ASSESSMENT OF THE RECORDS SECURITY SYSTEM IN ENTEBBE
MUNICIPAL COUNCIL REGISTRY

BY

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A RESEARCH REPORT SUBMITTED TO THE EAST AFRICAN SCHOOL OF
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DECLARATION

I NALWOGA JULIAN declare that the information given in this report is original and of my own composition and that it has never been submitted for the award of a degree by any other student or to any other institution.

Signature of Student.  Signature of Supervisor

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ABSTRACT

This is a report from the research carried out under the topic "Assessment of the records security system in Entebbe Municipal Council registry," from May to July 2018. This report consists of five chapters containing all details of the research process from the introduction to the study, to its literature review, and then to the methodologies that were used in the study. The presentation and discussion of the data collected from the study are also included here together with the summary, conclusion and recommendations of the study.

Chapter one gives the introduction to the study, the problem statement, as well as the background, aim, objectives, scope, significance, and justification of the study. Chapter two, on the other hand, contains the literature review in which we find descriptions of records, records security, the records security systems as well as the threats to records and possible solutions as discussed by various authors. The third chapter contains descriptions of methods, tools, techniques and approaches that will be used in the study. So, this chapter contains the methods of data collection and analysis.

The fourth chapter comes next afterwards and it contains the presentations of the findings along with the discussion of the findings on the types of records in EMC registry, the state of the current records security system in EMC registry, and lastly the challenges identified with that system together with the suggested solutions to the identified challenges.

The last chapter, five, consists of the study's summary, conclusion and recommendations as well as the areas for further research at EMC. Lastly, there are various appendices and references in relation to the information in the five chapters of the report. There is an interview guide, observation guide, letter from and the head of department all attached as appendices. Therefore, the report has all descriptions and specifications for the purpose of understanding how the research was conducted and concluded.
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LIST OF ACRONYMS

EMC.................................................................Entebbe Municipal Council.

TC...............................................................Town Clerk.
CHAPTER ONE

INTRODUCTION

1.0 Introduction to the study.

In this chapter is the introduction to the study, the problem statement, as well as the background, aim, objectives, scope, significance, and justification of the study together with definitions of key terms in the study.

1.1 Background.

The background of the study was looked at in three ways as follows;

1.1.1 Background of the study:

Steward & Yeo (2002) assert that records security is concerned with the preservation of the confidentiality, integrity, relevance, availability and authenticity of records. Therefore, a records security system is charged with the responsibility to preserve those aspects of records. So, for this study, the security of records was studied in line with their confidentiality, integrity, relevance, availability and authenticity.

Obura (2011) states that records are a valuable business asset and they are the life blood of the organization’s business, therefore they should be treated with utmost concern. This insinuates that records are very important and should be properly maintained and availed whenever necessary hence making their security a vital factor.

Records are indeed important in the various aspects of every organization, but with the increased awareness of people about their power, many wrong and dangerous actions can be done to them by those who intend to destroy the evidence that does not work in their favor. So, it could not go without saying that records are at a very high risk of being manipulated, damaged, vandalized and lost if they are not well secured.
Therefore, this study which focuses on assessing the records security system of EMC became of interest to the researcher, hence choosing to research on the current situation of records security in the registry, point out its challenges and propose solutions to the challenges.

1.1.2 Background of Entebbe Municipal Council:

According to the Entebbe Municipal Council Statistical Abstract (June, 2009), Entebbe lies at 0°.04N, 32°.28E and is 37 kilometers South East of Kampala. Entebbe municipality derives its name from the Luganda word ‘entebe’ (meaning ‘seat’ or ‘chair’) referring to the rocky seats on the shores of Lake Victoria which were carved by Mugula, a Muganda traditional Chief in the early 18th Century. Legend has it that this Chief carved out these seats in the rock in order to use them to administer justice. People visiting this place used to say that they were going to ‘Entebbe za Mugula’ or ‘Mugula’s seats’. Later it became fashionable to refer to the place simply as ‘Entebbe’.

Entebbe municipality comprises of 2 divisions, where by division A has 2 parishes namely; Katabi ward and Central ward. Division B, on the other hand has got 2 parishes and that is Kiwafu and Kigungu parishes. Under their respective parishes these 2 divisions each have a number of villages. So, in division A there are 15 villages while in division B there are 9 villages.

Entebbe Municipal Council (EMC), is an organisation that was set up on the basis of the Local Governments Act (1997) to serve the people of Entebbe municipality. This council acts on behalf of the central government, and it is the highest political authority in the municipality with 19 members under the leadership of the Mayor. The council has got a technical team headed by the TC, and distributed in 8 directories and departments. This council is responsible for approving policies that are formulated by the municipal executive committee.

1.1.3 Background of the registry in EMC

From Entebbe municipal council's website at www.entebbe.go.ug, it was learnt that the records management roles and responsibilities in the council's administration are;

- To establish and maintain a sound Records Management System and,
• To Receive and maintain records.

Therefore, the registry is charged with the responsibility of safeguarding records from all threats as one of the means to accomplish the above roles.

The registry of EMC is located at the EMC headquarters in Entebbe town, and it is the central place for all the council’s current and semi-current records hence there is daily receipt, retrieval and circulation of the records in this registry.

The records in this registry are kept in labeled filing cabinets which have locks. There are also some records kept in unlabeled boxes and these boxes are arranged on shelves. Each file folder has a reference number which is also assigned to all the records inside it. In the registry, there is a defined classification system used as a basis for grouping and filing the records.

At the time the study was conducted, there were three personnel in the registry; the records officer, the assistant records staff and a volunteer.

All incoming documents (letters, invoices, memos, et cetera) are deposited at the registry, and it is here where they are filed and then distributed to the officers who are meant to handle them. Even dispatch of letters is done and recorded at the registry. So, the registry basically handles the storage, security and movement of records in and out of the council.

1.2 Problem statement.

Collections can be threatened not just by theft and vandalism, but by disasters (e.g., fire or flood) and damage from careless handling or poor environmental conditions, Brown & Patkus (2018). For this cause, all information repositories should take precaution.

On addition to the above; about a year ago, when the researcher was on internship at this registry, there were some cases where a few files could not be located in the registry, and this caused temporary delay in approval and execution of certain activities whose documentation was in those files. Furthermore, new folios that were arriving at the registry had to wait a few days without being filed, and sometimes temporary files could be made for them.
Therefore, a concern to assess the security system of records in this registry became of interest to the researcher in order to place the reason for such a problem.

1.3 Aim of the study.

To assess the records security system in Entebbe Municipal Council registry.

1.4 Objectives of the study.

- To identify the types of records kept in EMC registry.
- To examine the state of the current records security system in EMC registry.
- To find out the challenges of the records security system in EMC registry.
- To come up with suggestions for a better security system for those records in EMC registry.

1.5 Research Questions.

- What types of records are kept in EMC registry?
- What is the state of the current records security system in EMC registry?
- What are the challenges faced with the current records security system in EMC registry?
- What suggestions can be considered in order to improve the current records security system in the registry of EMC?

1.6 Scope of the study.

The geographical, contextual and time scope of the study are described here.

1.6.1 Geographical scope.

The study was conducted at the registry of EMC which is located at Entebbe municipal headquarters in Entebbe town.
1.6.2 Contextual scope.

The study was limited to the records security methods, their capabilities and weaknesses, as well as the benefits and challenges that come up with their application in the management of municipal records in the EMC registry.

1.6.3 Time scope.

The study was done in a period of 3 months; that is, from May to July 2018.

1.7 Significance of the study.

This study yielded the most current information about the records security system in the EMC registry hence it will be significant in the following ways:

- It will provide more knowledge about the records security system at EMC registry, it's past, present and planned future situations, therefore providing information for analyzing and improving this system.
- Secondly, the information collected during this study will be used for reference purposes by future researchers in the field of records security.
- Lastly, this study will contribute to the reward of a degree in records and archives management for the researcher.

1.8 Justification of the study.

In the 21st century, there is a lot of activity going around in the world. People are communicating much more now due to the increased number of digital equipment that have resulted from the great technical evolution, and most of the businesses are now international hence yielding a wide range of records to handle. Therefore, a large number of records, mainly in digital form, is being generated and maintaining them in good incorruptible condition cannot be so easy; people have become more knowledgeable about the technology of information which is an equipment for them to break into systems and acquire whatever information they need.
The above situation places records of this time at a very high risk of being manipulated/altered, destroyed or stolen by the enemies and competitors of an organization or by those people with their own selfish interests. Hence, this calls for measures of securing these records to ensure that unauthorized people do not access them at all.

This study was aimed at assessing the security system of records in EMC registry, identifying its weaknesses in terms of overcoming threats to records and trying to point out possible solutions to those weaknesses. So, it is right to say that this study was important, because the information it would yield is what most organizations need in order to efficiently secure their records from all kinds of threats, one of the major ones being unauthorized access to the records.

1.9 Definitions of the operational terms.

The following are the key terms in the context of this study together with their definitions;

1.9.1 Records;

Referring to ISO 15489-1 (2001), a record is information created, received and maintained as evidence, by an organization or person, in pursuance of legal obligations or in the transaction of business.

1.9.2 Records security;

Steward & Yeo (2002) assert that records security is concerned with the preservation of their confidentiality, integrity, relevance, availability and authenticity. In the security of records, both the information and the physical material/object on which the information is encoded need to be protected. Records security is one of the major aspects in records management.

1.9.3 Records security system;

Safewise (2017) defines a security system as a means or method by which something is secured through a system of interworking components and devices. Therefore a records security system
is a set of components working together with the aim of protecting records from unauthorized access, loss, Theft and disaster.

1.9.4 Registry;

The Ministry of Public Service Commission Archive of Uganda (2007) defines a registry as an administrative centre for the control of all records, documents and information required by an institution for the cooperation of its work.

1.10 Conclusion

Therefore, the study for the topic "Assessment of the Records Security System in Entebbe Municipal Council Registry" was be conducted at the registry of Entebbe Municipal Council for the overall time period of about 5 months, with the general objective of finding out what the records security system in the registry is involved with, how it runs, and then finally pointing out its challenges and the possible solutions to them.
CHAPTER TWO

LITERATURE REVIEW

2.0 Introduction

In this chapter is the literature review; the information which different researchers and writers wrote under the topic of records security. Included here are general descriptions of records, records security, the records security systems as well as the threats to records and possible solutions to overcome these threats.

2.1 Types of records.

According to ISO 15489-1 (2001), a record is information created, received and maintained as evidence, by an organization or person, in pursuance of legal obligations or in the transaction of business.

A record can also be defined as any document, device, or item, regardless of physical form or characteristic, that has been created or received in the course of an organization’s business that meets the criteria of content, structure, fixity, context as discussed above, and is maintained as evidence of the organization’s activity(s).

The essential characteristic of a record is that it provides evidence for some specific activity. So, it is not described by its physical format, storage medium, age or the fact that it has been set aside for preservation.

Records can be current, semi-current or non-current according to how often they are used in the current business transactions of an organization.
Records are grouped into 4 types, namely;

- **Administrative records**

These are records created for documentary policy procedures and guidelines, and these records include records on costs and purchasing operations. They are kept in administration for management of the organization and efficient working. Chan (2014). So, administrative records are those used for managing an organization.

Rubenstein (2005) explains that these administrative records are divided into the following categories;

Routine administrative records; these support routine functions like staff meetings, daily staff calendars and budgets.

Program administrative records; this category includes records that are used to oversee and administering programs as well as planning, administration and reporting. Strategic plans, policies, procedures and reports fall under this category.

- **Financial records**

Financial records are formal documents representing the transactions of a business, individual or other organization, WebFinance Incorporation (2018).

Financial records maintained by most businesses include a statement of retained earnings and cash flow, income statements and the company's balance sheet and tax returns.

Examples of financial records as listed by Australian Charities and Not-for-profit Commission (2014) are:

General account books; cash book records; banking records; creditors' records; debtors’ records; details of any contracts; details of any grant payments and acquittals; tax invoices and other relevant tax records; stock records; records of expenses; records of payments relating to
employees; assets list or register and emails, letters as well as other communication about finance.

- **Legal records**

Anthony (2013) states that records are of legal value if they document the actions taken in protection and providing of legal rights and obligations of individuals and agencies, and issue regulations for disposal, physical destruction of records with guidelines to facilitate creation, preservation, storage, reformatting and management of documents and all must follow the legal obligations.

As a critical note to remember, Amina & Basil (2007) state that research records containing personal information that links to a living identifiable individual should be kept in accordance to the Data Protection Act. Indeed access to these records should be controlled to prevent unauthorized use, removal or destruction.

- **Research records**

Chan (2014) asserts that research records are those that determine trends, recent developments related to an organization's products and services. This type of records consists of records documenting the research process.

Hence, it is the type under which records evidencing applications and approvals for research are found, together with records on the management of the research, and research data. In other words all records relating to research are categorized here.

**2.2 Records security systems.**

All forms of records within a company should be properly maintained and guarded so that they can serve their useful function in the operation of the business. Gichuhi (2003). Gichuhi continues to recommend that care should be taken on who has access to the records and how they are maintained and use.
A records security system is a set of components working together with an ultimate goal of securing records from any kind of danger. This system is always designed to manage the different aspects involved in the security of the records; for example, safeguarding the records, maintaining the security measures and ensuring their rightful execution alongside the management of the human resource and other aspects in that system’s environment.

The main function of this kind of system is to ensure the maintenance of records in an organized, presentable, available and easily retrievable condition. So, every organisation must ensure that it takes good advantage of its records security system in order to have an effective records management.

Read and Ginn (2010) state that security of records involves the protection of records from unauthorized access. Security of records refers to an arrangement to safeguard records from danger of being destroyed or lost. Records security is vital for the preservation of records for future use.

Records are often vulnerable during creation, storage, retrieval, and transportation. During such moments unauthorized people can easily get to them and either alter, destroy, or steal them. Even though no physical damage is done to these records, the mere fact that these people have accessed them is a threat to the concerned individual or organization.

However, it is important to note that records security does not stop at the protecting the physical records themselves. Fernades (2012) explains that the security of records stretches through to human safety. He goes ahead to say that totality of policy, technologies and processes implemented to protect private data is what constitutes records security.

### 2.2.1 Examples of security systems

Steward & Melesco (2002) gave some examples of records security systems that can be employed in any organization, and these are;

- The electronic keys system; it is an electronic access and authorization system which uses electronic doors or locks along with special keys that can be used to open them.
• The electronic security cards system; the system comprises a security card and a terminal. The security card includes logic circuitry which is responsive to a plurality of input signals from the terminal and the terminal comprises a source of input signals. The card is placed into the terminal in order to gain access to the records.

• Biometric access control devices; these employ biometric security devices such as fingerprint readers, retinal eye scanners and hand geometry readers. Unlike keys, cards or number sequences, biometric security readers provide access control that cannot be transferred.

• Mechanical control devices; these are devices that physically control the entrance and exit of people into a building or room, for example keyed locks.

• Electronic control devices; electronic control device means a portable device designed as a weapon capable of injuring, immobilizing, or inflicting pain on an individual by the discharge of electrical current.

• Use of smart cards; A smart card is a plastic credit card-sized device with an embedded chip designed for secure identification

• Integrated security systems; the integrated security system takes multi-layered security systems and integrates them into one solution.

2.2.2 The Importance of records security.

Brown & Patkus (2018) state that if a security program is to be effective, there must be widespread understanding of the importance of security to the mission of the repository.

Steward & Melesco (2002) describe the negative effects of records loss or unauthorized use, which are monetary losses, embarrassments and exposure as well as the possibility of running out of business. Therefore, good records security is important in overcoming such things as it is elaborated below;

Good records security, first of all, saves the organization from large monetary losses that cannot be covered by insurance. When records get lost or destroyed, recovery needs to be done so that
other copies of those records are obtained for the continuity of the business transactions concerned. This could be costly for the organization.

Secondly, some information, when linked/exposed, could be embarrassing and weakening on the side of the organization, which could affect its relationship with its partners, customers and the public. Therefore, security is vital.

Another importance of records security is that it protects the organization's records from being accessed by its competitors or enemies. This saves the organization from being out-competed and going out of business as they will not know the secret behind their success.

In conclusion, security is very vital in the management of records, therefore, the records officer has a responsibility to ensure that there are policies, regulations, recommendations and guidelines concerning how records should be accessed, used, maintained and disposed off, with the ultimate objective of giving maximum security to all of them. Furthermore, it should not just stop at writing down those measures; the records management team should ensure that the measures are respected and followed by all records users in the organization.

2.3 Challenges in a records security system

Alistair (2006) asserts that if one is to protect something, one has to identify what the threats are so as to take appropriate steps to mitigate them.

The major challenges to records security system are those aspects that affect the records as records are the most important component of this system. These challenges include confidentiality, relevance, authenticity, availability and integrity, and they are explained below.

2.3.1 Threat to Confidentiality

Steward & Melesco (2002) define loss of confidentiality as one that involves incidences where information in records gets into wrong hands, that is into the hands of people who have no right to have it. In such a circumstance, the organization could get embarrassed, lose commercial advantage or face charges under privacy or data protection legislation.
Possible incidences under this threat are; Unauthorized perusing and reading through records, eavesdropping on information in a record, hacking into networks and accessing the circulating information, and intended or unintended exposure of recorded information by staff and former staff belonging to a specific organization.

2.3.2 Threat to Integrity

Here, the record could be damaged accidentally or deliberately, and this could be costly or even impossible to put right, Steward & Melesco (2002) explain.

The incidences falling under this threat are; Tearing paper records or damaging tapes, CDs, DVDs, and microfilms, which could cause difficulties in the continuity of the recorded information, and also situations where the computer system is affected by viruses which could eat up some of the recorded information. These are just a few of them, but there are many other incidences.

2.3.3 Threat to Relevance

Steward & Melesco (2002) also explained a situation where the record could become out dated which could make it misleading, resulting in extra work or unnecessary costs and may be damaging to the organization, its workforce, customers and reputation. This is partly a threat to information integrity.

This is a common problem in electronic records because these records do not usually have version information. The speed and ease with which electric records can be changed causes this.

2.3.4 Threat to Availability

According to Steward & Melesco (2002), records could also be unavailable or irretrievable at the time they are needed and this is also a threat to them. This will reduce the efficiency of operation and affect decision making. It could also damage the reputation of the organization.
These are some of the incidences that could occur; Lack of equipment like computers and readers for retrieval of the record, situations where the right software to access the record is unavailable, malfunction in the system which could make it hard to access the information, human error which could be caused by unfamiliarity with the system hence leading to unintentional deletions or misplacement of files in computer systems, having the record in a far place hence needing to travel a long distance to get it, and yet it is needed urgently, loss of records through theft, vandalism and destruction, Loss of records through occurrence of disasters like earthquake, hurricane, tornado, floods.

2.3.5 Threat to Authenticity

This is another threat to records as described by Steward & Melesco (2002). The threat to authenticity of a record involves incidences when this record is not actually what it says it is. People easily lose confidence in the record if it lacks authenticity.

The threat is in a way that the true record may be substituted with a false one whose contents could be different and wrong. Usually authentication of a record is evidenced by signatures and stamps, but even these could be forged.

2.4 Possible solutions to the challenges of a records security system

According to Steward & Melesco (2002), protection involves keeping records safe and secure from physical hazards, such as floods, fires, arson and so on, in addition to maintaining their privacy.

Brown & Patkus (2018) recommend that a security manager should be appointed to coordinate security planning. In smaller institutions, a staff member may be assigned this responsibility along with many others; in a large repository this might be a full-time position.

Saleemi (2000) states that for security of records to be maximum, all records storage cabinets should have security locks and keys, and that these keys should be kept by the records officers or staff.
Read and Ginn (2010) explain that unauthorized access to records can be overcome by installing security systems for example the biometric security systems where thumb print recognizers, eye detectors, face recognizers and other technologies of that kind can be used as control devices for access to records.

In Records Centre Operations (2002), ARMA international suggests many other solutions to overcoming the challenges in managing records security systems. Some of the solutions given are; installment of firewalls to control access to information in systems, controlling the access of employees to systems during working hours and limiting them to that access when not at work, ensuring that former employees take oaths of secrecy as they promise not to share the organization's information, and changing passwords and pins regularly as well as after dismissal of any employee.

On addition, Shepherd and Yeo (2002) recommend that; closed circuit television or other surveillance should be installed; intruder alarms linked to police or security services should be linked; keys or codes should only be issued to a few relevant people; there should be well maintained procedures to ensure windows and doors are locked shut and the keys are secured; the perimeter of buildings are adequately lit, and that organizations should seek advice from crime prevention officers on how to secure buildings that house records.

Therefore, there are very many ways in which an organization can overcome challenges in the running of its records security system of which it could be impractical to employ all of them. So, each organization needs to pick those few options that are best suited for it.

2.5 Conclusion

This chapter helped the researcher know what various authors wrote about the topic of records security systems and all its various aspects. It is clear to see that all these authors regard records security as an important factor in the management of records that needs to be attended to with caution and professionalism. Therefore, this literature review, shows the views, approaches and suggestions of different authors towards records security in general, and it gave a deeper understanding of the topic to the researcher.
CHAPTER THREE

METHODOLOGY

3.0 Introduction

This chapter consists of descriptions of methods, tools, techniques and approaches that were used in the study. So, this chapter contains the methods of data collection and analysis.

Included here are descriptions of the research design, area of study, the population, sampling method, sample size, the data collection methods, the data collection instruments, data quality control, the research procedure, ethical considerations of the study, the limitations of the study and the time frame of the study.

3.1 Research design

According to Katebire (2007) research design is a general strategy adopted for answering the research questions. The research design outlines the basis for making interpretation of the data and establishes the format for detailed steps to follow when conducting the study.

For this study, the qualitative design was used. Since it is was possible to predict what the records security system in the registry of EMC is involved with, this was the better design to employ.

DeFranzo (2011) explains that qualitative research primarily exploratory research. It is used to gain an understanding of underlying reasons, opinions, and motivations; It provides insights into the problem or helps to develop ideas or hypotheses for potential quantitative research. The qualitative research design was able to give the participants a chance to fully explain the system and express their views about it, so the researcher could attain enough information from the participants which provided detailed, meaningful and well-defended answers to the questions posed for the study.
3.2 Area of study

The area of study was the registry of Entebbe Municipal Council which is located at the municipal headquarters in Entebbe town, along Kampala-Entebbe road.

3.3 The population

Population refers to the complete set of individuals, objects or events having common observable characteristics in which the researcher is interested in studying (Agyedu et al., 2010)

The population relevant for the study at the council headquarters consisted of only the staff in the records office. These were 3 in number, and they included; one records officer, a records assistant and one volunteering records staff.

3.4 Sampling method

Kombo (2002) defines sampling as the process of selecting a number of individuals or objects from the population such that the selected group contains elements representative of the characteristics found in the entire group.

A sampling method is a criteria used to select the sample from the population. For this study, the purposive sampling method was used because it would give each member of the population an equal chance of being selected. This method was chosen also because it is easy to use and it does not create bias in the process of sample selection.

Agyedu et al. (2010) suggests that in purposive sampling; the researcher uses his or her own judgment about which respondents to choose, and picks only who best meet the purpose of the study. So, again purposive sampling was used because not all administrative staff are directly involved in records security.
3.5 Sample size

Ngoako (2011) defines sample size as the number of participants chosen from the whole population. The sample is chosen from the population to represent it. The sample size for this study consisted of all the three records staff due to the small population.

3.6 Data collection methods

Ochieng (2009) defines data collection methods as procedures that are used to collect data.

These are techniques used during the process of gathering and measuring information on targeted variables. For this study, the interview and observation methods were employed.

3.6.1 Interview

Yin (2009) defines an interview as a dialogue between interviewer and respondent with the purpose of eliciting certain information from the respondent.

Fitzpatrick & Wallace (2006) state that an interview is a major data collection strategy, in qualitative research, that aims at obtaining textual qualitative data reflecting the personal perspective of the interviewee. They further explain that interviews range from face to face to technology mediated.

For this research, face-to-face interviews were conducted in order to allow confidence and room for self-expression on the side of the respondents.

The interviews were in a way that the researcher asked participants questions as they answered accordingly. The questions asked by the researcher to the respondents had been prepared previously in an interview guide.

3.6.2 Observation

Observation refers to the use of sensory organs for the purposeful examination of a research phenomenon for purposes of collecting data, explains Katebire (2007).
In this study the researcher had to observe the activities and procedures that run daily in the EMC registry. The researcher had to be keen on those activities which were aimed at protecting records from possible threats.

### 3.7 Data collection instruments

Kakinda (2006) defines data collection as the process in which a researcher collects relevant data or information to achieve the research objectives. As defined by Wangusa (2007), data collection tools are practical ways of collection and analysis of data.

Data collection instruments are tools that a researcher uses during the data collection process. For this research, the interview and observation guides were used.

#### 3.7.1 The interview guide

According to Ritchie and Lewis (2008) an interview guide lists questions, topics and issues to cover while collecting data. This tool will be used for the interview method.

The interview guide was used as an instrument to guide the researcher on the questions to ask, the steps to be followed during the interaction as well as guiding this researcher on how much time to take for each activity and question during the interview process. (See Appendix I)

#### 3.7.2 The observation guide

Roller & Lavrakas (2015) explain that the observation guide serves two important purposes: 1) It reminds the observer of the key points of observation as well as the topics of interest associated with each, and 2) It acts as the impetus for a reflexive exercise in which the observer can reflect on his/her own relationship and contribution to the observed at any moment in time (e.g., how the observer was affected by the observations).

Activities to be observed were all those that deal with the records security system; for example the methods used to control access to records, and also those done to protect records from dangers in their environment. Also things like how staff access records, how they are allowed to
use them and for how long they use them will be observed. The researcher will also observe the techniques for authorization of staff for the usage of records. (See Appendix II)

3.8 Data presentation and analysis

Yin (2009) recommends that data analysis for case studies should be done by categorizing, tabulating, and testing both quantitative and qualitative evidence to address the initial proposals of a study.

Kombo (2006) states that data analysis involves examining what has been collected and making deductions and inferences.

So, after the data was collected, it was analyzed and displayed using tabulation and theoretical methods.

3.9 Data quality control

The DataONE Education Module (2012) refers to data quality control as the strategies for preventing a dataset. These elements used for data control during this research were validity and reliability, and these are explained below.

3.9.1 Validity

Shahril (2015) defines validity as the ability of an instrument to measure what it is designed to measure.

The interview guide is highly valid because it can help the researcher acquire detailed information for the study. Since the proposed method for this research was the qualitative method, this instrument was very useful, and this is all because it allowed participants to freely express their views concerning the topic.

The observation guide was valid for this research because it provided the researcher with needful guidance on which aspects to observe and how to effectively and efficiently observe those aspects.
3.9.2 Reliability

As defined by Shahril (2015), reliability is if the research tool is consistent and stable hence predictable and accurate. The greater the degree of consistency and stability in a research instrument, the greater the reliability.

Both the interview and observation guides were valid because they remained constant; that is, they were unaltered throughout the whole research process, hence they measured the relevant constructs constantly.

Therefore, all the instruments were reliable because of their constant nature which could not allow faults in the measurements.

3.10 Research procedure

The following procedure was followed for the research process;

- First of all the topic for the study was submitted to the East African School of Library and Information Science and approved in the month of February.
- The next step in the procedure was to start writing on the proposal for the study, which was completed and also approved in May.
- A letter of approval of the research was issued to the researcher by the Head of Department and this was presented to the TC at Entebbe Municipal Council. (See appendix III)
- Data was collected in May and June.
- Lastly, analysis of the collected data and the presentation of the findings were done in the month of July.
3.11 Ethical considerations

The following processes were undertaken to ensure that the study was ethically done;

- Clearance for this study was obtained from the East African School of Library and Information Science (EASLIS) at Makerere University Kampala.
- The participants of the study were asked to register and sign on the sheets that were assigned to them in order to prove that they accepted to take part in the study with their own consent.
- Privacy and confidentiality on the side of participants was respected.

3.12 Limitations of the study and how to overcome them

The researcher's expected limitations to the study are as below;

- The distance between the researcher's place of residence and the place of study is big hence increasing costs for data collection.
- Some of the information could not be revealed to the researcher for security interests.

3.13 Time Frame

The research and reporting took a period of 3 months. The months of May and June were for data collection while July was for data analysis, interpretation and report writing.

3.14 Conclusion

This chapter of the proposal shows all the methods that were used for data collection, interpretation, presentation and the timing of all the research activities. Therefore, it describes the conduct of the practical part of the research.
CHAPTER FOUR

PRESENTATION OF FINDINGS AND DISCUSSION

4.0 Introduction
The study was carried out at EMC registry and the findings were presented based on the following themes: to identify the types of records in EMC registry; to examine the state of the current records security system in EMC registry; to find out the challenges of the records security system in EMC registry; and to come up with solutions for a better records security system in EMC registry. The findings in this study were got from interviews, observation and document analysis.

4.1 Description of the respondents.
Table 1: Shows description of the respondents.

<table>
<thead>
<tr>
<th>STAFF INTERVIEWED</th>
<th>NUMBER</th>
<th>GENDER</th>
</tr>
</thead>
<tbody>
<tr>
<td>Records officer</td>
<td>1</td>
<td>Female</td>
</tr>
<tr>
<td>Records assistant</td>
<td>1</td>
<td>Female</td>
</tr>
<tr>
<td>Volunteering records staff</td>
<td>1</td>
<td>Female</td>
</tr>
</tbody>
</table>

4.2 Types of records in EMC registry.
The following are the three types of records in EMC registry as described by the respondents;

4.2.1 Operational/Functional records
The respondents described these records as the ones necessary to implement administrative policies, procedures, and operations in the council. Operational records take the biggest percentage of the total number of records in the registry.
These include records on education, buildings and constructions, health, people's welfare, leisure and recreation places, government created programs, municipal finances, security and all other services managed by the council for the benefit of the municipality. Generally, these records carry administrative, legal, financial, evidential and historical value but they are not physically classified or separated even on the basis of their values.

4.2.2 Personnel records

There are records of the official personnel working as council staff together with records of the teachers in the municipality of Entebbe. Records of all job positions and their descriptions, performance of staff, records on staff training and professional development, records pertaining to job applications and resumes and all copies of correspondences and memoranda relating to the different public servants in the municipality are all kept as part of these records type.

4.2.3 Land records

There are also records containing descriptions of the ownership of the plots of land as partitioned by the concerned individuals in the municipality of Entebbe. For these records, each file cover has the land owner's name, plot number, the location of the plot and the year in which the owners attained the land. These records are used to manage all issues concerned with land, including queries on land ownership, land disputes, tax payments and other legal regulations concerned with land.

4.3 The state of the current records security system in EMC registry.

The current records security system in EMC registry was reported to be used to its maximum capability and to be very effective. Its results are seen from the minimal, almost non-existent, occurrences of file theft, vandalism, file alteration and loss.

The system was found to be designed in a way that the records officer is responsible for ensuring records security with the help of all other records staff by executing the documented records security policies and in support of the other physical and technological measures. Most of the outgoing files are sent to the TC's office and whenever a file is moving out of the registry, the
outgoing date and the office of its destination are recorded on its out-card which stays in the registry for the purpose of tracking. It is from the TC’s office that the files are distributed to other officers; otherwise there are no restrictions to the movement of files as long as it is for official reasons and the destination is recorded.

The current records system in the registry of EMC consists of a combination of various aspects which are explained as follows;

**4.3.1 Lock and key system on doors, drawers and filing cabinets.**

The drawers and filing cabinets in the registry were observed to have locks, with their keys well-kept in reachable places in case they are needed. The doors to the registry also have locks which are operated using keys. The doors are kept locked when the registry is not attended, and the drawers together with the filing cabinets are also locked when required. The lock and key system secures records from unauthorized access, theft and vandalism.

**4.3.2 Surveillance cameras**

The researcher observed the presence of cameras placed in walk ways and near the entrance of the registry and they help to capture and observe the people moving around the area outside the registry. These cameras are connected to storage devices and they can help to identify who came around the registry at a specific time. Therefore, these surveillance cameras are also an important aspect in the security of records in EMC registry.

**4.3.3 Policies and regulations.**

Through the interview and analysis of the documentation in the registry, the researcher was able to know about the various useful policies and regulations that support the productive security of records in EMC. Below are the policies and regulations that support records security in the registry of EMC;

- Entrance to the registry is limited to only records staff.
- The registry is kept locked when not attended.
- The records officer either locks the registry herself or supervises the locking as done by another records staff.

- File census and tracking is done every 2 weeks.

- Only authorized staff- records staff and the concerned action officers- are allowed to retrieve, use, transfer and store records. No one else is supposed to touch the records, be it in their individuality as folios or when on file.

- Every officer is responsible for seeing to it that all the files presented at their desk are returned to the registry immediately after handling them. Usually the secretaries or assistants to these officers are charged with the activity of returning the files to the registry.

- As a security measure often recommended for all organizations, the non-active records contained in boxes in EMC registry are not labeled. This helps to keep their identity known to only the records staff and unknown to the rest of the people, hence preventing unauthorized people from locating highly sensitive and secretive records in the registry.

4.3.4 Regular backing up of records.

Paper records are scanned on receipt, and the scanned copies are transferred onto other electronic storage media for purposes of backing up the records in case the original records cannot be obtained.

4.3.5 Other physical security measures.

It was observed that the doors and windows to the registry are all burglar proofed to prevent wrong people from accessing the records by breaking into the registry.

Furthermore, all requests and inquiries are made, and services are provided to the records users, via a window specifically designed for that purpose. In addition to this, the door to the registry is kept closed. This helps to better secure the records as there is control on the entrance into the registry.
It was also observed that the windows to the registry were built high on the wall and they are smaller in size as compared to other windows on the same building, hence offering the least of chances for anyone to break into the registry and carry away equipment and loads of records.

4.4 Challenges of the records security system in EMC registry.

With the information collected during the research, it was clear to see that the records security system of EMC registry is effective. However, the system was found to have some challenges usually met by its users.

The records staff informed the researcher that the major challenge to the system is the fact that most of the records management responsibilities cannot be achieved in the absence of the records officer, the reason being some security aspects of the system create dependency onto this officer for records access and retrieval.

To start with, the records officer is the only one with the authority to keep the keys to the registry, and then the identity of the records in boxes are only known to the same. This means that in case the records officer is late or even away, for example for a seminar or workshop, efficient and timely access to some records may be impossible.

Secondly, the researcher observed no emergency physical tools nor relevant staff for detection and control of unauthorized access or disasters to records. There are no detectors, alarms, adequate security staff or fire extinguishers in the registry which means that in case of emergencies many records can be lost.

Lastly, the records staff stated that there is lack of sensitization on records security among the other staff in the council which causes challenges as they cannot understand, let alone respect, some security measures, for example, some staff will still keep the files at their desk for days even when they have already handled them.
4.5 Suggestions for a better records security system in EMC registry.

The respondents were asked to make suggestions on how to improve the records security system in the registry, based on its identified challenges.

First of all, they suggested that a few more trusted records staff could keep copies of the keys to the registry. If this is not possible, there can be a well known central place where a copy of these keys can be obtained in case the records officer's copy cannot be reached.

Additionally, it was pointed out that the records officer could let the records assistant know about the identity of the boxed records in case the former is away.

For the purpose of saving records in case of emergencies, the respondents advised the council authorities to consider installation of fire, smoke and intruder detectors along with alarms; a few more security officers can also be hired and fire extinguishers must also be installed to better safeguard the records and the building too.

As another suggestion to improve the records security system in EMC registry, the records staff suggested that sensitization of all staff about records security should be done. They suggest that information material on records security and its importance be availed to the rest of the staff.

4.6 Conclusion.

Drawing a conclusion from the above information, it is clear to understand that the records security system of EMC does not have any strongly challenging or outstanding weaknesses except one that affects the records department's service delivery. Therefore, the challenges of the system as discussed by the records staff would not be so hard to resolve, also considering that the solutions they suggested are neither too expensive nor complex to apply.
CHAPTER FIVE

SUMMARY, CONCLUSION AND RECOMMENDATIONS

5.0 Introduction.
Conveyed in this chapter are the summary, conclusion and recommendations for the study to assess the records security system in EMC registry. The objectives followed for the study were;

- To identify the types of records in EMC registry;
- To examine the state of the current records security system in EMC registry;
- To find out the challenges of the records security system in EMC registry, and;
- To come up with solutions for a better records security system in EMC registry.

5.1 Summary of the study.
The study sought to assess the records security system in EMC registry and the objectives under which it was guided were; to identify the types of records kept in EMC registry, to examine the state of the current records security system in EMC registry; to find out the challenges of the records security system in EMC registry, and to come up with solutions for a better records security system in EMC registry.

The study established that the records kept in the registry fall under three types; administrative, personnel and land records. The security of the records in the registry of EMC is a responsibility of the records staff as supervised by the records officer. The records security system in this registry comprises of lock and key systems installed on doors, drawers and filing cabinets, surveillance cameras, relative policies and regulations, regular back-ups and other physical security measures.

The challenges identified as limitations to the system are; some security measures cause over dependency on the records officer for the accomplishment of the records management responsibilities, absence of very important and vital emergency physical tools for the purpose of records security, and less knowledge of records security amongst non-records staff.
The study, therefore, made the following recommendations to overcome the challenges of the registry; the rest of the records staff should also be allowed to have more authority on the access to registry keys by placing spare keys for them and letting them know about the identity of the records placed under their custody. Furthermore, it was suggested that fire, smoke and intruder detectors as well as fire extinguishers should be installed, more security staff should be employed, and all non-records staff in EMC should be sensitized on records security.

5.2 Conclusion.

The security of records is a vital aspect that should always be taken important and handled with utmost care because records hold evidence of any organization's transactions and proof of ownership over all its property. This fact was observed to be well known to the officials of EMC and they already have most of the necessary measures for records security in place.

Although the records security system in EMC registry meets some challenges, it should not be forgotten that there will always be challenges within any normal system. Therefore, the records management department in EMC should always try their best to solve the challenges in their records security system, but should not be frustrated if they cannot solve all of them.

Lastly, the research was successfully carried out as the record types in EMC registry were identified, the state of the current records security system in the registry was fully analyzed, the challenges of the system were pointed out and their possible solutions were also recorded as suggested by the records staff.

5.3 Recommendations.

a) There should be a general sensitization of all staff about the meaning and purpose of records security in EMC registry.

b) Fire extinguishers as well as fire and smoke detectors and alarms should be installed.

c) Employment of more security officers should also be considered.

d) All staff in the records department should be let in on the necessary knowledge about and access to the records in EMC registry in case the records manager is unavailable.
e) Footings of the surveillance cameras should be watched regularly to prevent disasters to records rather than keeping them for an unknown time when the disaster has already happened.

f) EMC should consider monitoring the external perimeter of the building for purposes of security.

5.4 Areas for further research

a) Assessment of the records classification system in EMC registry.

b) Evaluation of the records appraisal and retention procedures in EMC registry.

c) Analysis of the guidelines for the development of records management programs in EMC registry.
REFERENCES


I am Nalwoga Julian, a student of Makerere University Kampala, pursuing a degree in records and archives management. As part of my program, I am required to carry out research and my topic of study is, "Assessment of the records security system at Entebbe Municipal Council registry."

You have been identified as a resourceful person in the conduct of this research and therefore I request to have an interview with you. Your identity will be treated with utmost confidentiality and your responses will be used only for this academic study and not for any other purpose.

1. What is your position in EMC?
2. What types of records are kept in EMC registry?
3. Are there physical or non-physical measures in position to protect records from damage, loss or unauthorized access?
4. Who is responsible for enforcing and maintaining all those measures?
5. How often are the records security measures revised?
6. Are there any limitations to the staff entering the registry, and is there any mechanism employed in authorization of staff to access the records?
7. Which security measures are taken to protect the confidentiality of the records during the movement of files to, from and within the various offices?
8. Describe the current security system in the registry of EMC.
9. How is the system working?
10. Is the system being utilized to its maximum capability?
11. What are the challenges you and other staff face during the use of the system?
12. What solutions do you recommend for overcoming those challenges?

Thank you for participating in the interview!
APPENDIX II: OBSERVATION GUIDE

1. Is the registry always attended to by authorized staff?
2. Is the room locked when not in use?
3. Is the locking supervised?
4. Who is in charge of the keys to the registry?
5. Are there security measures installed on the computer systems used in the registry?
6. Are there any recognizable restrictions that other staff have on access and use of records?
7. Are there controls on the number of files leaving the registry at a time?
8. How do records staff ensure that they know and can trace the files that have left the registry?
June 13, 2018

The Town Clerk
Entebbe Municipal Council
P. O. Box 34
Entebbe - Uganda

Dear Sir/Madam,

RE: INTRODUCTION LETTER – NALWOGA JULIAN REG. NO. 15/U/10023/PS

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

As part of the study program, she is carrying out a research study entitled, “Assessment of the records security system in Entebbe Municipal Council Registry”.

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

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

Sincerely,

Dr. Daniel Luyombya
HEAD OF DEPARTMENT
RECORDS AND ARCHIVES MANAGEMENT