ASSESSMENT OF STORAGE AND SECURITY OF ACTIVE PAPER RECORDS
AT THE MINISTRY OF FOREIGN AFFAIRS CENTRAL REGISTRY

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A DISSERTATION SUBMITTED TO THE SCHOOL OF LIBRARY AND
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REQUIREMENTS FOR THE AWARD OF THE DEGREE
OF BACHELORS OF RECORDS AND ARCHIVES
MANAGEMENT AT MAKERERE
UNIVERSITY

AUGUST 2018
DECLARATION

I AMBASIISE DILYS, declare that this dissertation entitled "Assessment of storage and security of active paper records at the Ministry of Foreign Affairs central registry" is my original work and has never been submitted to any institution for any academic award. All the sources cited in this research work have been duly acknowledged through referencing.

Signed: ..................................................  Date: ..................................................

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APPROVAL

This is to certify that this dissertation is work done by Ambasiise Dilyys under my supervision and has been submitted with my approval.

Signed: .......................................................... Date: 18/8/2018

MR. FRANCIS EKWARO

(SUPERVISOR)
DEDICATION

I sincerely dedicate this work to the almighty God, my parents and all friends whose prayers led to successful completion of this academic achievement. This work is dedicated to my beloved family members especially my brother Mr. Ahweera Ian Chris who has been there for me from the first day of my academic journey to the end. May the almighty God bless you with more love and favor so that you succeed in everything. May the almighty God bless you abundantly!
ACKNOWLEDGEMENT

In abundance, thank the Almighty God for the life, wisdom and protection he afforded me throughout this research. I am deeply indebted to him. Heartfelt thanks go to my parents who have always considered me as a future asset and always foregone a luxurious life to ensure I have basics to keep me comforted at the university. It is at this point that I appreciate my brothers and sisters who have always given me support beyond my imagination. I also with great thanks appreciate the respondents at the Ministry of Foreign Affairs staff who worked with me collaboratively to ensure that I conduct my research.

In a special way I extent my thanks to my supervisor, Mr. Francis Ekwaro who guided me from the time of developing the proposal up to the point where this report could be produced. I am indebted to his efforts and I pray that the Almighty God bless him abundantly and take him to greater heights.

Finally, my sincere thanks to all the persons who in one way or the other assisted me with the data collection and analysis, thanks in particular to Paula, Catherine, Edinah, Sherly, Gilbert, Jackson and Emma for their support and encouragement given to me. without you I would not successfully complete my research report. Thank you and May God bless you all. Finally, I acknowledge the assistance rendered to me by whoever I have not been able to mention above. Your support, advice and encouragement is highly appreciated.
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<th>Description</th>
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<tr>
<td>ARO</td>
<td>Assistant Records Officer</td>
</tr>
<tr>
<td>BLIS</td>
<td>Bachelor of Library and Information Science</td>
</tr>
<tr>
<td>BRAM</td>
<td>Bachelor of Records and Archives Management</td>
</tr>
<tr>
<td>MOFA</td>
<td>Ministry of Foreign Affairs</td>
</tr>
<tr>
<td>RO</td>
<td>Records Officer</td>
</tr>
<tr>
<td>SRO</td>
<td>Senior Records Officer</td>
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ABSTRACT

A study was undertaken to assess storage and security of active paper records at the Ministry of Foreign Affairs central registry. It was centered on the following objectives; to find out the types of active paper records kept at MOFA central registry, to examine the storage of active paper records at MOFA central registry, to find out the security threats of active paper records at MOFA central registry, to analyze security of active paper records at MOFA central registry, to find out challenges affecting storage and security of active paper records at MOFA central registry and to suggest appropriate measures for effective and efficient storage and security of active paper records at MOFA central registry. The study adopted a mixed research approach where aspects of quantitative and qualitative research designs were used. Data was collected using interviews, observation and document analysis from 6 central registry staff who were purposively selected for first-hand data collection because the researcher believed that they had trustworthy information on storage and retrieval of records.

The finding of the study revealed that MOFA central registry was engaged in various activities like opening up new files, closing files when due, routing files and mails for action, dispatching of incoming and outgoing mails, shelving of files, retrieving of files requested, file re-dressing, sorting of files and filing of documents, security grading that is the top secret, secret, confidential and unrestricted/open. As a result, various categories of records were produced; personnel, administrative, financial, legal, policy and vital records and were stored in boxes, steel cabinets, floor space, office trays, tables and open shelves. The central registry had arrangements for handling security classified active paper records and access to the registry was controlled by serving clients from the counter, locking and control of the keys. The overwhelming challenges among others were limited registry space, funds and inadequate storage and security equipment.

The study recommended that MOFA central registry should automate and computerize its functions to minimize the congestion in the storage areas and working space. In addition, automation and computerization will enable easy retrieval of information, reduced damages during storage and retrieval of records as well as reduced cost of buying expensive paper records equipment like cabinets and shelves. The study concluded that it is important for MOFA to install CCTV cameras to supplement the available security equipment and supplies. CCTV systems can make a would-be criminal think twice about any wrong-doing.
CHAPTER ONE: INTRODUCTION

1.1 Introduction
This chapter in this research proposal presents the introduction to the proposed study that intends to explore on assessing storage and security of active paper records at Ministry of Foreign Affairs central registry. The chapter explained the background of the study and background of the organization, problem statement, purpose of the study, Justification of the study, specific objectives research questions, scope, significance of the study and definition of operational terms.

1.2 Background to the Study
1.2.1 Background to the problem
According to ISO (2001), storage and security of active paper records is defined as the field of management responsible for efficient and systematic control of creation, retrieval, maintenance, use and disposition of active paper records. Poor storage and security of active paper records threatens the authenticity, reliability, integrity, availability and confidentiality of the records. Active paper records should be stored in a manner that enables ease of access to authorized members of staff and provide a sufficient level of security in order to prevent unauthorized individuals obtaining access to active records for day to day management perspective and long term preservation (ISO, 2001).

Chibambo (2003) explained that understanding how to properly store and secure active paper records requires understanding the legal context in which records can and should be created and managed. Governments use legislation to ensure that their active paper records are appropriately stored and secured to enable preservation over time for accountability and historical reasons. According to Chibambo (2003), a good records management framework consists of information-related laws, policies and records management standards and practices and the necessary qualified human resources to implement and manage the active paper records storage and security systems. Without an organized active paper records storage and security management framework, there is a deficit in information access and such deficit contributes to inadequate and improper decision making within organizational and national establishments.

According to Przybyla (2004), records management has existed since the early human civilization. Given the Current information landscape that is comprised of increased velocity with proliferation
of use cases and vast volumes of information, records managers have an opportunity to take a fresh look at their ability to provide information seekers with the appropriate information in a timely manner (IRMT, 2009). Luyombya (2014) however noted that the value of active paper records in Uganda is realized when there is a crisis. He adds that although active paper records must be properly stored and secured in the registry for a specific period of time, this is always ignored most especially in the public sector. There is an emerging concern regarding rapid accumulation of active paper records that obliges effective storage and security. A great deal of active paper records is being generated in organizations which has increased with the increasing need of information by users and therefore one of the core marks of active paper records storage and security is the capacity to promote access and usability of information in organizations (Ginn, 2001). An effective active paper records management program adheres to the best storage and security practices to ensure that active paper records that continue to have value to the organization are stored and retained for a given period of time.

Magara (2009) explained that active paper records are a valuable business asset. They are the lifeblood of the organization’s businesses and therefore should be treated with the utmost concern. One of the key ways organizations are held accountable for their actions is through evidence of business transactions in the form of records. Storage and security of active paper records therefore provides a platform to access information about the past by researchers, scholars, journalists, lawyers and others who want to know about people, places, and events in the past (Magara, 2009). The absence of effective storage and security of active paper records practices leads to inefficiencies and failure in operations in organizations (Shepherd , 2003).

However, Asogwa (2012) observed that the quality of storage and security of active paper records systems continues to be the major weakness in many organizations in spite of the relationship that exists between records management and public sector management. This is obvious in organizations in Uganda for example Ministry of Foreign Affairs that has pitiable storage and security system coming from increasing volumes of active paper records generated on daily basis leading to slow retrieval of records and information, ineffective tracking, limited space and inadequate storage facilities.
1.2.2 History of Ministry of Foreign Affairs (MOFA)

The Ministry of Foreign Affairs (MOFA) is a cabinet-level Government founded organization responsible for the implementation and management of Uganda’s foreign policy and international activity. The history of the Ministry of Foreign Affairs dates just before independence in 1962 and from 9th October 1962-1967, when it was under the office of the Prime Minister. By then, Dr. Apollo Milton Obote was effectively the Minister of Foreign Affairs. Hon Sam Ngude was appointed as the first Minister of Foreign Affairs in 1967 and Hon V.K. Rwamwaro was Deputy Minister of Foreign Affairs. The Ministry of Foreign Affairs headquarters moved from Entebbe to Kampala Parliament buildings. From 1971-1973, during that time, Wanume Kibedi was the Minister in charge of Foreign Affairs. The first Permanent Secretary of Ministry of Foreign Affairs was a Briton called Mr. Posner and was followed by Mr. Bigirwenkya.Z. And then Mr. Sam Baingana who was followed by Hon. Paul Etiang, Ag. MFA Tom Briton, Paul Semwogere, Ruhakana Rugunda, Ibrahim Mukiibi, Eria Kategaya, James Wapakhabulo, and Sam Kuteesa (Affairs, The Ministerial Policy Statement, 2017).


The Ministry operates under the mission of; To Promote and Protect Uganda's Interests Abroad. The Ministry also operates under the vision of; A Secure Nation with Prosperous People. For the benefit of her people, MOFA operates under the aims and objectives which include; to promote regional and international peace and security, to mobilize bilateral and multilateral resources for development, to mobilize and empower Ugandan’s in the Diaspora for National development, to provide diplomatic, protocol and consular services at home and abroad, to promote commercial and economic diplomacy, to promote regional integration and to promote international law related commitments/obligations, to promote public Diplomacy and enhance her image abroad, to

The Ministry and its Missions abroad have and continued to implement Uganda’s Foreign Policy through: Promoting Regional and International Peace and Security; Commercial Diplomacy; Regional Integration; Implementing and Reporting Obligations on International Treaties and Conventions; Mobilizing Bilateral and Multilateral Resources for Development; Providing Protocol and Consular services to Ugandans and Foreign dignitaries as well as enhancing Uganda’s image abroad through Public Diplomacy. The Ministry has got the following departments; Public Diplomacy department, Protocol services department, Consular services department, Regional peace and security department, International political cooperation department, Finances administration department, Human resources department, Regional economic cooperation department, International economic cooperation department, Diaspora department. The researcher is therefore interested in assessing storage and security of active paper records at the Central registry of the Ministry which operates under the department of Human resources (Affairs, The Ministerial Policy Stament, 2017).

1.3 Problem statement

One of the key ways organizations are held accountable for their actions is through evidence of business transactions in the form of records. At MOFA active paper records are of great importance if managed well since they reflect the daily transactions of the organization. Records are indispensable for the efficient management of organizations but are often undervalued, ignored or misunderstood (Williams, 2006).

However much the MOFA tries to have effective and efficient storage and security system, there seems to be a number of barriers and threats to the efficient storage and security of active paper records; Heavy volumes of government can go unnoticed since there is limited space for storage that makes record officers trash records, classification and creation of files without references are evident, hence this creates a big problem on the flow of information of active paper records at the ministry. In addition, records are not produced at the right time when required by the users leading to delay of services and activities as articulated by (Iga &Kyasanku, 2009).
More so files take too long to circulate, records users have lost trust in the central registry because records are not readily available, and action officers keep files and documents in their areas of choice and consequently making information unavailable. Action officers also send files to the registry only when they need space in their offices, files become so thick making covers and contents to be damaged also poor layout and untidiness of the records storage, the registry staff are discouraged, there is a backlog of inactive paper records in the central registry which have rendered the available registry space inadequate and poor custodial and environmental security of active paper records (Iga & Kyasanku, 2009).

The central registry staff tends to ignore the key practices of effective storage and security of active paper records resulting into loss, tear and wear of files and unauthorized access to the central registry. The central registry is located in such a way that when it rains water splashes on the files through the ventilators and windows which causes records deterioration especially to the files that are stored in boxes, open shelves and floor space. The poor storage and security of active records at MOFA has not been given enough attention in the central registry which has greatly led to inefficient and ineffective records management. In this regard, it is essential to conduct a study on the issues in order to provide empirical evidence on the current storage and security of active paper records practices in order to enable MOFA’s central registry adhere to efficiency and effectiveness of records storage and security to give the best services to the clients it serves.

1.4 Purpose of the study
To assess storage and security of active paper records at MOFA central registry so as to improve the efficiency and effectiveness of the clients’ services.

1.5 Specific objectives of the study
The study was guided by the following objectives;

1. To find out the types of active paper records kept at MOFA central registry.
2. To examine the storage of active paper records at MOFA central registry.
3. To find out security threats of active paper records at MOFA central registry.
4. To examine security of active paper records at MOFA central registry.
5. To find out challenges affecting storage and security of active paper records at MOFA central registry.
6. To suggest appropriate measures for effective and efficient storage and security of active paper records at MOFA central registry.

1.6 Research questions
The study aimed on the following research questions;

1. What are the various types of active paper records kept at MOFA central registry?
2. How are active paper records stored at MOFA central registry?
3. What are the security threats of paper records at MOFA central registry?
4. How are active paper records secured at MOFA central registry?
5. What are the challenges affecting storage and security of active paper records at MOFA central registry?
6. What are the appropriate measures for effective and efficient storage and security of active paper records at MOFA central registry?

1.7 Scope of the study
According to Perry (2002) scope of the study “builds a fence” around the research findings that are additional to the limitations and key assumptions established in the definition of terms. The scope highlights the coverage and depth of the study in terms of geographical area, time and conceptual scope.

1.7.1 Geographical Scope
The study was conducted in the central registry at MOFA which is located at 2A Colville Street, on Nakasero Hill in the central Division of Kampala along Sir Apollo Kaggwa Road.

1.7.2. Time Scope
The study was conducted from February to August 2018.

1.7.3 Conceptual scope
Conceptually the study focused on two major areas; that is storage of active paper records as well as security of active paper records.

1.8 Significance of the study/ Justification of the study
The findings of the study will help the central registry staff to adopt better ways of storage and security of active paper records management for example acquiring modern storage equipment and supplies and undergoing specialized training in current trends of active records management to
improve their skills. The findings of the study will be of great importance to the administration of MOFA for example in designing appropriate storage and security systems that can improve their service delivery and minimize security breaches.

This study will enable the researcher to fulfill the academic obligation for the award of the degree of bachelors of records and archives management of Makerere University. The researcher will also attain knowledge about the needs of the records managers and the challenges they face as they carry out their obligations.

The findings of the study will also be of help to other future researchers and academicians. They will provide literature and methodology for use in other similar or related studies in the area of storage and security of active paper records.

1.9 Definition of operational terms

Active records:
Records that are regularly used for the conduct of the current business of an organisation or individual, also known as current records. Active records will normally be maintained in or near their place of origin or in a registry (ISO, 2001).

Assessment:
Freed (2000) defined assessment as the process of gathering and discussing information from multiple and diverse sources in order to develop a deep understanding of what students know, understand and can do with their knowledge as a result of their educational experiences. Assessment involves systematic collection, review, and use of information about educational programs undertaken for the purpose of improving student learning and development (Freed, 2000).

Paper records:
ISO (2001) defined a record as information created, received, and maintained as evidence by an organization or person in pursuance of legal obligations or in the transaction of business and has value requiring its retention for a specific period of time (ISO, 2001). However, a paper record is information that is created or produced, stored and accessed in paper format as evidence by an organization or person in pursuance of legal obligations or in the transaction of business and has
value requiring its retention for a specific period of time. However, paper is a material manufactured in thin sheets from pulp of wood or other fibrous substances used for writing, drawing or printing on. (ISO, 2001).

**Records security:**
According to Freed (2000), records security was defined as the preservation of confidentiality; protecting records from unauthorized access and disclosure, Integrity; safeguarding the authenticity, accuracy and completeness of records and processing methods and availability by ensuring that records and associated services are available to authorized users when required. Appropriate protection is required for all forms of records, paper or electronic, to ensure business continuity and efficiency, and to avoid breaches of statutory, regulatory or contractual obligations.

**Records storage:**
Saleem (2000) defines records storage as the actual placement of information materials into a folder on a section of magnetic desk that generates about 90% of the records created or received in paper form and 10% in electronic format including memorandum, invoices, contracts and vouchers among others. The equipment and systems used to file records during their useful lifetime in an organization must be considered.

**Records management:**
According to ISO (2001), records management is the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including the processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records (ISO, 2001).
CHAPTER TWO: LITERATURE REVIEW

2.1 Introduction
This chapter entails critical examination of published and unpublished work of previous researchers on related subject matter. Creswell (2003) competes that there is a need for a researcher to determine what other scholars have done before in order to add to the existing literature than reproduction hence the justification for literature review. The chapter also divulges and discerns the existing literature on assessment of storage and security of active paper records at Ministry of Foreign Affairs central registry. Specifically, special interest in this literature is tagged to the objectives which include the following:

- Life cycle of records
- Types of active paper records
- Storage of active paper records
- Security threats of active paper records
- Security of active paper records
- Challenges affecting storage and security of active paper records
- The best practices for active paper records storage and security

2.2 The records life cycle
The National Records and Archives Act (2001), clause 7 states that the Heads of state and public organs shall be responsible for creating and maintaining adequate documentation of functions and activities of their organizations, nominate a senior officer to superintend records, create and manage current records, implement retention and disposition schedules, transfer semi current records to NRAA except those classified as secret or top secret due to; national security, public order, safeguarding revenue (NRAA, 2001). According to ISO (2001), records and archives institutions should manage all phases of the life of a record in order to ensure that the information requirements of the government or organization are met efficiently. It also explains the life cycle into active, semi-active records and inactive/archives.

2.2.1 Active records; active records are those records that are regularly used for the conduct of the current business of an organisation or individual, also known as current records. Active records will normally be maintained in or near their place of origin or in a registry (ISO, 2001). Records offices are concerned with files in the earlier ‘operational’ phases of their lives, when they are used.
for the purposes for which they were created. It is important, however, that records offices know how and when to pass files on to the records centre. The National Records and Archives Act (2001) Clause 11 states that the Director shall be responsible for co-ordination for records management in all organs of the state with powers of inspection and to provide professional assistance, advice and guidance, establish and ensure compliance with standards, make arrangement for staff training, drawing up general retention and disposal schedule for approval, ensure that the approved retention and disposal schedule are implemented and authorize disposal of public records.

2.2.2 Semi-active records; Semi-active records are records that are no longer needed for day-to-day use but that must be kept because they may need to be referred to occasionally or because they have a continuing legal and financial value. According NRAA (2001) clause 11, The head of the organization shall submit a list of all semi and archival records in the organization. Shall transfer all archival records to the Agency, the director shall accept semi current records and in particular shall, maintain such records in a record centre, separate and ensure security grading, provide facilities for consultation return semi current records temporarily to the creator for consultation, implement retention and disposal schedules, appraise and dispose records appropriately, transfer the records of enduring value, inspect and advise the suitability premises (NRAA, 2001). The records centre provides a storage and retrieval service for semi-current records. By making regular use of the records centre, records staff will be able to provide users of records with access to semi-current records that are no longer kept in the agency. Use of the records centre will also achieve improvements in working conditions, as they will keep the records offices clear of files not needed for current work.

2.2.3 Archives; Archives records are records worthy of permanent retention because of their enduring value as evidence or for research. They provide a reliable and authentic knowledge base, enabling the past to be reconstructed and understood. Without archives, the past would remain largely unknown. By documenting the significant decisions, transactions and events of political, social and economic life, archives serve as the essential link in the chain of human history (ISO, 2001). The purpose of a records management service is not to manage the creation of archives but to exploit the information held in records efficiently. Preserved within the archival institution are those records of permanent historical value. Once these records have reached a certain age they are open to the public for research purposes. The Director shall be responsive for preserving all public records and shall, establish and take charge of the national archives, provide suitable
conditions for preserving records, arrange and describe the holdings in addition to retrieval tools, ensure public inspection, provide rules for public access, others may include; preparing exhibitions, publications, develop joint management for restoring records (NRAA, 2001).

2.3 Types of active paper records generated and kept by Ministries

Organizations carry out different business activities and this results into different types of active paper of records. Stewart & Jeffery (2002) explained legal, academic, financial, research, historical and administrative as the record types of active paper records.

Legal active paper records which are created for evidence of legally enforceable rights or obligations of the state. They include records relating to property rights: land, probate, contracts, and agreements, leases, and licenses, records relating to citizenship rights: vital statistics, such as birth, death, marriage, some legal proceedings, and criminal cases (Stewart & Jeffery, 2002).

Academic active paper records include academic qualification papers and other documents like certificates, diplomas, degrees and masters. Financial active paper records are also evident in records management departments and financial departments for example financial statements, tax forms, receipt books and payment vouchers. Research active paper records are regularly used in scholarly studies and investigations. Researchers want to extend human knowledge using basic historical evidence. Active paper records include important information on individuals, corporate bodies including their problems and conditions, and significant historical events (Jeffery, 2002).

Historical active paper records which are worth permanent preservation for reference and research purposes usually selected for deposit in National Archives. These records are retained for many uses for example protect the organizational assets, give consistency and continuity of actions, prevent duplication of efforts and provide successful ways for solving recurrent problems. Administrative active paper records pertain to the origin, development, activities, and accomplishments of the agency. Administrative active paper records fall into two categories: policy and operational active paper records. Jeffery (2002) explained that policy active paper records include plans, methods, techniques or rules which the agency has adopted to carry out its responsibilities and functions. They have three basic categories; organizational documents, budgets and budget planning records, fiscal records, organizational and functional charts, governing documents like manuals, directives, orders and interpretations issued from top authority levels. Operational active paper records are necessary to implement administrative
policies, procedures and operations. Examples include mandates and procedural records (Stewart & Jeffery, 2002)

Read and Ginn (2015) explained vital, important, useful and non-essential as the different types of active papers records in organizations. He adds that some are treasured very much and require special measures of protection. Active papers records maintained by organizations according to Read and Ginn (2015) fall into one of the four categories as explained below. Vital active papers records are essential to the continuation of the government, business or organisation in the event of catastrophic loss. Some vital records will be held by records offices either because they are active or because they have been recently closed. Other vital records will be held by the records centre.

Important active paper records assist in performing business operations and are usually replaceable but at a considerable cost. They require a high degree of protection and examples include personnel, sales, receipts and tax records (Read &Ginn, 2015). Useful records active papers are helpful in conducting business operations and are usually replaceable at a low cost and require a low degree of protection. Product manuals, warranties, bank statements are examples of useful active papers records. Non-essential active papers records have no predictable value after their initial use and require the lowest degree of protection. Examples of non-essential include announcements, telephone and email messages (Read &Ginn, 2015).

2.4 Storage of active paper records
According to Shepherd & Yeo (2003), storage of active paper records is very important for managing records because it ensures that records are secure, complete and accessible for as long as users need them. The information contained in organizational active paper records needs to be stored in a planned and coordinated way because records support decision-making, provide evidence and assist in proper accountability in the organization.

2.4.1 Storage systems of active paper records
Records storage systems are defined as systematic procedures by which the records of an organization are created, captured, maintained, and disposed of. The system also ensures that preservation and evidential purposes are accurate and efficient, timely availability and control of access to only authorized personnel. According to IRMT (2009), there are three basic ways of
storing active paper records: the lateral, vertical and stacking. Lateral filing is usually done in four-drawer filing cabinets with the files held upright on their long narrow edge, often within a hanging folder. Vertical filing is where files are held upright on their short narrow edge with their spines facing outwards and is normally done in cupboards which may or may not be enclosed or on racking or shelves. The stacking method stores files flat one on top of the other, with the spines of the files facing out (IRMT, 2009).

Lateral filing in cabinets using hanging folders is the least economical but provides easy access. Storage on open shelves is economical, but is unsuitable for confidential materials (IRMT, 2009). The stacking method can be the cheapest and most convenient but may cause difficulties of retrieval unless the stacks are small. Files stored vertically on open shelves may slip down unless the shelves have moveable dividers that can support the files and keep them upright. However, vertical storage is suitable for records with rigid covers or binders such as files held in ring binders. If open racking is used, shelves and files must be dusted regularly chiefly during the dry season (IRMT, 2009).

2.4.2 Storage equipment and supplies of active paper records

The decision to adopt open shelves or closed shelves, racks, cabinets or containers such as boxes and other material handling equipment will vary from organization to organization. According to Stulz (2012), when selecting storage equipment for active paper records, organizations should consider the physical characteristics of the record, retention period and the expected use.

2.4.2.1 Storage cabinets: The conventional storage cabinet for active paper records is a vertical file cabinet. In a vertical file system, the arrangement of folders in the file drawers is from front to back because the cabinet is deeper than it is wide. Vertical cabinets are available in one-to five-drawer designs and the most common have four drawers (Stulz, 2012).

2.4.2.2 Open shelves: Open shelf filing system is used in many organizations because they can store many active paper records in a minimal amount of space (Stulz, 2012). He added that in fact open shelf files typically occupy 50% less floor space than drawer files having the capacity. Open files are simple shelving equipped with dividers. File folders are shelved like books therefore records can be accessed quickly and easily.

2.4.2.3 File folders: Inns (2015) noted that a file folder is in form of a container used to hold and protect the active paper records in a file. The most popular type of folders is manila and hanging folders. File folders are typically made of heavy cardstock or manila and are available in a variety
of colors. Most folders have a tab, used for caption that identifies the folders’ contents. The tab is at the top of a folder used in filing cabinets and at the side of a folder used for open shelf filing (Ginn, 2015).

**2.4.2.4 Box storage.** Is the most popular storage for files and allows safe and secure offsite records storage solutions at a cost effective for files and materials. Files are placed in boxes and hang on the rack or frame or shelves or the floor. Boxes used at this stage of the records life cycle do not need to be of archival quality (Stulz, 2012).

**2.4.2.5 Suspension folders.** These are often used to hold several interior file folders to subdivide a file and they provide additional support for holding active papers records in a neat and up-right position as emphasized by (Stulz, 2012) and (Read, 2015). They are also called managing folders. Suspension folders have metal extractions that allow them to hang on file drawer frames.

**2.4.2.6 File guides.** Stulz (2012) emphasized that guides and folders must be labeled to draw the eye to the appropriate storage location. The label is usually paper or plastic, which has a caption with the name, subject, number or letter assigned to the folder or section contents. The caption is a title, heading, and short description of the document or record. A label may also be color coded or have barcode to signify its place in a general filing scheme (Stulz, 2012).

**2.5 Active records security threats**

According to the information security and technical report by Colwill (2009), he categorized security threats under two categories thus the insider and outsider attacks to the organization information. He contends that the big threats are categorized under the insider attacks. According to this, a malicious insider has the potential to cause more damage to the organization and has many advantages over the outside attacker: they have legitimate and often privileged access to facilities and information, have knowledge of the organization and its processes and know the location of critical or valuable assets. Insiders will know how, when and where to attack and how to cover their attacks (Colwill, 2009).

Outsiders on the other hand need to target and gather many sources of intelligence before they can take action, while the insider can target the information directly and will not have to overcome most of the barriers facing the external attacker. He further contends that insiders have time and are given the capability and opportunity. The situation is further complicated by the increase in outsourcing which can lead to the extension and potential dilution or fragmentation of protection.
controls and an increase in the number of third parties given the same privileges and access as insiders (Colwill, 2009).

Whitman (2003) identified a number of security threats to records of which paper records are inseparable. These include; act of human error or failure (accidents, employee mistakes), compromises to intellectual property (piracy, copyright infringement), deliberate acts of espionage or trespass (unauthorized access and/or data collection), deliberate acts of information extortion (blackmail of information disclosure), deliberate acts of sabotage or vandalism (destruction of systems or information), deliberate acts of theft (illegal confiscation of equipment or information), deliberate software attacks (viruses, worms, macros, denial of service), forces of nature (fire, flood, earthquake, lightning), quality of service deviations from service providers (power and wan service issues), technical failures or errors (equipment failure), technical software failures or errors (bugs, code problems, unknown loopholes), technological obsolescence (outdated technologies) among other several threats that not only endangers the records but also leads to total loss of such information that is very crucial for the organizational operations. Its therefore wise to assert that in order to strengthen the level of protection of all the organizational information records inclusive, those responsible for that information must begin with an understanding of the threats facing the information, and then must examine the vulnerabilities inherent in the systems that store, process, and transmit the information possibly subjected to those threat (Whitman, 2003).

2.6 Security of active paper records

IRMT (2009) asserts that security of active paper records involves technical procedures that ensure only the authorized and intended parties have access to active paper records and this occurs in three fundamental security goals which are confidentiality, integrity and availability. Confidentiality refers to the process that ensures that information is accessible only to those authorized to have access to. Integrity refers to the duty to ensure that information is accurate and is not modified in an unauthorized fashion. Availability refers to the property of information being accessible and useable upon demand by an authorized entity (IRMT, 2009).

2.6.1 Conducting a security assessment

Before any security of active paper records measures are put in place, it is important to assess the security needs of the institution and determine the possible effect of security procedures on the active paper records, staff and users. Security processes can be intrusive and disruptive therefore
the need to be chosen with some consideration of how staff and users will accept the changes (IRMT, 2009). A first step in security planning is to examine existing systems and processes and the role of staff in their management, to determine gaps and needs. The following questions should be answered as part of a security assessment. These questions relate to the security of active paper records, facilities and buildings and to the activities of staff and users.

What security measures are already in place in the organization? Have there been any breaches of security, thefts and losses or vandalism of active paper records? What were the precise circumstances? Does the institution have insurance against theft or damage of active paper records? (IRMT, 2009). Is access to storage areas controlled by lock and key or is it easily accessible? Who controls the keys and are there procedures in place for leaving keys in a central area so that people can gain access to rooms in the event of an emergency? Does the institution have an established procedure for opening and closing the building, so that all steps are followed routinely and there is little chance that someone will forget to open or lock a door? (IRMT, 2009). Do arrangements for handling security classified records conform to the relevant regulations? Are materials returned to storage promptly?

What is the procedure for returning active paper records after they have been used? Do exterior doors have adequate locks and secure hinges? Are all exterior doors needed or could some be blocked off? Are there grills or screens around ground floor windows? (IRMT, 2009). Are there alarms installed? Are they tamper-proof? Does the repository have a secure door to close off entry? Is there an extra secure storage area or vault within the repository? Is outside lighting in place, needed or possible? Does the institution have a fire alarm and suppression system? Does the institution have fire extinguishers in accessible locations? Are archival materials stored away from areas that might be susceptible to fire damage, flood damage, theft or other harm? Does the institution have an emergency plan for preventing or reducing the effect of disasters? (IRMT, 2009).

2.6.2 Security equipment and supplies of active paper records

According to Franklin (2003) break-ins do not often occur in registries. The greatest threat to active paper records security is from thieves posing as users and vandalism by disgruntled staff.
However, it is important to ensure institutions are secure, particularly during evenings or weekends or other times when staff are not present.

Franklin (2003) explained that good quality door locks such as mortise locks which have a dead bolt attached, good quality door hinges with fixed-pin hinges that cannot be easily removed so that thieves cannot just bypass the locking system and remove the entire door by the hinges, a separate locked vault to hold particularly valuable items; such a vault should have at least one good quality lock are very important for active paper records security. It is critical to remember to lock areas securely whenever necessary even when people are leaving the room or building only for a second (Franklin, 2003). No locking system will protect against theft if it is not used. There must also be a system for key security that ensures that only authorized persons have access to keys.

In addition to good locking systems, the institution may wish to consider installing alarm systems. Alarms not only detect intruders but can also frighten off potential thieves or at least delay their entry into the premises perhaps long enough for security officials or law enforcement officers to arrive on the scene. The simplest alarm system is an alarm bell that goes off if a door, window or other entrance is opened. (IRMT, 2011). It should be noted that more sophisticated alarms include silent alarms, which are heard only in a police stations.

However, the best advice offered to any institution considering an alarm system is to consult with at least three suppliers and also to discuss the situation with the local law enforcement office and with other agencies in the government or business, to determine what has been done elsewhere and what could be done in this situation. It is possible also to install surveillance equipment such as closed circuit television cameras. (IRMT, 2011). Such equipment is very expensive and is usually only considered by agencies with extremely valuable materials or sufficient funds to warrant the cost. Not only is the equipment expensive, but it is also necessary to have someone on staff to monitor the television screens constantly or else the cameras are of little value.

2.6.3 Security management of active paper records

Security management of active paper records involves technical procedures that ensure only the authorized and intended parties have access to records and this occurs in three fundamental security goals which are confidentiality, integrity and availability. Confidentiality refers to the process that ensures that information is accessible only to those authorized to have access to it. Integrity refers
to the duty to ensure that information is accurate and is not modified in an unauthorized fashion. Availability refers to the property of being accessible and useable upon demand by an authorized entity (ISO, 2001).

According to Stewart & Mellesco (2002), security of active paper records requires developing a written comprehensive safety plan. The plan should include rules and regulations regarding use of equipment as well as precautions to be followed when working in records office. Mwangi (2004) suggested that the introduction of modern technology in active paper records security management for instance the use computers to improve file tracking, closed circuit monitoring and indexing.

2.7 Challenges affecting storage and security of active paper records

Mnjama (2005) argues that most organizations continue to treat active paper records management with a low priority compared to other organizational processes. He further noted that despite the crucial role played by information, active paper records continue to be neglected and role played by records keepers is almost impossible. Organizations continue to manage public active paper records without relevant policies, manual and approved classification systems. In addition, Palmer (2006) indicated that sound active paper records management practice should include an approved filing system; records control schedule and system disposal authority.

2.7.1 Challenges affecting storage of active paper records

Mbaaga (2002) pointed out that lack of clear policies on records disposal is the major problem of active paper storage space which in turn impacts on the efficiency and effectiveness of records management especially retrieval of records. Active paper records are simply piled up without any set order which makes retrieval of files extremely difficult, tedious and time consuming. It also has an impact on the records life.

According to Smith (2007), the major challenge of storing active paper records is the huge increase in the amount of information and greater interest on the part of researchers in accessing the stored records and preservation requires new skills and closer cooperation from the specialists. Catherine (2006) identified challenges of active paper records storage in public service as being; inadequate accommodation and storage space, poor storage equipment, under staffing, unskilled records staff, poor environmental control, lack of disaster plans and security measures, limited link to other
government institutions, manual operations, lack of adherence to procedures and records management practices.

Robek (2002) noted that poor active paper records management system creates a poor working environment especially when the institution has many records and files are stocked on top of the cabinets and in boxes. When records are poorly maintained, the pride of the employees and customers suffers and attributes the cause to limited space and organizational negligence to storage and security practices.

2.7.2 Challenges affecting security of active paper records
Chibito (2002) observes that once in a while, work is brought to a standstill because files are lost, misplaced, stolen, vanished, or disappear from filing cabinets. All these depict ineffective use of records. He therefore suggested that, for registry operations to run effectively, should automate some of their services. According to Smith (2007), the major challenge of securing active paper records is the huge increase in the amount of information with the limited funds, inadequate security equipment and human neglect.

Okello-Obura (2008) confirms that some of the security threats emanate from long tern neglect and careless handling of records by even staff members of the organization. Man/woman is considered the worst security threat to records in handling, storage and retrieval (Okello-Obura, 2008). This ranges from unintentional accidents to intentional destruction and malice. It should be noted that deterioration relating to human activity accounts for most of the disasters that affects active paper records around the world. Destructive human behaviors on records include;

- Arsonists who deliberately start fires on records offices.
- Careless handling of documents which leads to tear and wear
- Plucking of pages from documents
- Leaving records offices open
- Allowing un authorized personnel to the registry
- Poor retrieval and filing practices causing materials to be torn
- Stealing of records materials and illegal copying of documents.
2.8 The appropriate measures for effective and efficient storage and security of active paper records

Mwangi (2004) suggested that the introduction of modern technology for instance the use of computers to improve the storage and security of active paper records management practices will solve problems especially those of indexing, location and retrieval of files. This should be employed in the monitoring of file movement in the department, maintaining indexes, assistance in selection for record storage and disposal.

2.8.1 The appropriate measures for efficient and effective storage of active paper records

Active paper records must be stored in areas which are located away from known and objectionable risks. The location of each storage area or facility should be subjected to a risk assessment to identify and mitigate possible risks to the preservation of and access to the records stored there and the results must demonstrate a low level of risk (IRMT, 2009). Storage areas for active paper records must be protected from fire, incursion of water and should have an integrated cleaning and pest management systems in place.

Storage areas and facilities of active paper records must not be used to store anything that could harm the records such as chemicals or flammable liquids and must be designed to minimize the impact of sunlight and UV light. Lastly, storage areas must have sufficient floor loading capacity to safely support the maximum volume of records and their containers or equipment (IRMT, 2009). Active paper records must be stored in conditions that ensure their preservation for as long as they are required to be retained. The registry staff must ensure that; shelving and handling equipment are appropriate for the format, security classification and retention period of the records (Mnjama, 2005). Rotich (2014) explained that institutions should create, approve and enforce policies and practices regarding storage of active paper records. Top management should offer full support to key records management practices especially increasing the investment in training activities; ensure that training leads to desired work outcomes. More so, adoption of modern technology in records management should be implemented.

Containers used to store active paper records must be clean, in good condition and appropriate to record weight, size and format to assist with the preservation of the records they contain. Individual shelves should be able to safely support the maximum volume of records and their containers.
Temperature and humidity levels within storage facilities should be appropriate for the format and retention period of the records stored and maintained in accordance with the relevant Standards for example ISO (2001). Temperature and humidity levels within dedicated storage areas should be monitored for stability and action taken to minimize any significant fluctuations. Certified archival quality containers should be used to house records where there is an identified conservation need (IRMT, 2009).

2.8.2 The appropriate measures for efficient and effective security of active paper records
An important factor in securing active paper records is the provision of adequate security measures, to protect the people working in the registry and the active paper records themselves. A number of security measures can be implemented at little or no cost; other measures are more expensive or time consuming (IRMT, 2009). The decision about what types of security measures are required and to what extent will depend on the particular needs of each institution. Regardless of the systems implemented, security measures should be based on good planning, to ensure budget and staff limitations are taken into consideration and the specific needs of the organization are identified.

The organization should have clearly written security policies and procedures of active paper (IRMT, 2009). Access to storage areas should be controlled by locks, with specific people assigned responsibility for opening and closing the doors and ensuring all areas are secure. The keys should be kept in a central location. No one should develop the habit of taking keys home thus leaving the institution without a means of access into storage areas. The number of entrances to the storage areas should be limited (IRMT, 2009). It is wise to invite the police to assess the building and discuss possible improvements to make it more secure. If possible, valuable records should be stored separately or placed in individual folders so that staff can find them more easily in an emergency.

It is best not to mark documents themselves but rather to keep a register or keep copies of accession records identifying valuable records. It is ideal to have a 24-hour security patrol, but if this is not possible it is wise to investigate the installation of alarms or other security systems. The storage areas should be equipped with fire alarm and suppression systems and these should be checked regularly to make sure they work properly. The entrance to the records office or any other place where files are stored should strictly be controlled. Cabinets containing confidential records must
be kept locked (IRMT, 2009). The outer door to the records office must always be locked when no member of the records office staff is present and ground floor windows should have security grilles or bars. Do not allow smoking in any file storage areas. Adequate numbers of fire extinguishers must be provided and maintained. An emergency plan should be in place and tested regularly (IRMT, 2009).

2.9 Research gap
Researchers have conducted research on records management subjects in many organizations however there is no explicit research that has been conducted particularly about assessment of storage and security of active paper records at MOFA central registry. In addition, a number of storage and security loopholes are being encountered at MOFA and yet most previous researchers have focused on the concepts of records preservation hence the justification for this research.

2.10 Conclusion
In conclusion therefore, active paper records storage and security is an aspect of records management that managers often look down until they need vital records that are not within reach yet what actually keeps the civil service going in any modern system of government is recorded information called records which are used for planning, decision making and controlling. The need for a records management program that adheres to the best active paper records storage and security practices cannot be overstressed in the digital age.
CHAPTER THREE: METHODOLOGY

3.1 Introduction
The chapter describes the research design and further attempts to describe the population of this study, the data collection tools that was used in the course of the research and data collection instruments that was used in the process of data collection and techniques to maintain the validity and reliability of the research instruments.

3.2 Research design
Katebire (2007) described a research design as a general strategy adopted for answering the research questions. It is a plan of what data to gather, from who, how, when to collect and how to analyze the obtained data. The research design provides the glue that bonds the research project together. A research design outlines the basis for making interpretation of the data and establishes detailed steps to follow when conducting the study. This study used a case study design. Yin (2009) states that the case study design may refer to an empirical inquiry that investigates contemporary phenomenon in depth and within its real life context. The researcher therefore used qualitative and quantitative research designs together with the approach of a case study design because the researcher desired to describe storage and security of active paper records at MOFA central registry in detail, in context and holistically.

3.2.1 The case study research design
Yin (2009) states that the case study design is mostly used when conducting research in the social sciences and not natural sciences. This is in addition to other methodological approaches which include but not limited to experiments, histories, surveys, and epidemiologic research. Yin (2009) however notes that the use of case studies stands out as the most challenging compared to other approaches. This study was conducted using a single case study approach because the researcher has no interest of generalizing one’s findings beyond their relevance to MOFA.

3.3 Area of study
The study was conducted in the central registry at MOFA which is located at 2A Colville Street, on Nakasero Hill in the central Division of Kampala along Sir Apollo Kaggwa Road.
3.4 Study Population
Epsteil (2000) defined a population as a complete set of elements (individuals and objects) with some common observable characteristics on the basis of which they are included into a study. It is critical to distinguish between the populations for which the results are required. MOFA has a total of 250 staff with 145 females and 105 males. However, the study considered the registry staff.

3.5 Sampling
Kathari (2000) defines sampling as a deliberate process of selecting part of population for the study with the intention of generalizing the findings to the whole population. He further noted that a sample is a part of the population which is deliberately selected for investigating the properties of a parent population. As such a part of the population (sample) is selected with the results generalized to the whole population. Sampling in a research undertaking can be random, non-random, or a combination of both.

3.5.1 Sample size
6 respondents were selected for this study from the central registry. The central registry staff represents the whole population of MOFA in relation to records management concept.

<table>
<thead>
<tr>
<th>Respondents</th>
<th>Anticipated respondents</th>
</tr>
</thead>
<tbody>
<tr>
<td>Senior Records Officer</td>
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<tr>
<td>Records Officers</td>
<td>2</td>
</tr>
<tr>
<td>Assistant Records Officers</td>
<td>2</td>
</tr>
<tr>
<td>Registry assistant</td>
<td>1</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>6</strong></td>
</tr>
</tbody>
</table>

3.5.2 Sampling method
The researcher employed purposive sampling method. The respondents were purposively selected for empirical data collection because the researcher believed that they have reliable information on storage and security of active paper records. This was also dependent on how long they have worked with the Ministry. However, it should be noted that in the selection of literature, the sources were selected on the basis of their perceived relevance to this study.
3.6 Description of data collection methods
Data was collected through observation, document analysis and in-depth interviews.

3.6.1 Interview method
Bell (1997) described an interview as a dialogue between the interviewer and respondent with the purpose of eliciting certain information from the respondents. This involves face to face conversation between the researcher and the respondents for the purpose of obtaining information. Interviewing is a well-established research method to investigate attitudes, beliefs, and behavior of certain social groups and it can help gain valuable insight into the underlying causes of the phenomena observed (Fielding & Thomas, 2001). Using this method, the researcher was able to obtain information about types of active paper records as well as storage and security of active paper records practices.

3.6.2 Observation method
Observation can be defined as a purposeful examination of research phenomenon for purposes of gathering data. It involves the use of sensory organs to make sense of this study phenomenon (Katebire, 2007). Observation enabled the researcher to employ vision in the storage and security of active paper records. This method is of the researcher’s interest because it provides the advantage of eliminating bias that may not be presented by the respondents particularly through other methods such as interviews. Using this method, the researcher was able to identify the storage equipment, challenges of storing and securing active paper records, available security measures as well as security equipment and supplies.

3.6.3 Document analysis method
This was adopted to enable the researcher to establish terms and aspects applicable in this study of assessment of storage and security of active paper records. Document analysis enabled the researcher to obtain detailed information about records storage and security through analyzing official documents of MOFA for example the registry procedure manual, the registry filing and classification system and The Ministerial Policy Statement, 2017.

3.7 Data Collection Instruments
According to Kothari (2005), the researcher must select a dependable and flexible tool that provides opportunity for considering different aspects of the problem. The data collection instruments in this study comprised of interview guide, observation guide and document analysis guide. These are described below:
3.7.1 Interview Guide

According to Ritchie and Lewis (2008), an interview guide lists questions, topics and issues to cover while collecting data especially in qualitative studies. However, it has to be noted that this study, being based on case study paradigm, the interview guides had to abide by the best practices of interview guide construction. Yin (2009) stated that case study interview guides are deliberately constructed to collect in-depth data from the interviewees devoid of any biases. Such guides are therefore recommended to contain open-ended questions and should be semi-structured in nature. The semi-structure component in this case implies that the questions set for the interviews are alterable and not have to be followed verbatim as the need may arise in the course of the interviewed (see appendix A).

3.7.2 Observation Guide

Observation instruments contain general aspects of the research problem that the researcher kept an eye on during the process of carrying out data collection in the field (Shampoo, 2009). Results from this instrument was of much help to the researcher to complement results from the interview method and document analysis (See appendix B).

3.7.3 Document analysis guide

A document analysis guide aids in collecting secondary data. This instrument guided the researcher to remain focused on the area of study; it enabled the researcher to obtain wider knowledge on the subject and to provide a more organized approach to the background information that related to the topic of assessment of storage and security of active paper records. See appendix C

3.8 Data quality control

Shepherd (2003) stated that the quality of research reports depends to a large degree on the quality of the data used to compile the said report. These are measures that the research puts into consideration to ensure that the data collected is accurate and relevant for solving the issue at hand. Quality was ensured by two elements and these are reliability and validity of the data.

3.8.1 Validity

Validity of the instruments was established using the both construct and content validity test. Validity was ensured by triangulation where the researcher used various methods to collect data like observation, interviews and document analysis. More so, the university research supervisor checked the data collection instruments before going to the field. Validity determines whether the research truly measures that which it was intended to measure.
3.8.2 Reliability
Reliability refers to the degree to which an assessment tool such as interview guide produces stable and consistent results. The extent to which results are consistent over time and an accurate representation of the total population under study is referred to as reliability and if the results of a study can be reproduced under a similar methodology, then the research instrument is considered to be reliable. Pre testing was conducted and necessary adjustments done on the data collection instruments. Pretesting enabled the researcher to refine the data collection tools that were used in the collection of the data and the procedures to be followed. Results realized were discussed with the supervisor to ensure content reliability.

3.9 Data analysis and presentation
Yin (2009) rightly observes that analyzing qualitative data in case studies is one of the most challenging stages in a research process. Yin (2009) further 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. The data collected was categorized and entered in the computer that is MS Word and MS Excel to be tabulated accordingly. In attempting to analyze the data the researcher used both inferential and descriptive analysis important for making research judgments on the data collected for meaningful conclusions and recommendations.

3.10 Research Procedure
This includes the steps the researcher followed when carrying out research. The researcher was asked to formulate a research topic of interest and upon approval. Writing the research proposal commenced. The researcher, after the research proposal approval obtained an introductory letter (See Appendix D) from the head of department East African School of Library and Information Science of Makerere University to authorize research on assessment of storage and security of active paper records at Ministry of Foreign Affairs Central Registry.

3.11 Ethical considerations
According to Resnik (2010) ethical standards promote the aims of research such as knowledge, truth, and avoidance of error. During the study, the researcher made respondents understand that participation is voluntary and that participants are free to refuse to answer any question they were not comfortable to answer.
The researcher got informed consent of those going to be met during the research process through interviews and observations on issues delicate to some respondents. The researcher considered that in mind seriously. Accuracy and honesty during the research process was considered very important. The researcher ensured that the research process is devoid of any strenuous psychological or physical risks.

3.12 Limitations to the study
There are some limitations that the researcher faced during the study. Busy respondents. Some respondents were busy doing their businesses and had limited time for the researcher which caused delay or even getting sketchy information. Limitation of financial resources. The researcher required financial resources for example money to go to the field and printing out observation and interview guides which were expensive for the researcher since she is not working.

3.13 Budget of the study
Researcher required financial resources for example transport to go to the field and printing out the research work and interview guides. This was relatively expensive since I was not working. The items and the amount spent are indicated below.

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<th>TOTAL COST</th>
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<tr>
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<td>462000</td>
</tr>
</tbody>
</table>
3.14 Time frame

The study was conducted from February to August, 2018 right from topic formulation to handing in the dissertation as shown below.

**A GANT CHART SHOWING THE ACTIVITIES UNDERTAKEN DURING THE STUDY AND THE TIME FRAME IN MONTHS**

<table>
<thead>
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<th>ACTIVITIES</th>
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<td>Approval of Topic</td>
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<tr>
<td>Proposal Writing</td>
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<td>Proposal approval</td>
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<tr>
<td>Data Collection</td>
<td></td>
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<tr>
<td>Data Analysis and Interpretation</td>
<td></td>
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<tr>
<td>Dissertation writing</td>
<td></td>
</tr>
<tr>
<td>Dissertation Submission</td>
<td></td>
</tr>
</tbody>
</table>

3.15 Conclusion

The above chapter has described the research methodology that will be used in the study. This is consistent with the research guidelines. It has also explained processes of gathering, analyzing and interpretation of data, population of this study, data collection tools and data collection instruments that will be used in the process of data collection and maintaining the validity and reliability of the research instruments.
CHAPTER FOUR: PRESENTATION, ANALYSIS AND DISCUSSION OF FINDINGS

4.1 Introduction
This chapter presents the findings of the study and the subsequent interpretation of the data collected about storage and security of active paper records at MOFA central registry. Data was collected using face to face interviews, observation and document analysis in relation to the study objectives which included; to find out the types of active paper records kept at MOFA central registry, to examine the storage of active paper records at MOFA central registry, to find out the security threats of active paper records at MOFA central registry, to analyze security of active paper records at MOFA central registry, to find out challenges affecting storage and security of active paper records at MOFA central registry and to suggest appropriate measures for effective and efficient storage and security of active paper records at MOFA central registry.

4.2 Characteristic of the respondents
The interview guide sought to establish the characteristics of the respondents. This helped the researcher in obtaining credible and authentic information. Findings show that all the staff in the central registry are trained and as such, they are capable of managing records processes. The study involved 6 respondents and were purposively selected for data collection because of their role in managing records in the central registry; (01) Senior Records Officer (SRO), (02) Records Officers (RO), (02) Assistant Records Officers (ARO) and (01) Registry assistant (RA).

4.2.1 Response rate
The study targeted 6 respondents and the researcher managed to obtain responses from the 6 respondents making the response rate 100% as shown in table 1 below.

<table>
<thead>
<tr>
<th>Respondents</th>
<th>Anticipated respondents</th>
<th>Actual respondents</th>
<th>Percentage (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Senior Records Officer</td>
<td>1</td>
<td>1</td>
<td>17</td>
</tr>
<tr>
<td>Records Officers</td>
<td>2</td>
<td>2</td>
<td>33</td>
</tr>
<tr>
<td>Assistant Records Officers</td>
<td>2</td>
<td>2</td>
<td>33</td>
</tr>
<tr>
<td>Registry assistant</td>
<td>1</td>
<td>1</td>
<td>17</td>
</tr>
<tr>
<td>Total</td>
<td>6</td>
<td>6</td>
<td>100</td>
</tr>
</tbody>
</table>

Source: Primary data 2018
4.2.2 Gender and Age of respondents

During the study, the researcher managed to interview 6 respondents out of which 2 respondents were females and 3 males. Categorically, table 2 below shows that 1 respondent was between 40-45, 2 respondents between 30 and 35 and 3 respondents between 25-30.

Table 2: Gender and Age of respondents

<table>
<thead>
<tr>
<th>Respondents</th>
<th>Gender</th>
<th>Age group</th>
<th>Frequency</th>
<th>Percentage (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Senior Records Officer</td>
<td>Female</td>
<td>40-45</td>
<td>1</td>
<td>17</td>
</tr>
<tr>
<td>Records Officer</td>
<td>Female</td>
<td>30-35</td>
<td>1</td>
<td>17</td>
</tr>
<tr>
<td>Records Officer</td>
<td>Male</td>
<td>30-35</td>
<td>1</td>
<td>17</td>
</tr>
<tr>
<td>Assistant Records Officers</td>
<td>Male</td>
<td>25-30</td>
<td>2</td>
<td>32</td>
</tr>
<tr>
<td>Registry assistant</td>
<td>Male</td>
<td>25-30</td>
<td>1</td>
<td>17</td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td></td>
<td>6</td>
<td>100</td>
</tr>
</tbody>
</table>

Source: Primary data 2018

4.2.3 Years of service and education level of respondents

As indicated in the table below, the study used primary data. The primary data was obtained using the observation and interview data collection methods. Only key selected respondents were interviewed due to their roles in records management thus making them purposive towards the researcher’s study topic. The table 3 below indicates that 4 respondents had a bachelor’s degree and the next had a certificate and all of them had served for more than 2 years in the central registry.

Table 3: Years of service and education level of respondents

<table>
<thead>
<tr>
<th>Respondents</th>
<th>Frequency</th>
<th>Years of service</th>
<th>Qualification</th>
<th>Field</th>
</tr>
</thead>
<tbody>
<tr>
<td>Senior Records Officer</td>
<td>1</td>
<td>7 years</td>
<td>Bachelors</td>
<td>BLIS</td>
</tr>
<tr>
<td>Records Officers</td>
<td>2</td>
<td>6 years</td>
<td>Bachelors</td>
<td>BLIS</td>
</tr>
<tr>
<td>Assistant Records Officers</td>
<td>2</td>
<td>3 years</td>
<td>Bachelors</td>
<td>BRAM</td>
</tr>
<tr>
<td>Registry assistant</td>
<td>1</td>
<td>4 years</td>
<td>Certificate</td>
<td>RAM</td>
</tr>
<tr>
<td>Total</td>
<td>6</td>
<td>20</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Source: Primary data 2018
4.3 The types of active paper records kept at MOFA central registry

4.3.1 Activities MOFA

The study found out that Ministry of Foreign Affairs involves herself in a variety of activities to ensure that her goals and objectives are achieved aiming at the mission and vision. These activities included; promoting bilateral and multilateral diplomacy resources for development, promoting commercial and economic diplomacy, promoting public diplomacy to enhance Uganda’s image abroad, provides protocol and consular services, promoting inbound investments, finding markets for Uganda’ products and services abroad, active participation in international and regional organizations that stand for peace, and for the wellbeing and progress of humanity, promoting regional and pan African cultural, economic and political cooperation, finding cheap or cost effective sources of products and services, promoting peace and international peace and security.

In addition, MOFA also engages in promoting Uganda’s exports, inward foreign direct investment, tourism and technology transfer under commercial diplomacy, promoting international law and commitments, and ensures reporting obligations and international treaties and conventions, provides diplomatic, protocol and consular services in Uganda and abroad, mobilizes and empowers Ugandan in diaspora for development, promoting Uganda’s public diplomacy to enhance Uganda’s image abroad, strengthens institutional capacity of ministry and affiliated institutions to deliver a result oriented foreign policy for Uganda.

4.3.2 Activities MOFA Central registry

During the study, the researcher observed the activities below the central registry at MOFA.

- **Opening up new files;** These new files were for either the new employees or embassies that are involved within Foreign Affairs and were given file numbers to ease in retrieving.
- **Closing files when due;** Files especially general files and embassy files were closed when more than 200 folios are filed in the file folder, personal files could be closed when the employee is reported dead and when he/she is out of service or he/she had retired.
- **Routing files and mails for action** upon request for example when they receive calls from where the action wants to be taken such as the personal secretary’s (PS’s) office.
- **Filing of documents;** the registry handles different documents and records from different departments of all employees (personal files), protocol (PRO), Administration (ADM), MOT. Also NAMERA files in the security registry. Filing included punching, folioing that
is indicating red minutes and black minutes, stapling and stamping of documents as evidence that they have been received.

**Dispatching letters** to their destination and other documents that are needed to be approved by officers in their departments.

**Shelving of files.** Files were shelved in alphanumerical way in ascending order.

**Retrieving of files** requested files from shelves or cabinets and noting on the file transit sheet then take the file to the officers that have requested them for action. This was accompanied by the book for tracking files with all the files taken for signing to maintain proper records.

**File re-dressing.** This is replacing the old file covers with the new ones to ensure smartness and cleanliness in the registry.

**Sorting of files** and documents according to their subject numbers and their reference numbers and disorganized files had to be re-filed and re-shelved.

**Security grading** that is the top secret, secret, confidential and restricted/open. It is determined by the color coding used as a file cover which sets records on different security levels eg Yellow/pink/brown color files (open); this is used for open files and are kept in the open registry that manages the personal files, protocol files, administration and Embassy files (EUR, AFR, ASI). Green color files; these contain confidential information hence they act as individual personnel files. At MOFA, these are restricted to the security records. The blue files are for the secret scheme. These are always in the PS’s office. If disclosed they would cause serious injury to the interests of the nation.

**Weeding of files.** This is the removal of files from the registry especially if the owners died, retired. This was done to create space for the new files so that the files can be well shelved and could not get tone.

**Labeling;** Labeling is done to ease shelving since the boxes are place on the shelves showing the box numbers. The archival boxes were, mainly used because they are more preservative compared to other boxes.
4.3.3 Active paper records maintained at MOFA Central registry

The researcher asked the members of the central registry staff this question “what types of active paper records are kept at MOFA central registry” and the respondents gave responses below.

“Well we have administrative active paper records which are created for documenting policy, procedures and guidelines for example directives, rules regulations, manuals reports. Administrative records especially policy documents ensure staff comply with MOFA set principles and also work directly with other members” (RO).

“We also have financial active paper records that include audit reports, financial statements, receipt books, payment vouchers and annual reports. MOFA maintains financial records about financial claims, audit reports, procurements reports, contracts and agreements detailing the policies between the organization and its clients “(SRO).

“In addition, we also have legal paper records which 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 “(ARO).

“There are also personnel active paper records such as application letters, appointment letters, performance appraisal forms, attendance, annual leave and sick leave records, retirement records, education, training and development records. They are obtained from processes of recruitment and appointment, induction and initial training, confirmation in posts, performance appraisal, promotions, transfers, disciplinary proceedings and dismissal, attendances, death in service, retirement and pension payment” (RO).

“We also have policy active paper records with files containing 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 include three basic categories. More so, there are vital active paper records which are essential to the continuation of MOFA business in the event of catastrophic loss. Some vital records are held by records offices either because they are active or because they have been recently closed. All these records were generated internally and externally especially mails and correspondences” (SRO).
4.3.3.1 Discussion and analysis.

Administrative active paper records; they are created for documenting policy, procedures and guidelines for example directives, rules regulations, manuals reports. Administrative records especially policy documents ensure staff comply with MOFA set principles and also work directly with other members. This is in line with Stewart & Jeffery (2002) who noted that administrative records are further sub-divided into policy and operational records. Policy records include plans, methods, techniques or rules which the agency has adopted to carry out its responsibilities and functions. Operational records are necessary to implement administrative policies and operations. Financial active paper records; include audit reports, financial statements, receipt books, payment vouchers and annual reports. MOFA maintains financial records concerning their obligations, agreements, and financial performance, primarily to satisfy legal requirements for example financial claims, audit reports, procurements reports, contracts and agreements detailing the policies between the organization and its clients.

Legal paper records; these files enclose records of legal value include those with evidence of legally enforceable rights or obligations of the institution or state. These 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.

Personnel active paper records; such as application letters, appointment letters, performance appraisal forms, attendance, annual leave and sick leave records, retirement records, education, training and development records. The active personnel records also provide the authority to determine pay and other benefits, including pensions. Personnel records must be accurate and complete, and they must also be trustworthy to both the organization and the employees.

Policy paper records; these files contain 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 include three basic categories. Organizational documents like budgets and budget planning records, fiscal records, organizational and functional charts. Governing documents like manuals, directives, orders, and interpretations issued from top authority levels, correspondence files of high-level officials, regulations, circulars, instructions, memoranda or regular issuances
Vital active paper records; they are essential to the continuation of MOFA business in the event of catastrophic loss. Some vital records are held by records offices either because they are active or because they have been recently closed. Other vital records will be held by the records centre. This finding agrees with Read & Ginn (2015) who noted that registry staff must be aware of the existence and state of vital records in the records offices and records centre. Records centre staff must collaborate with records office staff to ensure that vital records are given priority treatment in the event of a disaster.

4.4 The storage of active paper records at MOFA central registry

4.4.1 MOFA central registry

The researcher observed that the central registry had cabinets, tables, office trays, chairs, archival boxes and open wooden shelves for active paper records storage. The active paper storage equipment used in the central registry provides appropriate protection for records based on the format, volume of the records and frequency of use and security requirements. Only records which are required frequently are stored in the registry. Shelves and cabinet drawers hold current records and are clearly labelled to indicate the file number ranges. Adequate space should be left on shelves or in drawers to allow for easy withdrawal and replacement of files.

4.4.2 Storage of active paper records at MOFA central registry

It was observed that the current status of storage of active paper records at MOFA is overwhelmed by the increasing volume of information. As a result, there is congestion in the registry which causes inadequate storage area and limited working space. Active paper records are accommodated in shelves, box files, file folders, acid free boxes, cabinets as well as floor space, office trays, tables and chairs. These records in the central registry were classified according to subject matter; records relating to the same topic were classified filed and stored together. Labelling succeeded filing which was done immediately upon receipt. The researcher observed that the files were clearly labelled to enable easy identification and more so, the shelves were clearly labeled. Labeling was done too to ease shelving since the box files, file folders and acid free boxes were place on the shelves showing according to numbers. The archival boxes were mainly used because they are more preservative compared to other boxes
4.4.3 Active paper records storage equipment at MOFA central registry

Open wooden shelves. The researcher observed that the central registry uses open shelves for storage of protocol records, administration, embassy, personnel active paper records. The senior records manager indicated that open shelves save floor space compared to file cabinets. Files were arranged in alphabetical order and the shelves are labelled alphabetically. Placing files on open filing shelves allows staff to maximize registry floor space and access files quicker with greater accuracy. The files are color coded which enables fast retrieval of files and reducing the amount of misplaced information as indicated in figure 3 below.

Figure 3. Open wooden shelves: Field photo by Dilys taken on 20th June 2018
Filing cabinets. The researcher observed that the central registry had 6 cabinets and were used to store active confidential paper records. They have enclosures with drawers in which files are stored. The cabinets are made of steel and use a drawer slide to facilitate opening and an out stop to prevent the drawer from being pulled completely out of the cabinet. Access to these records is restricted therefore all the filing cabinets incorporate a keyed lock to prevent unauthorized access to the records being stored.

Acid free boxes. The number of files of maintained in the central registry is very high. These file cannot fit on the shelves and cabinets therefore some were stored in acid free boxes. These records stored in in acid free boxes. However, the senior records officer indicated that the storage of records in the acid free boxes poses a challenge in retrieving the record because the boxes are piled in long piles on top of each other. She further explained that these boxes are very appropriate for storage of semi current records because they have low retrieval rates. This finding agrees with William (2011) who noted that boxes should be used for offsite storage. They provide files with safe and secure offsite storage cost effective solutions.

4.5 The security of active paper records at MOFA central registry

The senior records officer indicated that;

‘They ensure that the entrance to the records office is strictly controlled. Cabinets containing confidential records kept locked. The outer door to the records office is always locked when no member of the records office staff is present and the windows have security grilles/ bars. Measures have been taken to prevent and control outbreaks of fire. Smoking in any file storage areas is not allowed. Adequate numbers of fire extinguishers are provided and maintained. Regular fire drills are always held. Eating and drinking in the records office should is not allowed because spilt drinks and food cause serious damage to records” (SRO)

4.5.1 Security threats to active paper records at MOFA central registry

The study identified that security threats to active paper records at MOFA central registry are a result of deliberate action and some are unintentional for example act of human error or employee mistakes, unauthorized access, deliberate acts of information extortion, deliberate acts of sabotage or vandalism , deliberate acts of theft, forces of nature like fire, lightning, quality of service deviations from service providers among other several threats that not only endangers the records
but also leads to total loss of such information that is very crucial for the organizational operations. Its therefore wise to assert that in order to strengthen the level of protection of all the organizational information records inclusive, those responsible for that information must begin with an understanding of the threats facing the information, and then must examine the vulnerabilities inherent in the systems that store, process, and transmit the information possibly subjected to those threat.

4.5.2 Security measures for active paper records at MOFA central registry

The records officer explained that;

“The registry assistant further noted that the central registry has good quality door hinges with fixed-pin hinges that cannot be easily removed therefore thieves cannot just bypass the locking system and remove the entire door by the hinges. The registry has a key security system that ensures that only authorized persons have access to keys. The registry also serves the records users from the counter to deny unauthorized staff have access to the central registry” (RO).

“He further noted that it is obvious that records security awareness can bring many benefits to an organization. However, the return on investment for any awareness program should not be looked at merely from a dollars and cents point of view. Due to the explosive growth of the internet, fundamental records security needs to also grow. Companies that connect to the internet in order to expand their businesses, risk the threat of intrusion. Furthermore, when a company is connected to the internet, any user in cyberspace can have access to its website. Moreover, while many tactics provide an assurance of protection, carelessness can also be a key factor” (RO).

The records officer stated that active paper records security ensures protection of records to the required level by the nature, content and value of the information. It follows accepted standards in respect of the storage environment in order to minimize the risk of damage, loss and unauthorized access. The records staff are familiar with guidelines and requirements of active paper records security for example a complete records survey conducted on what media types the organization has, use registers, list or index of all the active paper records, a proper method of classifying or arranging active paper records, identification of the value of records and for how long they should
be kept, listing the format of records to determine the types of storage required. Lastly, she noted records regardless of format cannot be stored longer than necessary because unnecessary retention consumes time, space and equipment therefore disposal aids effectively as codified in the retention schedules.

4.6 The challenges of storage and security of active paper records at MOFA central registry

The records assistant indicated that the MOFA security registry faces a number of challenges to promote an efficient records service that meets the needs of the organization to bring benefits, such as better planning and decision making, cost-savings, increased efficiency and productivity, improved working environments and greater accountability which included limited storage equipment, duplication, miss filing, dust, biological agents and inadequate funding.

**Limited storage equipment;** the researcher observed that the security registry has few cabinets and as a result, some files were piled on floor, on tables and chairs which exposes the records to excessive amounts of light which accelerates the aging process of records, fading and drying them. Some files were piled on top of drawer cabinets and expose the records to excessive amounts of light which accelerates the aging process of records, fading and drying them. The storage equipment is not enough as indicated in the figure below. The wooden shelves too are not in good condition yet they most of the central files.

**Duplication of files;** The assistant records officer noted that the central registry had a very big problem of duplication which has led to congestion of files as well as rendering the available storage equipment inadequate especially the wooden shelves and the cabinet. More so, poor records management practices such poor records storage lead to duplication of records especially when records officers assume that they lost a given file yet it is required for the daily operations of the organization. Records personnel tend to create substitute files the moment they realize that they lost the original file.

**Misfiling and shelving;** The assistant records officers revealed that there is miss filing and shelving of files constantly rendering information unavailable. This is caused by the lack of enough registry stationary like file folders. The files folders are color coded for different public functional category and sometimes when file folders for a certain category are over, the central registry staff are forced to use those of the other category and possibly miss shelved leading to loss of information and tracking these records is rather so hard consequently resulting into
disappearance and loss of these records or files. He further indicated that it also a result of serving many users simultaneously.

**Dust:** the researcher observed that the central registry faces a problem of dust and mainly because some files are stored on open shelves, floor space on top cabinets which exposes them to dust and constantly results into dirt as a result of poor cleaning practices. The dirt stains on the records covering the information and making it hard to identify such information.

**Inadequate funding:** The senior records officer indicated that the central registry does not have money to purchase enough cabinets and the whole registry just has 6 cabinets. He further added that they lack enough money to buy metallic shelves because they are still using wooden shelves at most. Lastly, he noted that the central lacks funds to fully automate and computerize central records management practices and the current digital system runs concurrently with the paper based records system.

**Limited space.** The central registry is very small yet it has to accommodate all the day to day increasing number of files from public ministries. This always led to increased wear and tear of file due to constant handling as sometimes it requires you (records staff) to first remove a to create space such that you get access to the one you want. This could lead to delay in service delivery. The duping of files at the floor provides a bleeding ground for rodents which feed on paper hence loss of important information. This is in line with Smith (2007) who notes that the major challenges of storing records are the huge increase in the amount of information and greater interest on the part of researchers in accessing the stored record.

**Light;** Excessive amounts of light accelerate the aging process of records, fading and drying them. Sunlight causes fading, and ultraviolet light, found in some fluorescent lighting, will increase chemical deterioration of paper. Limit the amount of light in storage areas as much as possible. Store records away from light. Keep them in a windowless room or cover the windows with heavy black curtains and blinds
4.7 The appropriate measures for effective and efficient storage and security of active paper records at MOFA central registry

There is need for adequate metallic shelves, frequent dusting of shelves, cutting down the intensity of light affecting the records, objective filing and shelving of records, on site system administrator, Trained personnel in ICT, closing duplicated files/eradicating and Procuring the right folders with the right coding. Records office staff must be able to determine the location of every file for which they are responsible. Each time a file moves, this fact must be recorded in the records office. File movements are monitored in a number of ways: on file transit sheets that are filed in a file transit book, on transit ladders that appear on file covers, on file movement slips and through regular file censuses.

Objective shelving; there is need for effective and efficient filing and shelving to enable timely and informed discussion making. The assistant records officers revealed that there is miss filing and shelving of files constantly rendering information unavailable. This is caused by the lack of enough registry stationary like file folders. The files folders are color coded for different public servants and sometimes when file folders for teachers are over, the central registry staff are forced to use those of the traditional staff and possibly miss shelved leading to loss of information and tracking these records is rather so hard consequently resulting into disappearance and loss of these records or files. He further indicated that it also a result of serving many users simultaneously Maintaining and filing paper records properly. Records contained in paper files should be managed according to business and legal requirements. This means they should be filed correctly, as soon as possible after receipt or creation. If an action is required, you should still file the document, and circulate the file to the appropriate member of staff. Maintain a record of this circulation, to reduce the risk that the file will be misplaced. Documents should not be placed loose into files or folders. This helps prevent loss, damage or destruction.

Provision of modern storage equipment; for example, adequate metallic shelves or mobile shelves and enough cabinets. The researcher observed that the central registry had only one cabinet and shelves which cannot accommodate all the records of retirees; teachers, people in the army and traditional staff. Some files were piled on top of drawer cabinets and expose the records to excessive amounts of light which accelerates the aging process of records, fading and drying them. The wooden shelves too are not in good condition yet they most of the central files.
Closing duplicated files; The senior records officer noted that the central registry has a very big problem of duplication which has led to congestion of files as well as rendering the available storage equipment inadequate especially the cabinets. More so, poor records management practices such poor records storage lead to duplication of records especially when records officers assume that they lost a given file yet it is required for the daily operations of the organization. Records personnel tend to create substitute files the moment they realize that they lost the original file.

Automation of records. This approach is essential to reduce over reliance on manual systems of records management. Automated systems are more efficient, effective, economical and faster than manual systems. The success of an automated system can be achieved by the records management staff writing convincing proposals to the top management explaining the benefits of automated and computerized records management systems. Alternatively microfilming of semi records that are rather occupying the registry space.

Training the records staff and users on use of ICT. Once electronic records management policies and procedures are created and adopted, it is important to train all staff members in their implementation and to ensure that staff members follow the policies and procedures. Following training, staff members should be held accountable for their records management activities. For good management of e-records, it is important that various categories of personnel involved in the electronic records management.

Controlling and monitoring the intensity of light affecting the records; monitoring light levels regularly, measuring visible light and ultraviolet light, and keep a record of changes in light levels. Keep the lights off or low whenever possible and reduce the wattage of bulbs. Install ultraviolet filters over fluorescent lighting. These filters are plastic covers that slip over the fluorescent tubes, screening out ultraviolet rays. Inspect materials regularly, checking for fading or drying. Closely monitor any items stored in the open or without proper containers.

4.8 Conclusion
Shelves and cabinet drawers should be clearly labelled, and labelling must be kept up-to-date. The records institution should be responsible for all professional and technical matters relating to the delivery of effective and efficient records services including training and inspection. The head of the records office has immediate responsibility for the day-to-day work of the records office and the service it provides to users of records.
CHAPTER FIVE: SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

5.1 Introduction
This chapter presents the summary, conclusion and the recommendations of the study. It draws conclusions from the findings and makes recommendations for addressing the challenges of storage and security of active paper records at MOFA central registry. The study involved 6 participants and data was collected using face-to-face interviews, observation and document analysis.

5.2 Summary
A study was undertaken to assess storage and security of active paper records at MOFA registry and the findings were presented according to the objectives; to find out the types of active paper records kept at MOFA central registry, to examine the storage of active paper records at MOFA central registry, to find out the security threats of active paper records at MOFA central registry, to analyze security of active paper records at MOFA central registry, to find out challenges of storage and security of active paper records at MOFA central registry and to suggest appropriate measures for effective storage and security of active paper records at MOFA central registry.

5.2.1 To find out the types of active paper records kept at MOFA central registry
It was identified that MOFA central registry engages in different activities for example opening up new files, routing files, filing of documents, dispatching letters, shelving of files in alphanumerical way in ascending order, retrieving of files requested files from shelves or cabinets, file re-dressing, sorting of files and documents, security grading, weeding of files and labeling. As a result, were various types of active paper records generated at MOFA and were categorized into administrative records, financial records, legal records, personnel records and vital records.

5.2.2 To examine the storage of active paper records at MOFA central registry
The researcher observed that the central registry had cabinets, tables, office trays, chairs, archival boxes and open wooden shelves for active paper records storage. The active paper storage equipment used in the central registry provides appropriate protection for records based on the format, volume of the records and frequency of use and security requirements. Only records which are required frequently are stored in the registry. Shelves and cabinet drawers hold current records and are clearly labelled to indicate the file number ranges. It was observed that the current status of storage of active paper records at MOFA is overwhelmed by the increasing volume of
information. As a result, there is congestion in the registry which causes inadequate storage area and limited working space. Active paper records are accommodated in shelves, acid free boxes, cabinets as well as floor space, office trays, tables and chairs.

5.2.3 To find out the security threats of active paper records at MOFA central registry
The study identified that security threats to active paper records at MOFA central registry are a result of deliberate action and some are unintentional for example act of human error or employee mistakes, unauthorized access, deliberate acts of information extortion, deliberate acts of sabotage or vandalism, deliberate acts of theft, forces of nature like fire, flood, earthquake, lightning, quality of service deviations from service providers among other several threats that not only endangers the records but also leads to total loss of such information that is very crucial for the organizational operations. Its therefore wise to assert that in order to strengthen the level of protection of all the organizational information records inclusive, those responsible for that information must begin with an understanding of the threats facing the information, and then must examine the vulnerabilities inherent in the systems that store, process, and transmit the information possibly subjected to those threat.

5.2.4 To analyze security of active paper records at MOFA central registry
It was observed that the central registry at MOFA ensured that the entrance to the records office is strictly controlled. Cabinets containing confidential records kept locked. The outer door to the records office is always locked when no member of the records office staff is present and the windows have security grilles/bars. Measures have been taken to prevent and control outbreaks of fire. Smoking in any file storage areas is not allowed. Adequate numbers of fire extinguishers are provided and maintained. Regular fire drills are always held. Eating and drinking in the records office should is not allowed because spilt drinks and food cause serious damage to records. In addition, the central registry had good quality door hinges with fixed-pin hinges that cannot be easily removed therefore thieves cannot just bypass the locking system and remove the entire door by the hinges. The registry has a key security system that ensures that only authorized persons have access to keys. The registry also serves the records users from the counter to deny unauthorized staff have access to the central registry
5.2.5 To find out challenges of storage and security of active paper records at MOFA central registry

The study indicated that the MOFA security registry faces a number of challenges to promote an efficient records service that meets the needs of the organization to bring benefits, such as better planning and decision making, cost-savings, increased efficiency and productivity, improved working environments and greater accountability which included limited storage equipment, duplication, miss filing, dust, biological agents and inadequate funding.

5.2.6 To suggest appropriate measures for storage and security of active paper records at MOFA central registry

In order to overcome such, MOFA should consider several strategies like developing and operationalize a management policy, provision of modern storage and security facilities, training of staff, mainstreaming of funding modalities, automation and computerization of basic registry functions, construction of a standard records office building and regular cleaning of the registry. There is need for adequate metallic shelves, frequent dusting of shelves, cutting down the intensity of light affecting the records, objective filing and shelving of records, on site system administrator, Trained personnel in ICT, closing duplicated files/eradicating and Procuring the right folders with the right coding. Records office staff must be able to determine the location of every file for which they are responsible. Each time a file moves, this fact must be recorded in the records office. File movements are monitored in a number of ways: on file transit sheets that are filed in a file transit book, on transit ladders that appear on file covers, on file movement slips and through regular file censuses.

5.3 Conclusion to the study

In conclusion therefore, it is important that central registry at MOFA ensures that the entrance to the records office is strictly controlled. Cabinets containing confidential records kept locked. The outer door to the records office is always locked when no member of the records office staff is present and the windows have security grilles/ bars. Smoking in any file storage areas is not allowed. Adequate numbers of fire extinguishers are provided and maintained. Eating and drinking in the records office should is not allowed because spilt drinks and food cause serious damage to records.
5.4 RECOMMENDATIONS

**Digitization of records:** Digitization of records to enable faster retrieval of records, easy location of files, fast tracking of records, having e-electronic records management service in place, improved security of records, reduced or no cost of buying especially bulky storage facility such as cabinets, metallic shelves and cupboards, improved management decision making and effective administration.

**Installation of CCTV:** cameras can not only catch criminals in the act, but the very presence of CCTV systems can make a would-be criminal think twice about any wrong-doing. If you suspect one of your employees of wrong-doing but don't know where to begin to try to get to the bottom of things, a camera can be a very helpful tool Be a useful piece of evidence. If a crime is committed in or around your business and the person accused of committing the crime was caught on camera, you've got an extra piece of evidence for a court case. Jurors and judges can watch footage or view photos from your security cameras and establish that the person on trial did indeed commit the crime. Not only will you be preventing the same person from causing you more trouble in the future, you'll be helping out your entire community.

**Adoption of ERMS:** This approach is essential to reduce over reliance on manual systems of records management. The records management software is more efficient, effective, economical and faster than manual systems. The success of such can be achieved by the records management staff writing convincing proposals to the top management explaining the benefits of computerized records management systems.

**Purchasing more storage equipment:** for example, adequate metallic shelves or mobile shelves and enough cabinets. The researcher observed that the central registry had only one cabinet and shelves which cannot accommodate all the records of retirees; teachers, people in the army and traditional staff. Some files were piled on top of drawer cabinets and expose the records to excessive amounts of light which accelerates the aging process of records, fading and drying them. The wooden shelves too are not in good condition yet they most of the central files.

**Increasing funding to the registry:** a prerequisite of all the resources is adequate funding. Appropriate provision must be made in annual estimates for sufficient funds to enable the records management unit to perform its functions properly. Ideally, the unit should have its own budget, but if this is not possible, adequate allowance should be made in the budget of the larger agency. Financial resources, whether from the unit’s own budget or from its share in the budget of the
agency, should be managed prudently and in accordance with established priorities. Value for money should be achieved through a program of expenditure on staff, equipment and materials that will match the requirements for the delivery of an efficient and economical records management program.

**Expansion of the central registry:** The district council should consider expanding or construction of a standard records office building. The current registry is very small compared to the volume of records generated and maintained. MOFA should consider constructing a well aerated, air conditioned, well vanished, ventilated and equip thick curtains to avoid direct sunlight rays from entering the registry especially the storage area. The windows should have blinds and the floor should be carpeted to prevent dump conditions which are bleeding places for insects and rodents which feed on paper.

**Recruiting professional records personnel:** The quality of any records management system is directly related to the quality of the staff who operate it. Records work should be seen as a worthwhile career for those who are well educated, intelligent and industrious. It is not the posting of last resort for those who are unqualified, incompetent or idle. The agency records manager, in collaboration with the head of the records and archives institution, is responsible for ensuring that staff members are adequately trained and that action officers are aware of their particular roles. Appropriate standards, manuals and guidelines should be developed to supplement training and instruction.

**5.5 Area for further research**

Given time and financial resources, the areas below were identified for further study;

1. Management of closed files at MOFA
2. Assessment of retention and disposal of personnel records at MOFA
3. Classification and filing of records in the central registry at MOFA. These should be examined by future researchers.
REFERENCES


Freed, H. &. (2000). *Learner-Centred Assessment on College Campuses: shifting the focus from teaching to learning*.


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Dear respondent,

I am Ambasiise Dilys, a student at Makerere University pursuing a degree in Records and Archives Management. As part of the program, I am conducting a research study on the topic “assessment of storage and security of active paper records at Ministry of Foreign Affairs”. I therefore humbly request you to respond to this interview guide so as to enable the researcher to collect the right information. I look forward to ensuring privacy and confidentiality. The interview guide is divided into sections to help the researcher collect information on major themes. Thank You!

...........................................

AMBASIISE DILYS (Research student)

SECTION A: BACKGROUND INFORMATION

Job title..............................................

Gender

Male  Female

Age range in years (tick the appropriate age range)


Education Status: highest level of education attained

A) Phd      B) Masters’ degree       C) Bachelors’ degree
D) Tertiary education  E) others

(F) If other specify...........................................

Are any of the above qualifications in records management?

A) Yes      B) NO

How long have you worked with the organization?

Less than 2 years  3-4 years  5 years and above

SECTION B: Types of active paper records in the central registry

1. What types of records are kept in the central registry?
2. How are the records created? Do you receive some?
3. Are the records hand written?
4. What registry system do you operate?
5. In what media are the records created and stored?
6. What trends might affect the creation and storage of such records?

SECTION C: Storage systems of active paper records in the central registry
1. How are records files in your organization numbered and arranged?
2. What system is used to store active paper records?
3. What active paper records storage equipment is used?
4. How are active paper records classified to enable easy storage?
5. What filing system is used to enable easy identification of records?
6. How are the records arranged?

SECTION D: Security systems of active paper records in the central registry
1. What criterion is used to decide levels of access to current records?
2. What are the security policies?
3. What security tools are used for active paper records?
4. What are the breaches of security of active paper records?
5. What are the security systems of active paper records used?
6. What security measures are in place?

SECTION E: Challenges and solutions to active paper records storage and security
1. What Challenges are associated with storage and security of active paper records system?
2. What are some of the possible solutions that would help to improve storage and security system of active paper records?

“Thank you for participating in the interview”
APPENDIX B: OBSERVATION GUIDE

The study will involve the use of the following observation guide to obtain information on the topic, “Assessment of storage and security of active records at the Ministry of Foreign Affairs Central Registry”

Observation key phenomenon

1. What types of active paper records are kept at MOFA?
2. Number of registry staff.
3. Active paper records storage system.
4. Storage equipment for active paper records.
5. Status of storage equipment for active paper records.
6. Filing and classification system for active paper records.
7. Numbering and arrangement active paper records.
8. Retrieval and access methods for active paper records.
9. Retrieval and access tools for active paper records.
10. Modern storage equipment for active paper records
11. Registry security mechanisms active paper records.
12. Does the organization have an archive?
13. Policies and guidelines managing the active paper records in centrals registry
APPENDIX C: DOCUMENT ANALYSIS GUIDE

1. What types of equipment are best for storing active paper records?
2. Why should storage containers be clearly labeled?
3. How should confidential or security classified active paper records be stored?
4. How should active paper records be kept to facilitate retrieval?
5. Why may active paper records have to be copied?
6. Why should files be arranged within series?
7. Explain the concept of classification.
8. What is the difference between classification and indexing?