieve the above objectives, qualitative and quantitative approaches were used to gather and analyze the data. Purposive sampling method was used to help collect the collected information from qualified records users and the data collection tools used included interview guide, observation guide and questioner guide. The findings from the study helped the researcher to make recommendations and suggestions to help improve records retention and storage procedures.
CHAPTER ONE

1.0 Introduction

This research study examined records retention and storage procedures at Wakiso District Local Government and recommends the best strategies to improve record retention and storage procedures. This chapter covered the background to the study, problem statement, aims and objectives of the study, research questions, research significance, and scope of the study and definitions of key concepts of the study.

1.1 Background of the Study

Records contain information that is a valuable resource and important business asset to an organization or a public administrative unit. A systematic approach to records retention and appropriate storage facilities is a paramount consideration of records management in any organization.

Information is a basic resource and recorded information is very essential to an organization’s stability and growth. This information needs to be managed well, effectively and efficiently in order for it to be recognized as authentic and accurate. The accuracy and importance of a records is directly mapped to the records retention schedules of an organization. This implies that management of records practically involves scheduling of retention period in any organization Mnjama (2005).

According to the National Records and Archives Act (2001), Heads of organs of state shall be responsible for creation, retention, storage and disposable of records. Individual parastatals or government administrative units is responsible for establishing appropriate procedures for records retention and disposal. The Act provides that individual administrative units like divisions/sub counties, counties, districts or regions is responsible for its records in an accountable, effective and efficient manner through the implementation of a records management programme that takes into account related objectives such as orderly classification of records, retention and disposal, accessibility, security and confidentiality, training and performance and
quality management. This implies that just like any other districts in Uganda, Wakiso district is solely responsible for creation, maintenance, storage, retention and disposal of its records.

According to the Association of Commonwealth Archivists and Records Managers (2007), the effective management of records and archives throughout their life cycle is a key component of national development. It pointed that proper records management ensures that storage and retention should follow accepted standards and procedures in respect of the storage environment, fire precautions, health and safety and, if applicable, physical organization. It should allow easy and efficient retrieval of information but also minimize the risk of damage, loss or unauthorized access and disposal.

It would be impossible to be accountable without records, if government records were non-existent or poorly managed Parer (2000). Government must also protect the rights of its citizens, the environment, land rights and territorial integrity. Past records must be used to plan for the future of the nation and serve as part of its national heritage. Governments therefore, often protect their records more rigorously than private organizations or business entities do. All these are possible if there are functional government legislation in place to ensure that its records and archives are appropriately managed and preserved over time for accountability and historical reasons. Therefore, legislation like the National Records and Archives Act (2001) is expected to compel designated officers in records creation, processing, storage, retention and disposal to perform their duties. It is thus imperative to assert that Records Retention and Disposal procedures and storage standards should be well laid and followed in order to ensures accountable and effective government at district or national levels. It provides the essential framework that enables a district records and archives service to operate with authority in its dealings with other agencies of the state or private organizations.

According to the Wakiso District Statistical Abstract (2008/09), the district has the same administrative structure like any other district in uganda, with the district Local Council V (LCV) as the highest political office, Residence District Commissioner (RDC) as the representative of the national executive office and the Chief Administrative Officer (CEO) responsible for district businesses. The district has department of Information and Communication Technology (ICT) headed by the district information officer and is the overall
supervisor of the district librarians and records officers. The district Information officer (DIO) monitors and supervises the creation of retention and disposal procedures and storage standards. The abstract also pointed out that there is persistence loss and damage of records which is majorly due to poor storage facilities and unprofessionalism especially in deriving procedures for retention and disposal. In most cases district records officers discard information that after sometimes turn out to be valuable. However, the district cited a need for investment in Information Technology to improve the efficiency and effectiveness of district officials in running the district businesses and also coordinating projects with the central government.

Despite the fact that regional regions, towns or districts are continually being called upon to function in an independent manner in order to be self-sustaining and to remain competitive, they overlook the enormous advantages that proper records management practices could contribute to the achievement of their objectives (Procter, et al, 2002). This problem is not strength at state administrative units especial regional and district levels.

According to Chibambo (2003), a good records management framework consists of information-related laws, policies and programmes, records retention schedules and storage standards, and the necessary qualified human resources to implement and manage the record management system being implemented by the organization. Without an organized records management framework there is a deficit in information access created. Such deficit contributes to inadequate and improper decision making within organizational establishments. To avert the crisis, information provision and attention to records and archives management, preservation and conservation of record materials need to be anchored in with effective and consistent analysis of how records are managed in an organization.

The power of knowledge can only be generated if records and archives are properly managed. Good management of records and archives is fundamental to a well-functioning organisation since it supports business activity and provides a basis for efficient service delivery. It also provides the mechanism whereby both the private and public sectors can account for their decisions and actions. Simply put, good records management is simply good business practice. This is in essence possible with a functional procedures and standards framework in place. It is prudent for the records and information professionals not just to accept that any standards or
procedures is good enough; it may be that obsolete procedures need to be analysed, revised and restructured in order to address the realities of records and archives care in the 21st century (Okello-Obura. C, 2011). This necessitates frequent and comprehensive analysis of the records storage and retention procedures as one of the fundamentals of records management.

1.1.1 Background of Wakiso District

Wakiso District lies in the Central region bordering with Mpigi, Luwero, Nakaseke and Kiboga districts in the North; Mukono in the East, and Kalangala district to the South. Wakiso covers a total area of 2,807.7 square kilometers (Wakiso District Statistical Abstract, 2008/09).

According to Wakiso District Website (2018), Wakiso District is made up of two counties of Busiro and Kyadondo. It has seven constituencies, three in each of the counties and one in Entebbe Municipality. It also has 15 Sub Counties, one Municipality and six Town Councils. The headquarters of the district are located in Wakiso Town Council, about 16kms from the capital Kampala, off the Hoima highway. The District has 146 Parishes, 704 Villages and two Town Boards of Matugga and Kyengera. The counties, parishes and villages are administrative units while the Sub Counties/Town Councils and Municipal Divisions are Lower Local Governments. The Municipality and Town Councils are self-accounting and corporate bodies.

Formerly part of Mpigi District, it came into existence in 2000, when the 3 counties of Mpigi District-Busiro, Kyadondo and Entebbe Municipality became Wakiso District. The people in this district are predominantly Baganda and the main language of communication is Luganda. The district has over 562,609 people, 282,887 of which are female and 277,722 are male (Population Census, 2014).

1.2 Problem Statement

In a bid to look at records and archives problems in Africa and Uganda in particular, emphasis has been put at: inability by researchers to use archival information; inadequate finding aids; lack of recognition by national governments of the role played by archival institutions; inadequate number of professional archivists; lack of adequate records and archival training schools; lack of professionalism in retention and disposal procedures; poor systems of records and archival
arrangement and description; understaffing of records and archival services; poor storage facilities for records; and inadequate retrieval tools (Mnjama, 2005).

Despite the fact that Records and archives retention and storage is considered as an essential component of the wider Records and Archives Management to ensure accountable and effective local or national government, the analysis of the issues of outdated records and lack of retention procedures and storage standards have not been given enough prominence in Uganda especially at district levels. Where the standards and procedures are in place, not much is done to ensure its implementation and effective functioning. The absence of retention procedures and the existence of ineffective and outdated storage can affect how records are managed in general. Many countries in developing countries have either weak laws or inactive legislative provisions to promote good records and archives management. Secondly, not much effort have been made to recruit and engage professional to design guidelines and procedures to meet the needs for proper records and archives management. This study seeks to examine records retention and storage as one of the core elements of records management necessary to improve the importance, values and live spans of records in Wakiso district records and archives department.

1.3 Main aim of the study

The main objective of the research study is to examine comprehensively retention procedures and storage standards of records in Wakiso Local Government.

1.3.1 Specific Objectives

1) To identify the types of records created and stored at Wakiso district Records and Archives Department.
2) To examine the current records retention and storage being applied at records and archives department of Wakiso district
3) To identify the challenges facing records retention and storage at records and archives department of Wakiso district
4) To identify solutions to the challenges of records retention and storage at records and archives department of Wakiso district
1.4 Research Questions

1) What records are created and stored at Wakiso district Records and Archives department?
2) What are the records retention procedures and storage standards usable at the district?
3) What are the challenges facing records retention and storage?
4) What are the possible solutions applicable to the challenges of retention and storage of records?

1.5 Research Study Scope

This sub-theme discusses the geographical, conceptual and time coverage of the research study

1.5.1 Geographical Scope

According to Wakiso District Statistical Abstract (2008/09), Wakiso District lies in the Central region bordering with Mpigi, Luwero, Nakaseke and Kiboga districts in the North; Mukono in the East, and Kalangala district to the South. Wakiso covers a total area of 2,807.7 square kilometers.

1.5.2 Conceptual Scope

The study primarily focused on the analysis of the records retention and storage procedures. The researcher focused on examining retention procedures and storage of records. This involved identification appropriate standards and procedures for retention, challenges facing records retention and storage, solutions and recommendation to address the challenges.

1.6 Definitions of Key Terms

This study involved the use of key terms which are stated, defined and briefly explained below;

1.6.1 Records

Every means of recording upon any tangible thing in any form of communication or representation, including letters, words, pictures, sounds, or symbols, any combinations of these or other means to engage in business, regardless of media.
According to the Records Management Standard AS ISO 15489.1, (2016), records are defined as information created, received, and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business.

### 1.6.2 Retention and disposal Period

This Schedule sets out pre-designated minimum retention periods and disposal actions for all record categories and types from the year of closure of a file or folder. These minimum retention periods reflect long-standing good practice based on the experience of Records and Archives Department of an organization to meet business needs and accountability requirements. In some cases, statutory retention requirements apply and where this is known, the relevant legislation is noted in the Schedule. The retention period commences once a file or folder has been “closed”.

### 1.6.3 Retention and Disposal schedules

According to the National Records and Archives Act (2001), retention and disposal schedule means a document describing the recurring records of an institution or an administrative unit of that institution, specifying which records should be preserved permanently as having enduring value as archives and authorizing on a continuing basis and after the lapse of prescribed retention period or the occurrence of specified actions or events, the disposal by destruction or other means of the remaining records.

### 1.6.4 Records Retention Procedures

Records Retention Procedures refer to the documented and approved steps followed during the process of record retention. These steps must be approved by authorized administrative heads as mandated by the Records and Archives Act 2001.

### 1.6.5 Disposal

According to the records Management Guide (2006), disposal refers to the action when a record identified in the organization’s file plan as an official record, is either destroyed (according to the set procedure) or archived at one of the official organization’s Archives (according to the set procedure) after the expiry of the retention period indicated in the organization’s file plan and disposal schedule.
1.6.6 Retention

Retention refers to the period an official organization record has administrative or operational value to the organization and should be kept in safe and secure custody in records storage areas or the network drive or approved electronic system by the relevant record owner until a disposal action is undertaken (North-West University, 2016).

1.6.7 Records Storage

The act of physically moving inactive or other records to a storage location until the record retention requirements are met or until the records are needed again.

1.7 Significance of the Research Study

By the end of this study, the findings derived shall be of paramount importance to various categories of people and organizations as discussed below;

The findings to help Wakiso district records custodians and authorities to apply the most suitable records retention procedures and storage standards. The recommendations from the researcher will be of great considerations in the records management decisions in the district.

The findings of the study to also help other future researchers, academicians and students from Makerere University and other institutions of learning as it will provide a body of literacy and methodology for use in such other similar studies in the area of paper-based records preservation and conservation.

The findings shall also help other districts, parastatals, national government and private organizations to derive suitable retentions and disposal schedules and deploy appropriate records storage precautions in their records and archives management.

To the researcher, the findings will widen his records and archives management knowledge especially in the field of retention and storage as concepts of records management.
1.8 Conclusion

This chapter has presented the background to the study, problem statement, main and specific objectives of the research, research questions, scope of the study, significance of the research study and definitions of key terms of the study.
CHAPTER TWO: LITERATURE REVIEW

2.0 Introduction

A literature review is an evaluative report of information found in the literature related to your selected area of study. The review should describe, summarize, evaluate and clarify this literature. It should give a theoretical base for the research and help you (the author) determine the nature of your research (Dena. T, et al.2009).

This chapter discusses the sub-themes in relation to previous publication in order to identify the strengths and weaknesses of the paper-based management system and appropriate strategies to solve the problems faced in the process of records management at Wakiso District Headquarters. The sub-themes include analysis of records storage, maintenance approaches, retrieval and disposal methods and the needs for records management.

2.1 Records Created and Stored

2.1.1 Administrative Records

Records which pertain to the origin, development, activities, and accomplishments of the agency. These generally fall into two categories: policy records and operational records.

2.1.2 Policy Records

Records that relate to the organization such as plans, methods, techniques, or rules which the agency has adopted to carry out its responsibilities and functions. These include three basic categories.

Organizational Documents. budgets and budget planning records, fiscal records, organizational and functional charts.

Governing Documents. These are manuals, directives, orders, and interpretations issued from top authority levels, correspondence files of high-level officials, regulations, circulars, instructions, memoranda or regular issuances that establish a course of action, and staff studies or special reports relating to methods of workloads and performances.
Reporting Documents. Annual reports, periodic progress or summary reports, special reports or accomplishment, transcripts of hearings, minutes of meetings and conferences, and agency histories.

2.1.3 Operational Records

Records necessary to implement administrative policies, procedures, and operations. The operational value is the usefulness of a record in the conduct of an organization's business. Examples include mandates, procedural records, or records that give direction. Legal Records value include those with evidence of legally enforceable rights or obligations of the organization or state. These may include:

- Records relating to property rights: land, probate, contracts, agreements, leases, licenses.
- Records relating to citizenship rights: vital statistics, such as birth, death, marriage, some legal proceedings, and criminal cases.
- Records relating to employment: veterans' records involving legal rights attached to employment, basic state personnel records, and, in some cases, payroll records.
- Records containing information required to protect the institution against claims or to enforce statutes: executive orders, rules, regulations, and records to establish or support judicial opinions and interpretations.

2.1.4 Fiscal Records

Records that have fiscal value relate to an agency's financial transactions. These may be budgets, payrolls, vouchers, and accounting records. After records have served their primary administrative purpose, it may be necessary to preserve them to document the expenditure of public monies and to account for them for audit purposes and requirements.

2.1.5 Historical Records

Records worthy of permanent preservation for reference and research purposes are selected for deposit in the state Archives at the Connecticut State Library. These records are retained for
many uses. Public officials use archival records to protect the government, to give consistency and continuity to their actions, to prevent duplication of efforts, and to find successful ways for solving recurrent problems. Records are also kept to protect citizens' legal rights and for research in many fields to advance general knowledge and understanding (Sydney, J. at el. 2006).

2.1.6 Research Records

Records used in scholarly studies and investigations. Researchers want to extend human knowledge using basic historical evidence. These records may include important information on individuals, corporate bodies including their problems and conditions, and significant historical events. Researchers may include case files and correspondence of a regulative and quasi-judicial nature, statistical and other data on economic development, population changes, and/or major movements in our society. Many of these records have informational, administrative, and archival value.

2.1.7 Education Records

According to State Library of Victoria, (2013), educations records are documents or files that contain individual or group information about academic excellence, schools and learning institutions, education materials and staffs. This majorly comprises of records pertaining performance of individual schools in the national examination, recommendations, location and details of individual schools in the district, recruitment rate records. Wakiso district possesses a lot of education records mainly generated by primary, secondary and higher education institutions in form of performance, disciplines, curriculum activities, sports, music and dance, population, teachers’ records, school registration details and reports and directives from the ministry of education and sports

2.1.8 Social Records

According to the National Records and Archives (NRA) Act (2001), social records contain information regarding social gathering places, entertainment, bars, recreation centers, norms and values people, and appropriate safety records. Wakiso district keeps the details of social activities both in rural and urban communities of the district. This helps guide the district in its
service delivery and supervision of these activities which include among others night parties, rallies and events, sports and entertainment events.

### 2.1.9 Security Records

This involves information regarding the safety of the general public, responsible authorities for providing security, administration of security organs, criminal records, measures taken to eradicated crimes in the district and protection measures for district officials and premises (NRA Act. et al. 2001).

### 2.1.10 Staff records

Departmental/service-managers are responsible for the safe-keeping of the personnel files of all their current staff. Leavers’ files are to be collated centrally, stored and indexed alphabetically by surname and year of leaving the organization. The index must be maintained and include tracking information. Records of current training will be kept electronically. Older training records which need to be retained will be kept with personnel files. Files may be weeded when they become inactive but in general must be retained for 6 years after the individual leaves the Trust. Just like any other public or private administrative unit, Wakiso district keeps records of both current and old employees of the district. This majorly includes the names, age, titles, employment status which is either current or old.

### 2.2 Records Retention and Storage

#### 2.2.1 Record Retention

To determine whether the department/unit practices records retention and electronic data retention that are compliant with district records policies and procedures, national and international laws on retention involves a series of procedures. Records retention procedures are systematic steps taken in implementing records retention processes (Margaret Rouse, 2017). The procedure followed to implement records retention are as discussed below;
The first step in the retention procedure is consideration of standard and appropriate records packaging approach.

This involves use of recommended packaging materials. Only standard cartons issued by the Department of Administration (Administration) may be used with agreed and approved specifications in terms of the size or volume and there must be no write or print on the box lid. Boxes may not contain anything except eligible paper documents in manila folders and/or hanging folders. All folders within the boxes must clearly be labeled. Each folder should be reviewed before storage by an area supervisor to determine that all contents are necessary for storage. Throw away any unnecessary correspondence. Be selective about all materials kept.

All material pertaining to a common subject should be kept together. Place items with the same destruction date together. Fill all boxes. However, do not over pack to the extent that the box becomes too heavy or misshaped.

Refer to the district Archiving Retention Schedule to determine when to destroy the documents. If the documents are already past their destruction date, set aside for destruction. If items are not vital or sensitive in nature, throw them away. It is best to keep up with your files and not let file drawers fill up with unused documents (Michele, R. 2018). When district records are due for destruction it must be done completely so that no information is retrievable. Hard copy (paper) records are to be destroyed by shredding, pulping or trammelling. Burning or burying of district records are not acceptable methods of destruction. Electronic records should be destroyed either by physical destruction of the storage medium (for example cutting, smashing, or pulverising) or by such methods as digital file shredding. Destruction methods must ensure that information is unrecoverable. Rewriting, degaussing and reformatting can be used to scramble data which makes recovery more difficult, but be aware that data can still be retrieved after applying these methods. The use of the “delete” function in software packages is not sufficient to destroy electronic records stored on media such as floppy disks, hard disks and rewritable optical disks, as the information may still be recovered (Benjamin, B. 2017). If records are stored on microform or tape (audio or video), the storage medium should be physically destroyed, or the information overwritten, so that no information is retrievable. Shredding, cutting or chemical recycling are appropriate methods of destroying such records.
The second procedure is the arrangement and definitions of terms used in the retention and Disposal Schedule. The Retention and Disposal Schedule has been arranged in three parts:

Part A covers Administrative and Functional Keywords. This records cover the operational, functional and administrative records of the district. The records are labelled A signifying their importance to the core values, existence and running of the district businesses.

Part B covers Common Activities. Part B covers frequently accessed records, statements like financial, policy, human resource and project records.

Part C covers Database and Website records. All districts in Uganda have website and links to the Uganda Government website portal as a means of delivering services and advice to the people of the district and Uganda at large. The National Records and Archive Act 2001 requires public offices to make and keep full and accurate records of their activities. Records of website-based or electronic mails (emails) transactions or dealings must be kept as evidence, including website content, records of online transactions and records documenting the administration of websites.

The third procedure is classification of records in the Retention schedules.

Classification of the records provides context of records and specifies retention and disposition of records which subsequently ensure ease of retention and general management of records (Ellie, K. 2018).

Archive records. This is a record category identified as having archival value, that is to be transferred to the National Records Office for permanent retention as district archives.

Archive within the records and archives department of Wakiso district. Referred to a record category identified as having archival value, which the District Information Officer or Records custodian has approved to be retained permanently within the Records and Archives Department. In the case of the district ceasing to exist and no successor administrative identified, the National Records Office were consulted for appropriate guidance as stipulated by the Records and Archives Act 2001.
Description of Records. Describes the type of record covered within the section. The retention and disposal schedule should be described to eliminate misinterpretation and confusion during implementation.

Destroy (D). A record category identified as having temporary value, and which ultimately will be destroyed. The records are destroyed under strict procedures and methods recommended by the district records custodian and in accordance with National Records and Archives Act.

Recommended Custody. Specifies the minimum retention period for which records are to be retained, onsite or offsite, prior to destruction or transfer to the State Records Office for permanent retention as State archives. Includes the action or trigger that begins the retention period.

Reference Number. The reference number within the Retention and Disposal which is used to uniquely identify the records. The records that the district has considered to be valuable are labelled R (Retain), records that have ceased to be of importance or has expired and can be eliminated is labelled D (Destroy) and final there are records that the authority through the district chief records officer recommend to be kept in the district archives, this category of records are labelled A (Archive).

Retain within Records and Archives Department) of Wakiso District. This defines the record category which has been identified as not having archival value, but will be retained permanently within the RAD. In the case of the Wakiso District ceasing to exist and no successor agency identified, the State Records Office get consulted.

2.2.2 Storage of Records

According to the National Records and Archives Act 2001, the effectiveness of records systems depends on knowledge of what records are held, what information they contain, in what form they are made accessible, what value they have to the organization and how they relate to organizational functions. Without this knowledge an authority will find it difficult to: Locate and retrieve information required for business purposes or to respond to an information request; Apply the controls required to manage risks associated with the records; and ensure records are disposed of when no longer needed.
Authorities should gather and maintain data on records and information assets. This can be done in various ways; through surveys or audits of the records and information held by the authority. It should be held in an accessible format and should be kept up to date. Authorities should consider publishing details of the types of records they hold to help members of the public planning to make a request for information under the guidance of the National Authorities.

When the types, form or specifications and contents of records are known, appropriate storage facilities or devices can easily be recommended in order to ensure safety and longevity of the records.

Storage should provide protection to the level required by the nature, contents and value of the information in them. Records and information will vary in their strategic and operational value to the authority, and in their residual value for historical research, and storage and preservation arrangements reflecting their value should be put in place (Kylie, W. et al. 2001).

Authorities should be aware of any specific requirements for records storage that apply to them. The authorities should follow recommendations for the storage and exhibition of archival documents, mainly those on paper and parchment (Ngulube, P. 2004).

According to the Conservation Center for Art and Historic Artifacts, (2009), storage should follow accepted standards in respect of the storage environment, fire precautions, health and safety and, if applicable, physical organization. It should allow easy and efficient retrieval of information but also minimize the risk of damage, loss or unauthorized access.

Records that are no longer required for frequent reference can be removed from current systems to off-line or near off-line (for digital media) or to off-site (for paper) storage where this is a more economical and efficient way to store them. They should continue to be subject to normal records management controls and procedures. The accessibility of these records should not be compromised.

The whereabouts of records should be known at all times and movement of files and other physical records between storage areas and office areas should be logged.
2.2.3 Forms of storage Systems and Media

The district is responsible for the safety of all local and central government records under its jurisdiction of custody. The safety and longevity of these records highly depend on the storage types and facilities taken by the authorized custodians and administrators of the records. The great thing about record storage systems is how many options you have. If you want to move your documents to a secure, offsite storage facility, you can benefit from the valuable office space, protect your records from being misused, and prevent the threat of an environmental hazard.

Hybrid document management system; allows you to choose which documents you want to be digitized and which you would rather file yourself in your cabinet. This way you can balance your budget by only digitizing documents that need to be converted (Allison D. 2016).

Electronic document management system; if you want to completely transform your records storage into an electronic form, then you have the option to start scanning your documents from a certain day forward with Day-Forward Scanning services or you can use Backfile Document Scanning and convert all of your records into digital copies in one project.

Paper-based Records Management Systems. Paper-based record management systems have been the traditional and primary method of storing business records and other documents until the later part of the 20th century. Usually, it includes the processes of maintaining and storing physical or hard-copy document (McHugh, R. 2016).

The Most Common Electronic Storage Devices

Storage keeps data, information and instructions for use in the future. All computers use storage to keep the software that makes the hardware work.

As a user you store a variety of data and information on your computer or on storage media. Storage media are the physical materials on which data, information and instructions are kept. When a user saves information or data to a storage medium he or she is storing a file, and this process is called writing.
When the file is opened the process is called reading. Common storage media are:

Hard Drive: This storage medium comes with the computer and is always inside the computer. It stores all the programs that the computer needs to work. In addition, users store their data and information on the hard drive.

Floppy Disk: This storage medium is considered to be a portable storage medium. You put it into the computer save your information on it, take it out, and take it with you wherever you go. This type of storage medium is getting outdated and it is being replaced by CD/DVD and USB Flash Drive

CD&DVD These types of storage media hold much more information than a floppy disk. They are also considered portable storage. These types of storage media come in different forms. This means that there are CDs and DVDs that you can only save information on but you cannot erase the information. In addition, there are those that can both save information on and erase the information you have saved.

USB Flash Drive: This is a storage medium that is very easy to carry around and it also holds more data than a floppy disk. As you can see from the picture below it is very small when compared with the others.

Online and cloud: Storing data online and in cloud storage is becoming popular as people need to access their data from more than one device.

Storage for Physical Records (Paper records)

Physical records should be stored in a secure (locked or swipe access) storage area with the appropriate environmental conditions. It should be located away from water pipes, electrical plants and other fire hazards, kitchens and toilets. It should have good drainage, no direct sunlight, and should be well ventilated and kept free of dust and pests.

It is generally advisable to have separate storage areas for active records (i.e. records that are frequently required) and inactive records (i.e. infrequently required records). Storage areas for active records should be centrally located or at least easily accessible, so that staff can readily
retrieve any records they need. Storage areas for inactive records can be more remote, including off-site (Tasmanian Archive & Heritage Office, 2010).

Regardless of where you store inactive records, you will need to create and maintain a Register of Inactive Records cataloguing and describing the content of boxes and folders, where they are kept, how long they need to be kept, and a barcode or box number.

Paper records should be stored in clearly labelled and numbered files, preferably secured using plastic tube-clips, as these make viewing, adding, removing and photocopying the contents of the file easier and don't leave rust marks or buckle/jam like lever-arch files or ring binders.

Temporary records should be stored in good quality heavy-weight manila folders or lateral files (white or buff). Permanent records should be stored in archival quality acid-free lateral files. Reinforced colour tabs are recommended to identify the originating area/division/section. Alphanumeric colour-coded labels help identify misfiled folders. Lateral file fasteners/tube clips make viewing, adding, removing and photocopying contents of the file easier. These can all be sourced from archival supplies companies such as Archival Survival or Rolls Filing (University of Tasmania, 2017).

Files containing records in active use should generally be kept in lockable lateral filing cabinets or in open shelving bays in a secure but easily accessible storage area. Files containing inactive records can be stored in boxes: temporary records can be stored in standard archival boxes such as those sold by commercial storage providers, but permanent records will need to be kept in Type 1 (17x25x38cm) acid-free archival boxes (blue/grey in colour). Number or barcode boxes so that retrieval is easier (McHugh, R. 2016).

**2.2.4 Storage Issues in Management of Public Records**

The most important issues you need to consider when preserving and storing your collections have to do with the quality of the storage environment and location. Other issues you should consider relate to use of offsite storage space, storage and handling supplies, ease of records retrieval, and access to restricted records.
**Storage Environment**

One of the most important issues you need to address when storing your government records is the stability of your storage environment. Maintaining a stable temperature and relative humidity, as well as protecting your collections from water and direct light, will greatly increase the quality and life of your collections. Use the State Archives’ *Storage Checklist* to help evaluate the storage conditions at your facility.

**Storage Location Categorization**

Today more than ever, businesses and organizations of all industries have significant amounts of data that must be managed regularly. Not only do records need to be organized and filed for general business efficiency but the government also requires record retention for tax and other legal purposes. This has left organizations to make decisions on how and where to store their ever growing records both in volume and importance (Heisdorffer, C. 2015). Wakiso district is no difference from these organizations. The district has to make the best decisions on how and where to keep its records basing on factors like storage space and structure, financial and human resources, importance of the records, ease of accessibility or retrieval, security of the records and more importantly the national laws and regulations that government records and archives management.

There are two categories of records storage locations/sites. An organization can keep records onsite or offsite. Each of these records sites have their strengths and weaknesses which a person or organization should put in consideration before deciding where to keep the records.

**Onsite Storage Facility**

Many companies need to store their business documents at their own premises for either legal or organizational reasons. If you are storing your important documents on site it’s important to main a proper document management system. This means someone should be placed in charge of certain documents and monitors them from creation to destruction. The most common document management mistakes are a result of human error. If you choose to store your document onsite make sure to develop an effective Records Management Plan (Morgan O’Mara,
All organizations produce records, and for many, especially in the public sector, those records are an important part of the organization’s function. Compliance requirements also make the professional management of records a must, especially for large organizations with substantial volumes of documents to handle. As provided by the National Records and Archives Act 2001, every government institution has the obligation and mandate to create, process, store and use its records within its jurisdiction of operation unless stated otherwise by the regulating authority.

**Offsite Storage Location**

Many organizations turn to offsite storage when space in their main storage facility becomes limited. Although you might feel reluctant to use offsite storage, it is an excellent option for storing certain types of records. You might want to consider offsite storage for records such as master copies, copies of inventories and collection locators, disaster plans. Offsite storage can keep your most important records safe in case your main storage facility is damaged. Infrequently used collections and records can also be kept offsite as the need for access is limited. You can use controlled entrances, “Restricted” or “Staff Only” signs, or areas that are separate from public areas to keep your collections secure. Also, use staff and volunteers to monitor access to restricted areas. Offsite records storage come with advantages; Increase the use of space within your office; efficiency retrieving crucial documents; protection of secure information from theft or accidental destruction; and cost-Effectiveness (Mark A. Vargas, 2005).

**2.3 Challenges facing Records Retention and Storage**

**Paper-based materials in particular absorb water very quickly;** when damaged by water, inks can run or dissolve, mould can grow and stains can appear. Papers may stick together and glues will soften and run. Water also raises relative humidity in an environment, leading to mildewing and warping. Water damage can come not only from putting out a fire but also from leaks, floods or heavy rains.

**Unauthorized access to records.** According to the National Records and Archives Act (2001), government agencies and administrative units greatly suffer from unauthorized access to
sensitive records and information. A challenge which the Act has an inclusive strategy to tackle in order to ensure safety of records and information.

**Lack of professional records retention personnel.** Retention procedures involves developing retention and disposal schedules. This schedule can only be best designed and followed by experienced professionals in the field of records management. With managing electronic documents, there is need for certain level of skill and capability to handle such documents without causing the meta-data (such as the creation, modified or last access dates) to change, thereby affecting the admissibility of documents should they be needed later for retention processes. A category which is very hard to acquire by organizations due to shortage of adequately stocked training institutions (Wamukoya, J. 2000).

**Cost.** Retaining paper files is an expensive proposition. When a company factors in the cost of filing materials, the salaries of filing clerks and the real estate expenses associated with file storage, the true cost of keeping documentation can be exorbitant. According to PricewaterhouseCoopers (2017), the average organization spends about $20 in labor to file each paper document, approximately $120 in labor searching for each misfiled document and $220 in recreating a document. Add in the fact that 80 percent of documents are never recalled once they are filed, and the expense becomes difficult to defend.

**Lost Documents.** The expense of keeping paper files might be acceptable if companies could find each document when it is needed. In reality, paper documents go missing regularly. In some cases, they are simply misfiled. Other times, they are lost forever. In major urban centers, companies regularly outsource their filing to an off-site file management company. When a requested file is not found at an off-site facility, companies must expend tremendous resources retrieving boxes of archived documents, hoping to find the missing document. Some documents are never found, requiring the company to recreate the information or abandon their efforts completely and accept any consequence (MacKechnie, C. 2018).
**Electronic documents are very mobile.** They can be easily distributed to a vast number of parties and stored in multiple versions and locations. As a result, it becomes difficult to manage and control the retention and dissemination of these documents.

While the existence of numerous copies and versions of electronic documents may not have a significant impact on an organization's day-to-day operations, it becomes an overwhelming task to locate, identify, extract and review these documents when full disclosure is requested by regulatory authorities during time for retention exercise.

### 2.4 Solution to the Retention and Storage Challenges

Preservation activities aim to minimize the physical and chemical deterioration of records and other artefacts, and to prevent the loss of information content (this is also known as passive conservation). Active conservation involves remedial treatment, preserving records or other artefacts in their original format, and should be undertaken by qualified professionals (Mary L. et al, 2013).

According to the National Archives of Mauritius (2018), controlling light ideally, records and archives should not be exposed to any light, as long as they are in an environment with controlled temperature and relative humidity. While materials cannot always be kept in the dark, it is possible to reduce the effects of light by keeping all materials covered or boxed when not in use and by providing only the minimum amount of light necessary for any required task involving archival materials.

According to the International Records Management Trust (2006), pollution can be controlled through among others storing poor quality paper products, such as newspapers, separately from archives, so that the pollutants generated when the newspapers deteriorate are not transferred to valuable materials, storing records in boxes, containers or file cabinet to keep out dust and dirt,
sealing untreated wood such as shelving with an interior latex paint, placing photocopiers in well-ventilated areas away from record storage, storing records and archives away from engines, machinery, exhaust fans or other pollution-generating equipment, prohibiting smoking, eating or cooking near records or archives and dusting and cleaning regularly and thoroughly to keep dust particles at a minimum.

The National Archives of Mauritius (2018) recommends fumigation One way to remove insects or mould is to fumigate documents. Fumigation is the process of exposing documents and records to a toxic chemical, in a gaseous form, to kill the insects and mould. This procedure usually requires special equipment, chemicals, and a level of preservation expertise.

Every effort should be made to reduce the threat of fire. Hazardous materials such as chemicals, paints and solvents should be removed from records storage areas. Archival materials should not be stored on the floor, in corners or in such a way that fire could jump from one box or bundle to another quickly (Oyiti, M. 1998).

Allow only staff or volunteers to retrieve records, and monitor the use of records. Allowing only staff members to retrieve records gives you greater control over the use of your collections. Your staff should also supervise researchers as they use the records they have requested. Some historical societies monitor the use of records, providing valuable information on future research needs.

Organizations must have a records retention and storage policy (for instance, determining what documents should be retained, for how long and where these documents should be stored). Their document retention policy should also include the procedures for systematic destruction of documents. They should also have procedures to monitor and enforce compliance with these policies. The policy should clearly quote storage standards, forms and location (McHugh, R. 2016).
CHAPTER THREE

3.0 METHODOLOGY

Methodology is a systematic theoretical analysis of the methods applied to the field of study which comprises of the theoretical analysis of the body of methods and principles associated with a branch knowledge (Mungo, 2014).

It consists of research tools and techniques, major algorithm and data structures to be employed in the research study, data collection, analysis, design, logical flow, implementation, testing and validation.

3.1 Research Design

According to Kothari (2007), research design is a plan of what data to gather from whom, how, when to collect and how to analyze the data obtained. The study employed both qualitative and quantitative research design. The researchers carried out interview with the librarians, students and heads of administrative units and also issued them with questionnaires. These categories of respondents are the main users of the records to be preserved and conserved at WDHQ in order to get primary data as well as secondary data.

3.2 Study Area

This research study analyzed records retention and storage in Wakiso district. The data for this study was collected by conducting field work at Records and Archives Department of Wakiso District using interview and questionnaire as the research instruments. Records and Archives Department of Wakiso District is located Wakiso district Local Council headquarters.

3.3 Study population

The population study comprised of the records manager, records attendants and the head of records and archives department.

3.3.1 Population Size

Population size is the estimated current total population of the species within the area of interest (globe, nation, or sub nation), based on naturally occurring and wild individuals of reproductive
age or stage (at an appropriate time of the year), including mature but currently non-reproducing individuals (Kothari, et al., 2004)

3.3.2 Sampling

The method of purposive sampling was used to develop the sample of the research under discussion. According to this method, which belongs to the category of non-probability sampling techniques, sample members are selected on the basis of their knowledge, relationships and expertise regarding a research subject (Freedman et al., 2007). In the current study, the sample members who selected have special relationship with the phenomenon under investigation, sufficient and relevant work experience in the field of records preservation and conservation, active involvement in several records and archives safety and security and adequate experience with and exposure to records and archives. Within this context, the participants of this study were, Records Manager, Head of Department, Records Officers and IT and Data Officers of Wakiso District Headquarters.

3.4 Data Collection Methods

Data were mainly collected from two sources; the primary and secondary sources. Primary data was collected through questionnaires and observation while secondary data was collected from reports, journals and Internet (O’Reilly Media, 2011).

3.4.1 Interview Method

For the purposes of this research, in depth interviews were used. In depth interviews involves personal and unstructured interviews, whose aim is to identify participant’s emotions, feelings, and opinions regarding a particular research subject (Spyros Lankos, 2014). The main advantage of personal interviews is that they involve personal and direct contact between interviewers and interviewees as well as eliminate non-response rates (Fisher, 2005, Wilson, 2003).

What is more, unstructured interviews offer flexibility in terms of the flow of the interview, thereby leaving room for the generation of conclusions that were not initially meant to be derived regarding a research subject (Gill & Johnson, 2002).
Allows respondents to describe what is important to them. Interaction with the interviewer gives more room for extensive elaboration of vital information by the interviewee. This may be impossible to express in writing. One is able to pay attention to body language and expressions which may indicate levels of excitement or discomfort brought about by certain questions. Such question can highlight where there is a chance of information being falsified, where there is dissonance between what is being said and what one strongly feels about the matter, or even to validate a point being emphasized (Collis & Hussey, 2003).

### 3.4.2 Questionnaires Method

The researcher used a quantitative study method by utilizing a survey questionnaire that was given to records manager, head of department, records attendants and IT and data officers at the Records and Archives Department of Wakiso district. The survey used direct questions to investigate activities, processes, events, actions, steps or procedures involved in accomplishing the research study area (Kumar. R, 2005). For this research, the researcher collected information that helped me accomplish the specific objectives of the study. Questionnaires provide a relatively cheap, quick and efficient way of obtaining large amounts of information from a large sample of people. Data can be collected relatively quickly because the researcher would not need to be present when the questionnaires were completed. This is useful for large populations when interviews would be impractical. Often a questionnaire uses both open and closed questions to collect data. This is beneficial as it means both quantitative and qualitative data can be obtained. The results of the questionnaires can usually be quickly and easily quantified by either a researcher or through the use of a software package. The quantified data can be analyzed more 'scientifically' and objectively than other forms of research (Popper. K, 2004).

### 3.5 Research Instruments

Research Instruments are measurement tools which include among others interview guide, observation guide, questionnaires or scales designed to obtain data on a topic of interest from research subjects (Pring, R. 2000). For this research study, the research used interview and questionnaire guides as the main research instruments.
### 3.5.1 Interview Guide

The interview guide is a list of questions you ask your participants during the interview. The order of the questions and the level of degree to which you diverge from your set defined list of questions varies basing on the type of interview you choose to conduct. There are three standard types of interviews one can choose to conduct: structured, unstructured or semi-structured.

With a structured interview, each participant is asked the exact same question in the same order. While this can be effective, many would argue that the same thing can be achieved through administering a survey. Unstructured interviews are more like conversations; there are no prearranged questions which allows questions to be generated by what the interviewee says. When conducting a full research study, unstructured interviews make it difficult to draw parallels between interview participants because they are not asked the same questions. Semi-structured interviews provide the best of both worlds. Under this format, the researcher prepares an interview guide, but also allows the conversation to flow naturally, meaning that questions do not necessarily have to be asked in order. Additionally, there is an opportunity for the researcher to go “off-script” and ask additional questions of the participant to gain greater detail in their responses (Kelly, A. 2016).

For this study research, the research used semi-structured interview guide. The researcher prepared interview questions in advance and conducted the interview in a conversational way which was very productive in the sense that the interviewees freely expressed themselves in a smooth flowing and consistence manner.

### 3.5.2 Questionnaire Guide

A questionnaire guide is a research instrument consisting of a series of questions (or other types of prompts) for the purpose of gathering information from respondents. The design of a questionnaire will depend on whether the researcher wishes to collect exploratory information or quantitative information (to test specific hypotheses). The questionnaire guide contains both closed end and open-ended questions. Closed questions are questions to which all possible answers are provided. Open-ended questions impose none of the restrictions of closed and multiple choice questions. They allow for the recording of any response to a question provided...
by the respondent. The answers to open-ended questions are in no way predetermined making analysis difficult. Each response must be recorded and analyzed or coded to reveal the meaning of the response (Kelly, A. 2016).

3.6 Data analysis

In this section, the researcher carried out data analysis process of inspecting, cleaning and modeling data with the goal of highlighting useful information, suggesting conclusions and supporting decision making. The purpose of analyzing data is to obtain usable and useful information. (Schmidt. et al. 2014)

Content analysis was used to analyze data gathered from personal interviews and questionnaires. According to Moore & McCabe (2005), this is the type of research whereby data gathered is categorized in themes and sub-themes, so as to be able to be comparable. The main advantage of content analysis is that it helps in data collected being reduced and simplified, while at the same time producing results that may then be measured using quantitative techniques. Moreover, content analysis gives the ability to researchers to structure the qualitative data collected in a way that satisfies the accomplishment of research objectives (Krippendorff & Bock, 2008).

3.6.1 Data Quality Control

This refers to the effect and procedures that the researcher puts in place to ensure that there is quality and accuracy of the data being collected in order to come up with consistent and valuable data. The research compared the data content generated from the questionnaire and the sets collected through interview to ensure that they are consistent in meanings, values, source and outcome. Data quality is achieved through ensuring data reliability, validity and verifiability (Thomas, C. 2013).

3.6.2 Data Reliability

Reliability refers to the repeatability of findings. If the study were to be done a second time, would it yield the same results? If so, the data are reliable. If more than one person is observing behavior or some event, all observers should agree on what is being recorded in order to claim that the data are reliable (Jones, S. et al. 2006).
3.6.3 Data Validity

Validity refers to the credibility or believability of the research. Are the findings genuine? The answer depends on the amount of research support for such a relationship. The research findings should be genuine and support the objectives of the study (Patton, M. 2002).

3.6.4 Data Verification

Data Verification is a process in which different types of data are checked for accuracy and consistency after data entry is completed:

- Check totals for micro-data
- Reconciliation of data sources
- Previous year comparison
- Consistency with different data sets
- Data auditing processes

Data verification should enable comparisons of aggregate data at each level of records preservation throughout records registry levels.

3.7 Ethical Consideration

The researcher ensured the respondents’ confidentiality and anonymity throughout the whole study process and the information collected will only be used for academic research study.

The consent process: the researcher made sure the participants fully understood what was expected of them and assured them that the information generated will be used for academic purpose only.

3.8 Conclusion

The above chapter discussed possible methods of data collection and analysis. This theme covered the following: research design, area of the study, population of the study, data collection methods, quality control, data collection procedures and ethical issues.

The information collected from this chapter was presented in the next chapter.
CHAPTER FOUR: ANALYSIS AND PRESENTATION OF THE FINDINGS

4.0 Introduction

This chapter presents and discusses the research findings. The data were collected using appropriate research methods and tools of interview and questionnaires which form the primary data and the secondary data was collected through literacy review. The findings right from the data collection has been constrained to meet the main aim and objectives of the research study as defined in chapter one.

4.1 Description of Respondents

As pointed in chapter three under sampling methods, purposive sampling method is non-probability method which requires identification of respondents which prior extensive knowledge of the subject under investigation. These respondents’ composition included district records manager (1), head of department of records and archives (1), data clerks and IT officers (8) and records attendants (12).

All the 22 identified respondents participated in answering the questionnaires. This represents a response rate of 100%. We issued 22 questionnaires to the 22 respondents. The questionnaires took five working days with the respondents giving them enough time and convenience to answer the questions. We received 19 questionnaires out of the 22 we issued. Out of the 19 answered questionnaires we received, 2 had invalid data and 1 was not filled at all. We therefore remained with 16 questionnaires from which we analyzed the data. Interviews were arranged for two individual respondents (Head of Department and Records manager) and two discussion groups (Records Officers and IT and Data Officers).

As pointed in chapter three above, the researcher adapted both qualitative and quantitative approaches of data analysis. The two methods supplemented findings from each other and gave the research a chance to make comparison in order to ensure consistency in the values, meanings and sources of the data collected.
Table 4.1: Distribution of Respondents According to Roles

<table>
<thead>
<tr>
<th>Title</th>
<th>Roles and Responsibilities</th>
<th>No. Respondents</th>
<th>Percentage (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Head of RAD</td>
<td>Supervises the entire records and archives department and represents the department in meetings.</td>
<td>1</td>
<td>4.5</td>
</tr>
<tr>
<td>Records Manager</td>
<td>Manages and controls storage, accessibility, preservation, protection, retention and disposal of records in RAD</td>
<td>1</td>
<td>4.5</td>
</tr>
<tr>
<td>Information Officers and Data Clarks</td>
<td>They perform data entry, validation, processing and update</td>
<td>8</td>
<td>36.4</td>
</tr>
<tr>
<td>Records Attendants</td>
<td>Carry out the records management activities which includes retention and storage</td>
<td>12</td>
<td>54.6</td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td>22</td>
<td>100%</td>
</tr>
</tbody>
</table>

*Source: Field Data (2018)*
Figure 4.1.2: Showing Existence of Retention and Storage Procedures

Source: Field Data (2018)

Figure 4.1.2 above shows that 47.6% of the respondents disagreed that the department of records and archives of Wakiso district have records retention and storage procedures, 28.6% of the respondents stated that the department of records and archives have retention and storage standards that followed in implementing any storage or retention activity and 23.8 respondents are uncertain whether there exists any retention or storage procedures.

However, all most every respondent stated that the existing standards and procedures are not effective. The respondents cited reasons like lack of appropriate technology, shortage of human and financial resource, bureaucracy and national records and archives as so of the factors that hinders procedural retention or storage and general records management activities.
Table 4.1.3: Effectiveness of Retention and Storage Procedures

<table>
<thead>
<tr>
<th>Responses</th>
<th>Frequency</th>
<th>Percentage (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Very Effective</td>
<td>1</td>
<td>6.25</td>
</tr>
<tr>
<td>Effective</td>
<td>3</td>
<td>18.75</td>
</tr>
<tr>
<td>Not effective</td>
<td>12</td>
<td>75</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>16</strong></td>
<td><strong>100</strong></td>
</tr>
</tbody>
</table>

*Source: Field Data (2018)*

As shown in the table above, 75% of the respondents agreed that the procedures of retention and storage are not effective. The respondents cited shortage of human and financial resources, lack of modern technology and limited spaces for both retention and storage. 18.75% of the respondents submitted that the procedures they follow to perform retention and storage of records are effective considering that they developed it by themselves and was stipulated with great consideration of the means and technology within their disposals. 6.25% of the respondents stated that the procedure is very effective considering the fact that ever since its inception in the early 2000s, they procedures have helped them make to systematically retain, store and disseminate records with relatively no external financial or material support.

The respondents wholesomely agreed that the procedures are strictly followed. However, they stretched that the procedures do not eliminate room for creativity and innovation among the records and archives department staffs. The staff members have special permission to deploy what they feel is for the benefit of the department and in particular the live, values and accessibility of the records.
Table 4.1.4: Time of Implementing Records Retention

<table>
<thead>
<tr>
<th>Response</th>
<th>Frequency</th>
<th>Percentage (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Every Financial Year</td>
<td>14</td>
<td>87.5</td>
</tr>
<tr>
<td>After every six months</td>
<td>2</td>
<td>12.5</td>
</tr>
</tbody>
</table>

*Source: Field Data (2018)*

According to table 5 above, 87.5% of the respondents are in agreement that the records retention is implemented every financial year. These group of respondents mentioned specifically that records are assorted and labeled according to their importance and needs for the district, national and international consumptions. The least relevant or expired records are disposed of using recommended appropriate procedures and standards. Records that are still of values are retained for presence and future consumption. The respondents further explained that the retained records primarily dominated by fiscal, legal, administrative, human resource, education and historical records. 12.5% of the participants submitted that Records and Archives Department perform records retention after every six months. These groups of respondents pointed at particularly fiscal and administrative records which they said are always frequently in order to avoid poor administration and inappropriate spending due to reliance on invalid or expired records. The respondents cited examples of procurement receipts and salary payment records are always assorted after every six months to identify their relevance and purpose to the district or nation.
Table 4.1.5: Following Retention and Storage Procedures

<table>
<thead>
<tr>
<th>Responses</th>
<th>Frequency</th>
<th>Percentage (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fully Followed</td>
<td>3</td>
<td>18.75</td>
</tr>
<tr>
<td>Partially Followed</td>
<td>11</td>
<td>67.75</td>
</tr>
<tr>
<td>Not Followed at all</td>
<td>2</td>
<td>12.5</td>
</tr>
<tr>
<td>Total</td>
<td>16</td>
<td>100</td>
</tr>
</tbody>
</table>

Source: Field Data (2018)

Table above shows that 11 respondents representing 67.75% of the respondents agreed that the retention and storage procedures in existence at the department is partially followed. Seven (7) of the 11 respondents cited that most times they use their own financial or material means to implement these procedures yet the procedures were designed to be followed with specific methods and technologies which were predicted would be availed to the department. They further explained that the procedures are standards procedures with each procedure assigned to a specific standard approach of implementation. Shortage of the named technologies have made it very hard to implement the procedures systematically hence they are forced to use it where applicable and in other steps use their own creativity. 18.75% of the respondents stated that the procedures are fully followed. They explained that in scenarios where there are no appropriate tools or technologies to implement a certain step in the procedures, the exercise of retention and storage is completely abandoned till further notice. 12.5% which represents two respondents disagreed with the rest of the respondents and categorically stated that the procedures are totally not followed at all. They cited the fact that these procedures were designed with a standard and fully stocked storage and records rooms with modern technology yet none of those factors considered when developing the retention and storage procedures or any other records management procedures do not exist in the district.
Table 4.2: Types of Records Created and Stored

<table>
<thead>
<tr>
<th>Records</th>
<th>Department Created</th>
</tr>
</thead>
<tbody>
<tr>
<td>Administrative Records</td>
<td>Political and Technical Departments</td>
</tr>
<tr>
<td>Policy records</td>
<td>Law and Order Departments</td>
</tr>
<tr>
<td>Fiscal records</td>
<td>Finance and Planning Department</td>
</tr>
<tr>
<td>Historical records</td>
<td>History and Culture Department</td>
</tr>
<tr>
<td>Social and cultural records</td>
<td>History and Culture Department</td>
</tr>
<tr>
<td>Education records</td>
<td>Education Department</td>
</tr>
<tr>
<td>Public records</td>
<td>Public Relation Department</td>
</tr>
<tr>
<td>Security Records</td>
<td>Security Department</td>
</tr>
</tbody>
</table>

*Source: Field Data (2018)*

Every department generate a specific types records of its operation. The records are transferred to the centralized district records and archives department for storage.
Table 4.3: Retention Periods of Records

<table>
<thead>
<tr>
<th>Records</th>
<th>Retention Period (Years)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Administrative Records</td>
<td>Permanent</td>
</tr>
<tr>
<td>Policy records</td>
<td>Permanent</td>
</tr>
<tr>
<td>Fiscal records</td>
<td>5 – 15</td>
</tr>
<tr>
<td>Historical records</td>
<td>Permanent</td>
</tr>
<tr>
<td>Social and cultural records</td>
<td>5 – 20</td>
</tr>
<tr>
<td>Education records</td>
<td>Permanent</td>
</tr>
<tr>
<td>Public records</td>
<td>10 – 25</td>
</tr>
<tr>
<td>Security Records</td>
<td>10 – 25</td>
</tr>
</tbody>
</table>

Source: Field Data (2018)

The table above shows various types of records and their corresponding retention periods. Administrative, Policy, historical and education records are retained permanent. According to the respondents, permanent records do not have specific periods of expiry or disposal, they are kept for generation. Other records have varying retention periods with the longest being 25 years. After which, the records are disposed or archived. But predominantly, after maximum retention period of a record is reached, the record is destroyed.

Storage Location

Storage facilities are either located within or without an organization. Wakiso district implements both strategies of storage locations. Most records are generated and stored onsite and a few records are stored offsite. The table below shows the types of records locations deployed by Wakiso District.
### Table 4.3.1: Storage Locations

<table>
<thead>
<tr>
<th>Storage Location</th>
<th>Frequency</th>
<th>Percentage (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Onsite</td>
<td>9</td>
<td>56.25</td>
</tr>
<tr>
<td>Offsite</td>
<td>2</td>
<td>12.5</td>
</tr>
<tr>
<td>Both onsite and offsite</td>
<td>5</td>
<td>31.25</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>16</strong></td>
<td><strong>100</strong></td>
</tr>
</tbody>
</table>

*Source: Field Data (2018)*

According to the table above, nine (9) respondents agreed that records are stored onsite. They explained that the records and archives department is located within the district administration headquarters and it is the department solely responsible for the storage of records. They cited that onsite storages are easy to manage, cheap, easily accessible and trustworthy. Two (2) of the respondents stated that records are stored offsite. These respondents cited that most records in the district are transferred to central government before the expiry of their retention periods. Five respondents mentioned that records are stored both onsite and offsite. They explained that some records are transferred to the ministry of local government (central government) from where as mandated by the 2001 Records and Archives Act. One respondent cited that the Act provides mandate to the district to store and use the records within the district but should also make the records available when requested by the central government. They also pointed that some records require transfer to the central government; these records are predominantly fiscal, administrative, human resource and legal records.
Table 4.2: Forms of records stored

<table>
<thead>
<tr>
<th>Response</th>
<th>Frequency</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Hard copy form</td>
<td>12</td>
<td>57.1</td>
</tr>
<tr>
<td>Soft copy</td>
<td>6</td>
<td>23.8</td>
</tr>
<tr>
<td>Audio and Video</td>
<td>3</td>
<td>14.3</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>16</strong></td>
<td><strong>100</strong></td>
</tr>
</tbody>
</table>

*Source: Field Data (2018)*

The table above shows that 57.1% of respondents agreed that most of the records at RAD is in paper-based forms (hard copies). In second is soft copy records represented by 23.8% of respondents and least among the forms of records is audio and video records with 14.3% respondents.

4.4 Challenges facing Procedural Retention and Storage

As illustrated by table 10 above, the records and archives department have an existing records retention and storage procedures. However, the respondents also identified various challenges which hinder procedural retention and storage at the department. The table below shows the major challenges as discussed by the respondents.

**Table 4.2: Challenges of Procedural Retention and Storage**

<table>
<thead>
<tr>
<th>Challenges</th>
<th>Frequency</th>
<th>Percentage (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lack of modern equipment and materials</td>
<td>4</td>
<td>25</td>
</tr>
<tr>
<td>Shortage of human resources</td>
<td>1</td>
<td>6.25</td>
</tr>
<tr>
<td>Shortage of financial resources due to under funding</td>
<td>6</td>
<td>37.5</td>
</tr>
</tbody>
</table>
According to the table above, the respondents identified five major challenges that affect proper implementation of records retention and storage procedures. Six (6) people representing 37.5% of the 16 respondents cited shortage of financial resources as the major challenge to retention and storage procedures implementation.

The respondents further explained that this problem is very consistent every year since annual budget do not favor the department. The department gets the least portion of the district budget which in most cases do not even cover quarter of the department budget.

National Records and Archives Act. Three (3) of the respondents said the law has constrained roles and responsibilities records attendants and managers can do as far as records and archives management is concerned. The fact that whatever records attendants and managers implement or initiate in records management in any public institution must be within the 2001 National Records and Archives Act. This according to 18.75% of the 16 respondents have limited their creativity, roles and responsibilities which has proven a big challenge to procedural records retention and storage since even the procedures to follow must be in line with the National Act of 2001.

Lack of modern equipment and materials. 25% of the respondents feel the department of records and archives do not have enough modern equipment to implement the well documented records retention and storage procedures.

Two of the respondents stated that limited storage space has for a long time affect records storage and retention procedure implementation. The respondents explained that the space is too small to allow them to carry out proper records sorting and labeling in order to identify records.

<table>
<thead>
<tr>
<th>Challenge</th>
<th>Count</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Limited storage space</td>
<td>2</td>
<td>12.5</td>
</tr>
<tr>
<td>National laws on public records and archives</td>
<td>3</td>
<td>18.75</td>
</tr>
<tr>
<td>Total</td>
<td>16</td>
<td>100</td>
</tr>
</tbody>
</table>

*Source: Field Data (2018)*
for retention and storage. The respondents quoted the step of sorting and labeling records as the most crucial element of retention and storage procedures which when not done critically within sufficient time and space, there is a high chance of mistakenly destroying records that have not expired or mixing records which make accessibility very slow and tiresome.

The least percentage (6.25%) of the respondents argued that the main records retention and storage hindering factor is shortage of human resources both in quality and quantity. The respondent cited the reluctance of the district to take records attendants for further specialized training in order to equip them with sufficient knowledge to use the minimum resources appropriately.

4.5 Solutions to the challenges of records retention and storage procedures

The respondents suggested the possible ways of improving records retention and storage procedures at Wakiso district records department.

**Setting up policies and rules about the retention and storage procedures to be used.**

The government should set up the proper polices and rules regarding the management of records so that records are handled with care for future use. Thus a call for the records managers and other associated personnel should be guided to follow them.

**Supply of retention and storage materials**

Since these records are supposed to be kept for a long period of time, the government must provided original but not fake materials for example cabinets, paper folders since they may also accelerate to the destruction of the records.

**Provision of enough space for records**

This is Avery important element during the storage and retaining of records therefore the a well storage building should be constructed for both onsite and offsite storage of records with good measurements to allow ease for storage of records.
Funding of the storage and retention department

According to the interviews conducted with the records staff, this department lacks financial resources which caused the law priority or lack of desire attention given to the storage and retention of records.

Training and recruiting of qualified personnel.

The district has shortage of human resources both in quality and quantity. The respondents cited the reluctance of the district to take records attendants for further studies and also hiring more workers to do the operation in this department.

Adoption of a computerised system of storage.

Wakiso district local government is more adopted with paper records yet these are very difficult to maintain for generations therefore the most of the respondents where suggestion if the government may adopt he retention and storage of records using the computers might be of a greater importance.

4.6 TOPICS DISCUSSED DURING INTERVIEWS

a) Existence of Retention and Storage Procedures

Most, if not all, of the respondents the researcher had discussions with, indicated unanimously that the Records and Archives Department of Wakiso district has an existing retention and storage procedures that are used to guide retention and storage processes. The interviewees explained that the procedures in several occasions been put in use but most times the technologies, equipment, methods, tools and materials available to implement these procedures are not available. This according to the respondents limits the potential of the procedures which they clearly trust would improve the potentials of the department as far as records management is concerned. They justified their faith in the procedures by citing the fact that these procedures were developed and analyzed by experts before declaring it appropriate for implementation, and also through their experience as records attendants and management have come to appreciate the procedures each time they implement it.
b) Importance of Retention and Storage Procedures

The interviewees identified a number of reasons for having a retention and storage procedures. They however, emphasized that the procedures eliminate destruction and retention of wrong records. The respondents explained that without procedures, records that still have values and importance may be disposed and the expired and valueless ones retained. But with procedures in place, records attendants are able to sort and label records ready for a particular retention or storage date as authorized by the manager. The respondent also pointed that procedures have helped them to make few mistakes during retention and storage exercises especially among newly recruited records attendants but with the procedures, the attendants have steps to guide them through.

c) Importance of Analyzing Retention and Storage Procedures

The respondents stated that analyzing retention and storage procedures help to improve the quality of the procedures citing that procedures are proposed, designed and developed by human professionals to be used by other professionals or by the developers themselves but in either ways, there is always room for improvement and therefore requires comprehensive examination. The interviewee said sometimes procedures are developed without testing but during analyses the effectiveness of the procedures are examined basing on the outcomes it provides, noticing that when a retention or storage exercise is being carried out, the procedures is always considered a “member” of the team that requires constant consultation implying in cases the team produces undesirable results, the procedures also take a fair share of the blame.

d) Retention and storage activities

The interviewee briefly stated sorting of the records which involved labeling and packing of the records, transfer of the records to their assigned shelves and disposal locations. The records are sorted basing on importance, values, use, creation and expiry dates, creator and receiver and action to be taken. Records that are set for storage according to the interviewee, they label it R and D for disposal. The records labelled R are transferred to storage locations and arranged according to the labels of the shelves, boxes or any other storage materials that might be
provided. The interviewee explained that these steps are cited within the retention and storage procedures.

e) Storage Methods

According to the interviewee, there are basically two methods of records storage deployed at the Records and Archives Department of Wakiso district; The first method is the manual storage system which involves keeping records in written form (paper-based records) in the following formats;

I. Files

II. Shelves/cupboards

III. Cabinets/drawers

Records on administration, education, laws and policies, government and non-governmental projects, finance, human resources, local and international relationships, security, population, education among others are written, printed or graphically presented on paper such as books, reports, ledgers and kept in files on shelves or locked cabinets in the Records and Archives Department.

Electronic Storage system involves the use of electronic devices in storing the district records either in written or graphic form. They have very large memories for storing records. Such devices include:

I. Handsets

II. Personal Computers (Desktops, laptops, Notebooks and Palmtops)

III. Microfilms

The respondent explained that whereas these devices have advantages in terms of speed, accuracy, ease of accessibility, portability, less space occupation among others, they require consistent power supply, internet access and are also expensive and require extra skills and
knowledge in computing which most records officers lack especially end users of records in the district.

4.6 Conclusion

In summary, this chapter has discussed the analysis and presentation of the findings based on the objectives of the topic with the help of the designed collection tools being used.
CHAPTER FIVE: SUMMARY, CONCLUSION AND RECOMMENDATION

5.0 Introduction

This chapter concludes this report. It includes the summary of the study, the conclusion and the recommendations of the study.

5.1 Summary of Research

This study observed the process of retention and storage in records and archives management at Records and Archives Department of WDLG as the case study in records and archives management. The literature review was concentrated on the types of records, retention and disposal and records storage. It was found that, based on the data collected of the retention and disposal of records and storage under different contextual conditions was not questioned, and its benefits were taken for granted.

Research was undertaken to analyze records retention and storage in local government with a wider consideration of the fact that information and related technologies is one of the major drivers of economic, social and political progress. The intention was to examine the process of records retention and disposal and the kind of storage being deployed by the records and archives department of Wakiso district. The case study showed a level of adaptation and practice of using modern technology to carry out retention and storage processes. Modern storage devices being used at the department of records and archives was observed in during the process of data collection and also the observations were backed the questionnaire and interview responses.

In general, the completion of this study has come with a full realization of the general and specific objectives, and complete identification of the weaknesses and obstacles in Wakiso district records retention and storage and areas that require full rectification in order to achieve the full benefits of proper records management.

5.2 Major findings

The study findings revealed the major types of records stored at the records and archives department of Wakiso district are in hard copy forms which is basically favors manual records management. According to the findings, the departments stores administrative, policy, legal,
education, historical and cultural, social and executive directives records. Administrative, education and policy records are retained permanently at the department with the rest of the records having retention period of minimum of 5 years and maximum of 25 years.

The findings also point that most of the records generated and stored at the department are in hard copy form (paper-based records). And most of these records are dominated by administration, policy and education records. This finding revealed that the largest consumer of records is the administration department which comprises of the political and technical wings.

Most of the records created are kept at an onsite storage location. The records and archives department of Wakiso district is located within the district administration headquarters in Wakiso town and the department stores and manages all the records from within this storage premises with very few records sent to the Ministry of Local Government and Office of the President which according to the findings are reports and replies of letters in most cases.

According to the findings presented in chapter four, the Records and Archives Department of Wakiso district have retention and storage procedures which the findings revealed that are partially followed in implementation of retention and storage processes due to the fact that records retention and storage are done manually.

The findings show that procedures although partially followed, it has proved effective for over time since its development. The effectiveness of the procedures is to a bigger extent according to the findings are due to the creativity and bravery of the records management team which has effectively used the limited resources within their means to ensure proper records retention and storage in the department.

The findings revealed the major challenges that the department of records and archives face in performing retention and storage processes as they implement the procedures documented. According to the findings results, limited human and financial resources is the main challenge to the department which the findings further revealed that it is due to the fact that the department is assigned one of the lowest budget in the annual district budget and the consistent increase in the volume of records generated by the various district departments and agencies which has for over time overwhelmed the staff members.
Lack of modern storage equipment is one of the challenges the findings unearthed. According to the findings the records and archives department lack any form of advancement in storage materials and tools. The department still relies on the manual equipment and materials which for long been limiting the extent to which the retention and storage procedures can be followed. The findings showed that the retention and storage procedures were design and developed to be implemented with modern storage facilities which do not exist in the entire district of Wakiso.

The findings also showed that the main retention and storage procedures involve sorting the records according to origins, departments, date of creation and submission for storage, expiry and disposal date and transferring them to designated storage location. But the findings did not revealed existence of disposal schedules.

5.3 Conclusions

The current records retention and storage procedures is developed to support retention and storage of records in paper-based formats. Developing a procedure that would coordinate procedural retention and storage of records of various formats would help support the records manager and attendants to implement systematic retention and storage.

Storage management in the records and archives department of Wakiso is done manually which cannot be fully implemented through systematic procedural retention and storage. Automation of records management processes would help the department adapt a streamlined approach to facilitate generation, processing, sorting and labeling of records in a systematic manner which would allow procedural retention and storage to be implemented with minimal challenges.

The current records storage located onsite cannot support implementation of procedural retention and storage as there is limited space, lack of human and financial resources which limits professionalism in records management. Moving the storage location to an offsite location under a professional agency management would eliminate storage room congestion.

Partial following of a procedure is produce inconsistence and inaccurate results. The department is encouraging partial implementation of the retention and storage procedures. It would much more productive if all necessary materials and tools are made available to the records attendants in order to allow them to fully follow the retention and storage procedures.
The current storage facilities cannot support systematic records retention and storage. Installation of modern storage equipment and technologies would allow the department to use procedural retention and storage.

Every retained records must have a corresponding disposal period which can best be derived using a retention and disposal schedules. Developing a retention and disposal schedules would allow the department to periodically empty storage spaces through disposal

5.4 Recommendation

I recommend that Records and Archives Department of Wakiso district should adopt automated records management systems in order to support procedural retention and implementation to realized organization in records arrangement, eliminate records redundancy and misallocation and create consistency and ease of access to records

I recommend that the department should re-design the records retention and storage procedures incorporating procedures that accommodate all forms and types of records.

Wakiso district through its records and archives department should consider relocating records management to an offsite firm in order to eliminate the problem of shortage of human resources to carry out records retention and storage

Wakiso district should also consider expansion of the storage facilities in order to accommodate the increasing volume of records generated the district administration departments and units.

Procedures are well written documents based on specific standards and considerations in order to realize consistence and accurate outcomes by implementing its systematically using recommended materials, locations, tools by qualified personnel. I therefore recommend that the depart should encourage full implementation of the developed retention and storage procedures

Modern advanced records storage and management systems can improve the speed, accuracy, security, safety and can ease retention and storage processes making it easy to use procedural and storage and retention. Therefore, I recommend that the Records and Archives department of Wakiso district should migrate to automated storage technologies.
I recommend that the records department should develop a disposal schedule that matches with the retention and storage procedures

5.4.1 Recommendation to future researchers

Long term assessments are particularly constrained by the availability and reliability of recorded data. The frequency, and often the methodology, in which censuses and surveys are made do not always suit the purposes of this kind of research.

District official interviews are very important, but they may become troubled by informant's limited memories and the continuity of the need to hide vital but damaging information in records retention and storage.

Interview of members of the public, if available, represents one of the most reliable sources to gain in-depth details. Nevertheless, a careful and detailed process of observation and interview is very time consuming. For similar studies, a first phase in which records user diversity is identified in the random data collection according to the selected criteria, would allow reduction in the number of detailed survey samples needed at the closing stage, thus considerably reducing the time of data collection.

Considering the numerous benefits that come with a well developed and implemented retention and storage procedures and standards especially in management paper-based records which is the dominant form of records at Wakiso district according to results of findings presented and interpreted in chapter four of this research dissertation, I recommend that the Wakiso district and other districts or government administrative units to embrace technology in records retention and storage and general records management so as to realize the full potentials of records in social and economic development.

The scope of this study covered only records retention and storage procedures at the records and archives department of Wakiso district within a period of two months which with due honesty
did not deem enough to collected and analyze data in details and probably expand the research areas. However, the data attained was appropriate and generated the desired and expected result quality. Therefore, I recommend other researchers and scholars to analyze records retention and storage in other districts and also at the national level.

5.5 AREAS FOR FURTHER STUDIES

This research study as indicated its scope constraints, covered only analysis of records retention and storage procedures. During the process of carrying out this study, there areas that I found recommendable for further studies and the findings would be of supplementary importance to this research study. These areas include;

Consideration for choose of storage location

Impacts of government policies on records management

Retention and Disposal Schedules

Classification of storage

The need for national centralized records storage facilities
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APPENDICES

Appendix I: Budget

<table>
<thead>
<tr>
<th>S/N</th>
<th>Particulars</th>
<th>Amount (UgShs)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Transport</td>
<td>50,000</td>
</tr>
<tr>
<td>2</td>
<td>Feeding</td>
<td>30,000</td>
</tr>
<tr>
<td>3</td>
<td>Printing</td>
<td>50,000</td>
</tr>
<tr>
<td>4</td>
<td>Binding</td>
<td>56,000</td>
</tr>
<tr>
<td>5</td>
<td>Miscellaneous</td>
<td>20,000</td>
</tr>
<tr>
<td></td>
<td><strong>Total</strong></td>
<td><strong>206,000</strong></td>
</tr>
</tbody>
</table>
Appendix II: Questionnaire

I am a third year student from College of Computing and Information Sciences, School of Library and Information Sciences pursuing bachelor’s degree in Records and Archives Management. As part of fulfillment of the requirement for award of Bachelor Degree of Records and Archives Management of Makerere University, I am carrying out data collection for a research study to analysis Records Retention and Storage Procedures, Case Study of Wakiso District Local Government

I would like to make it clear that your details, opinions, comments and general responses shall be used strictly for the proposed academic research and your right of privacy shall be highly considered and respected during the usage of the information you shall provide.

Finally, I thank you for your corporation and responses

<table>
<thead>
<tr>
<th>Name of the District:</th>
<th></th>
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<tbody>
<tr>
<td>Name of the Department:</td>
<td></td>
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<tr>
<td>Position of respondent:</td>
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<td>Period spent holding position:</td>
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<tr>
<td>Date:</td>
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Brief Introduction:

- This questionnaire is for the purpose of an academic research study, namely [analysis of Records Retention and Storage Procedures]
- Please tick the option chosen where applicable.
1. Does the Records and Archives Department have a records retention and storage procedure?
   (a) Yes  [ ]  (b) No  [ ]

2. If yes, please elaborate more about the existing procedure
   ..........................................................................................................................................
   ..........................................................................................................................................

3. How frequent does the district implement the retention schedules?
   (a) Every 6 months  [ ]  (b) Every Financial Year  [ ]  (c) Others Specify………

4. Is records retention procedures and schedules important to the Records and Archives of Wakiso District? If yes. Briefly state why

   Answer:
   ..........................................................................................................................................

5. Is retention schedule strictly followed and implemented (a) No  [ ]  (b) Yes  [ ]
   Please defend your respond

   Answer:
   ..........................................................................................................................................

6. In your own opinions, what are the major challenges facing records retention and storage?
7. According to you, what solutions to the challenges do you suggest?

Answer:

8. What are the major records stored by the district?

Answer:

IF YOU WISH TO MAKE ANY OTHER COMMENTS PLEASE USE THE SPACE BELOW

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THANK YOU!
Appendix III: Interview Guide

I am a third year student from College of Computing and Information Sciences, School of Library and Information Sciences pursuing bachelor’s degree in Records and Archives Management. As part of fulfillment of the requirement for award of Bachelor Degree of Records and Archives Management of Makerere University, I am carrying out data collection for a research study to analysis Records Retention and Storage Procedures, Case Study of Wakiso District Local Government

I would like to make it clear that your details, opinions, comments and general responses shall be used strictly for the proposed academic research and your right of privacy shall be highly considered and respected during the usage of the information you shall provide.

Finally, I thank you for your corporation and responses

1. How often do you perform retention schedule activities?
   - What the major sources of records stored in this district?
   - What storage methods do you use?

2. Does the district implement in-house or out-source storage?

3. What administrative challenges do you face in managing the record officers?

4. How often do you perform retention schedule activities?

5. Does the district implement paper-based or electronic records management system?
   - Briefly explain the choice take?

6. What are some of the major challenges you face in developing and implementing records retention and retention procedures?

7. What solutions do you suggest or is implementing to eliminate the challenges faced?

Thank you