

ANALYSIS OF FILING SYSTEMS OF ARCHIVAL RECORDS IN
REPOSITORIES, A CASE STUDY OF THE ARCHIVES REPOSITORY
NATIONAL RECORDS CENTRE AND ARCHIVE (NRCA)

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DECLARATION

I **Ajok Stella** do hereby declare that this is my original work and it has never been submitted to any higher institute of learning for any Academic award.

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APPROVAL

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

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DEDICATION

I dedicate this work to my parents for their parenting, guidance and financial support throughout my studies. They have been my best friends, mentors, my heroes and above all, a shoulder to lean on. May God bless and reward you abundantly.

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Table of Contents

DECLARATION	i
APPROVAL	ii
DEDICATION	iii
ACKNOWLEDGEMENT	iv
LIST OF TABLES	viii
LIST OF FIGURES	ix
ABSTRACT	x
CHAPTER ONE	1
1.0 Introduction	1
1.1. Background of the Study	1
1.2. Problem Statement	2
1.3. Aim of the study	3
1.4. Objectives of the study	3
1.5. Research questions	3
1.6. Scope of the study	3
1.6.1. Geographical Scope	3
1.6.2. Time scope	3
1.6.3. Contextual scope	3
1.7. Significance of the study	4
1.8. Definition terms	4
CHAPTER TWO	6
LITERATURE REVIEW	6
2.0 Introduction	6
2.1. Filing system at the archives repository	6
2.3. Challenges of filing systems in Archives repositories	8
2.3.1 Lost documents	9

2.4. Measures to improve the effectiveness of the filing system of Archives Repositories.	11
2.5. Research gap	13
CHAPTER THREE	14
METHODOLOGY	14
3.0 Introduction	14
3.1. Research design.....	14
3.2. Population of the study.....	14
3.3. Sampling technique	15
3.4. Sample size.....	15
3.5. Data collection methods	15
3.5.1. Interview method.....	15
3.5.2. Observation method.....	16
3.6. Data collection Instruments.....	16
3.6.1. Interview guide	16
3.6.2 Observation guide	16
3.7. Data presentation and analysis	17
3.7.1. Data Analysis.....	17
3.7.2. Data Presentation.....	17
3.8. Data quality control.....	17
3.8.1. Validity.....	18
3.8.2. Reliability.....	18
3.9. Research Procedures	18
3.10. Ethical considerations.....	18
3.11. Limitations to the study	19
CHAPTER FOUR.....	20
DATA PRESENTATION, DISCUSSION AND ANALYSIS.....	20
4.0 Introduction	20

4.1. Bio-data of respondents.....	20
4.2. Current record filing system at the National Records centre and Archive, Archives Repository	22
4.3. Challenges of filing systems at the Archives Repository.....	24
4.4 Measures to improve records filing system.....	25
CHAPTER FIVE	28
SUMMARY, CONCLUSIONS AND RECOMMENDATIONS.....	28
5.0 Introduction	28
5.1. Summary of findings.....	28
5.2. Conclusion.....	28
5.3. Recommendations	29
5.3.1. Purchase more computers.....	29
5.3.2. Understanding the environment.....	29
5.3.3. Development of standards and policies	29
5.3.4. Provision of Servers.....	29
5.3.5. Provision of adequate funds by Government	30
5.3.6. Build monitoring and evaluation from the start.....	30
REFERENCES	31
APPENDICES	35
APPENDIX I: INTERVIEW GUIDE FOR RESPONDENTS	35
APPENDIX II: OBSERVATION GUIDE FOR THE RESEARCHER	36

LIST OF TABLES

Table 1: Showing majority' of the respondent's Educational level and their percentages	20
Table 2: Showing the majority of the respondent's experiences	21

LIST OF FIGURES

Figure 1: Below is a pie chart showing Educational levels	20
Figure 2: Below is a bar graph showing the working experience of the respondents	21

ABSTRACT

This study titled ‘‘Analysis of Filing systems of archival records in repositories. A case study of the Archives Repository, National Records Centre and Archive (NRCA)’’was carried out from the National Records Centre and Archive. The aim of the study was to analyze filing systems at the Archive Repositories of the National Records Centre and Archive. This study was guided by three (03) research objectives; to analyze the current kinds of Filing systems at the Archives repository of the National Records Centre and Archive, to identify the challenges of Filing systems at the Archives repository of the National Records Centre and Archive, to propose possible measures to improve the Filing systems at the Archives repository of the National Records Centre and Archive. A cross sectional case study research design was used to obtain information from 12 selected respondents who included records officers as well as users of records in repositories. The study employed qualitative research methodologies during data collection, analysis and presentation. The study found out the records filing systems in the National Archives are stored both in paper and electronic format, while very little appears in digital/electronic format. This implied that much of the records are filed in paper format, with limited levels of automation and computerization, highlighting the underlying challenge of slow retrieval and access to the filed records as well as rampant cases of missing records. The study concluded the current filing system is a bit effective. With the current filing system, access and retrieval of records is done either manually or electronically depending on the form it is stored in. Information retrieval selects documents from a collection according to the presence or absence of keywords assigned by an indexer. The study recommended that more computers should be purchased and installed to facilitate the automation and computerization of student keeping and management; the computers should also be updated with modern and relevant programmes for financial records and Information management. The records management staff should also be trained further in the area of modern computer usage to enable faster and efficient filing, retrieval and access in the National Records Centre and Archive.

CHAPTER ONE

1.0 Introduction

This study attempts to analyze the filing systems as used in the National Records Centre and Archive. This chapter will present the background of the study, statement of the problem, purpose of the study, specific objectives, and research questions, scope of the study and significance of the study.

1.1. Background of the Study

Organizations have struggled world over to have effective filing systems for the proper management of their records. Edwards, (2016) states that the availability of the right tools, equipment and human resources that could help organizations to effectively have proper filing systems are the challenges mainly related to filing, while the more industrialized countries such as United States of America, Canada, Australia and Britain had organization with effective filing systems, the less endowed countries such as most Africans lack effective filing systems. The reason is the effective filing system requires availability of relevant equipment, computerized systems and competent human resources knowledgeable and with a good attitude in modern records Management, unlike their counterpart's organizations in the more industrialized countries. However, even with these challenges notwithstanding, many organizations world over have acknowledged the importance of having proper filing systems especially for confidential records and indeed many have adopted strategies for improvement of the same Edwards,(2016).

A filing system is a structure set of personal data that are accessible according to certain criteria Chiappe, (2012).A record is a document that memorizes and provides objective of activities performed, events occurred, result achieved or statement made, Records are created or received by the organization in routine transaction of its business or in pursuance of its legal obligations. All documented information regardless of its characteristics, media, physical form and the manner it is recorded or stored records include accounts, Agreements, books, drawings, letters, memos and micrographics.

File management is a step towards establishing a framework by which an organization may implement a records management program. Upon the filing of a document, a file number and file-type code are assigned, a filing fee is collected (when required), and a file is opened

Keane,(201 1) notes that files are also considered to be records generated specifically from administrative processes such as records from the work of offices, the police and public officers, the need for files keeping and information sharing has taken and added insignificance in today's legal global environment. Keane,(2011) notes that as far as more radical approach is required to tackle the problems of delay in service delivery process, whereby introduction of controlled file management techniques should be designed.

In Uganda. many organization have also adopted modern records filing system but there seems to be a divide between public agencies and private organizations, with most Government entities still fairing badly in this endeavour Wangutusi,(2004).However the records and Archives Management Act of Uganda recognizes and mandates all Government agencies to have proper filing systems for administrative process, easy access, for legal action as well as for posterity reasons, although not all agencies in Government have such proper filing systems especially for confidential records.

Background of the National Records Centre and Archive (NRCA)

The National Records Centre and Archive is a government building completed in 2010 that houses the headquarters of the Uganda National Archives centre, it is administered by Ministry of Public Service, Archives were formerly kept at the present day National Agricultural research organization (NARO) secretariat in Entebbe, the building is however along lourdel road Wandegaya, Kampala and is under the Ministry of Public Service.

The National Records Centre and Archive is geared towards facilitating an efficient and effective Public Service through taking care of enabling policies, systems and structures. This focuses on performance for national development and improved quality of life in Uganda.

1.2. Problem Statement

It can be noted that proper care, handling, and maintenance should be considered in the management and Filing of files. Mukembo (2004), states that management of Filing systems is still in a pathetic state leading to delays in administering services. Mukembo (2004) further states that management of Filing systems is faced by poor remuneration of employees, file misplacement among others. Tumusiime (2003) adds that every once in a while work was brought to a standstill because a file is lost or missing. It can therefore be noted that files are misplaced or stolen and the disappearance in more dramatic in the repository. This situation however leads to the delay in administering security services since there is no provision of

files that would provide evidence. As a result, services are either delayed or denied violating the rights of people. It is on this basis the study is conducted to analyze Filing systems and propose strategies for improvement.

1.3. Aim of the study

The aim of the study is to analyze the Filing systems of the Archives repository, National Records Centre and Archive.

1.4. Objectives of the study

- To analyze the current kinds of Filing systems at the Archives repository of the National Records Centre and Archive.
- To identify the challenges of Filing systems at the Archives repository of the National Records Centre and Archive.
- To propose possible measures to improve the Filing systems at the Archives repository of the National Records Centre and Archive.

1.5. Research questions

- What are the current kinds of Filing systems used at the Archives repository of the National Records Centre and Archive?
- What are the challenges of the Filing system at the Archives repository of the National Records Centre and Archive?
- What are the possible measures to improve the Filing system at the Archives repository of the National Records Centre and Archive?

1.6. Scope of the study

The scope of the study is based on geographical, time and contextual scope.

1.6.1. Geographical Scope

The study is carried out in the Archives repository, National Records and Archives Centre located along Nakasero road, Kampala.

1.6.2. Time scope

The studies are focused on the period of February to 6th March.

1.6.3. Contextual scope

This content basically focuses on the analysis of filing system in the archives repository of the National Records Centre and Archive, effectiveness, challenges and measures to improve the effectiveness of the current filing systems at the archives repository

1.7. Significance of the study

The records officer can use the research to identify the most efficient and effective filing systems to be used in the National Records Centre and Archive.

The academicians and other researchers can base on that to learn and expand it where they will be provided with an informed view of records security and authenticity.

The National Records Centre and Archive can use the research to improve on the security methods so as to advance performance.

The records officers can still base on the study to identify the best filing methods to use in the registry to avoid theft and mishandling of the records.

1.8. Definition terms

Filing system

A filing system is a method for organizing and storing information according to Ishikawa (2012) Using a digital filing system reduces the office space needed to store papers.

Filing

Act of adding documents to files. Sennabulya, (2013), filling is also described as the process of arranging and storing records, so that they can be located when required for use Arora (1980)

System

A system is defined to be a collection of entities for example people or machines that act and interact together towards the accomplishment of some logical end. According to the Webster's international Dictionary, "A system is an aggregation or resembling of objects united by some form of regular interaction/interdependence.

J lie Ministry of Public Service procedure Manual defines a file as a collection of information stored together in a computer under a particular name, it further defines a file as a box/folded piece of card for keeping loose papers together and in a computer.

Archives

These according to the Retention and Disposal Schedule are records of enduring value selected for permanent preservation.

Archives repository

This according to the Retention and Disposal Schedule is a building in which Archives are preserved and made available for consultation.

Records centre

Means a building or part of a building designated for the storage and provision of official access to semi-current records pending their eventual disposal, this is according to the records retention and disposal schedule.

CHAPTER TWO

LITERATURE REVIEW

2.0 Introduction

This chapter presents the existing literal works of other scholars in the field of records management emphasizing the related studies of analysis of the filing system in Archives repositories, this chapter is arranged according to the types of files in the National Records Centre and Archive, the types of filing systems, challenges faced while using this filing system and possible solutions to the problems affecting the filing system.

2.1. Filing system at the archives repository

Information filing systems defines filing system as a network with a built-in user interface that facilitates the creation, searching and modification of stored data. It also defines information filing as an activity of previously allocating and discovering of stored information and that this term is sometimes used to mean record filing.

(Ishikawa, 2012) describes the current information filing as a systematic process of collecting and cataloguing data so that they can be located and displayed on request. Computers and data processing techniques have made possible the high speed, selective filing of large amounts of information for government, commercial, and academic purposes. There are several basic types of information-storage-and -filing systems; Document-filing systems store entire documents, which are usually retrieved by title or by keywords associated with the document. In some systems, the text documents are stored as data. This permits full text searching, enabling filing on the basis of any words in the document. In others, a digital image of the document is stored, usually on a write-once optical disc. Data bases store the information as a series of discrete records that are, in turn divided into discrete fields for example Name, address and phone number, records can be searched and retrieved on the basis of the content of the fields for example all people who have a particular telephone area code.

Namakula (2005) states that documents are filed according to the first letter of the sender or subject matter. If a number of files are kept then a file is given a file title and then the files are arranged alphabetically in the filing document. It is a friendlier method and an index is not necessary. It is simple and easy to understand or even retrieve records, Sterling (2008) explains that filing systems include;

Alphabetic filing system

In alphabetic filing system, Sterling (2008) states that records are always organized alphabetically according to the name of the person or organization, important outgoing correspondences are kept and often arranged in file folders. Some businesses may keep a letter book which is a notebook containing significant correspondences arranged in chronological order, that is, order by date. Setting up a basic alphabetic system requires some type of file cabinet, file folders and labels. Labels can be printed from a computer database or word processing system, if drawers are used, each drawer should be attached to the folder tabs so that they align when folders are placed in a file.

Subject filing system

Sterling (2008) states that this system is often convenient to organize records according to topic or subject. For example, some records refer to projects, products, processes and other Matters without containing the name of the person or organization. Such records are candidates for subject files. For example you might want to keep all recruitment records in a folder rather than filing them under the names of specific project names. The general filing systems available include;

Geographical filing system

Sterling (2008) says organizations file records according to geographical filing system, for example a project conducted within a definite geographical location might organize certain records geographically by geographic location where the project is conducted.

Numeric filing system

According to Sterling (2008), most organizational records are filed by numbers. Numeric filing systems are more expensive than alphabetic systems because new numbers can easily be added at the end of the file.

Chronological filing system

Documents to be on or at a later date are often filed temporarily in a chronological file, where they are arranged in order according to the date they are to be acted on. For example, if a meeting must be attended in afternoon of July 10, a notation of the meeting and perhaps a

copy of the agenda are filed under July 20. The user checks the file each day to see if something has been filed under day's date. This is according to Stering (2008)

Computerized filing system

A computer based records filing system comprises information filler for assuring that record data units offered to the system for filing are complete and not redundant. Record data units accepted for system entry are acknowledged and preferably tagged to enable tracking and forwarding for unit verification and certification. Verification and certification includes examination of units for compliance with present criteria. The unit is stored in permanent storage along with a disposal schedule determined for that unit. Consequently, the present system provides for record data unit tracking and audit trails in the event of any requirement for regulatory or legal compliance which makes the work of filing easier.

On the same argument, Stering (2008) 'noted that an electronic filing system is the combination of computer hardware and software that allows information to be stored in a logical and useable way. Each computer storage system is organized using the operating system in a file manner. The electronic filing system maintains a list of all files and their location. By understanding how these systems work, you can manage all computers' information logically. As a contribution to organizing electronic filing Texas Application Specialist (2008) stated that because computers today can store millions of different files, logical organization is essential. Once a logical structure for storing files has been established, all members of an organization will be able to save documents effectively; they added that the most important rule to remember in organizing electronic files in that the same methods that work with paper also apply to computers. In other words, create folders (directories) that mirror a logical or organizational perspective, for example, if your organization is global and files paper records using a geographical filing system, then the computer folders should mirror the paper filing system.

2.3. Challenges of filing systems in Archives repositories

Transition of electronic records according to Chiappe, (2012) is a challenge to file management system. Though much attention has been given of late to the vast challenges posed by electronic records it's important to remember that the transition from paper based to electronic records keeping that begun decades ago may take decades more to complete. So in many cases records management system is still largely paper based, and plenty of corporations have vast stores of paper. They also have other assets in microfilm and

microfiche. While some of that paper is grandfathered into paper legacy system and will never be converted into an electronic system.

Raper and Laura, (1999) identified the following as the challenges facing file management, large quantity of records, because records are basic to legal system, large volumes of records tend to accumulate within the file management system after a relatively short period. This adds on the responsibilities of the people managing the case records hence making them work a lot and their work is always difficult and tiresome.

Pressure of work: Practitioners in public sector legal institutions are generally well aware of the value of their records, however, they tend to work under constant pressure and often feel they can do little concrete to care for their records. The courts usually have a back log of cases waiting to be heard. The prosecutors will be dealing with an on-going case load of crimes. Each of these activities will result in records and these records need to be cared for properly Raper and Laura (1999).

Macke, (2016) explains challenges as follows;

2.3.1 Lost documents: The expenses of keeping paper files might be acceptable if companies could find each document when it is needed. In reality, paper documents go missing regularly and in some cases, they are lost forever, some companies regularly outsource their filing to an offsite file management company. When the requested file is not found at an offsite facility, some companies expend tremendous resources retrieving boxes of archived documents, some documents are never found, requiring the company to recreate the information or abandon their efforts completely and accept any consequences Macke, (2016)

2.3.1 Cost: Retaining paper files in an expensive proposition; this includes the salaries given to the filing clerks and the real estate expenses associated with the file storage which are always high for example an average spends a lot of money on labour to file each paper document and in recreating a document.

2.3.3. Security: The file management system involves policing access, maintaining access logs assigning authority levels only adds to the cost of storing the documents, once a document is signed out, there is little the organization can do to ensure the file remains confidential and is not shared on purpose or accidentally with anyone else in the company or outside of it Macke, (2016)

Mountain, (2016) explains more of the challenges facing file management systems as follows

2.3.4. Unauthorized access: This is a big challenge to all the organizations managing records both electronic and paper based records, this is mainly caused by employees snooping around about all the records especially the sensitive and confidential records. This can however be avoided by providing easy and quickly authorized access to only important records/files that are to only authorized people.

2.3.5. Level of risks according to PaLi, (2009) is considered a challenge affecting file management system. In developing the records disaster recovery, records plan, records centre's should assess the varying intensity of each risk to which their records maybe subject risks may range from minor flooding affecting perhaps only one or two offices in a facility to a major fire that may cause significant damage to the entire facility and its contents, generally, water, fire, smoke damage should receive particular attention as they are likely agents that will damage files stored in an agency facility.

2.3.6. Waters, (2015) identified records storage space as another challenge to records management system. Depending on the type of business for which one keeps records, one may find themselves running out of storage space for all the records due to the fact that records are created and received daily, these fill up the space of the incoming records which brings about inefficiency and ineffectiveness in any agency. The Agency must therefore keep only records it refers to regularly and find another storage area for the records it does not use frequency.

2.3.7. waters,(2015) added that transition of electronic records; though much has been given of late to the vast challenges posed by electronic records, it's important to remember that the transition from paper based to electronic records keeping that began decades ago may take decades more to complete, so in many cases, records are still largely paper-based and plenty of corporation have vast stores of paper, microfilm and microfiche, these paper records may never even be converted into an electronic system.

Forget, (2015) says the growing wilderness of records. Records are created and generated everyday by people who work and collaborate in new ways. The vast amounts of unstructured data require a fresh look at capture and retention increasing on the responsibilities of records managers which may even be tiresome.

2.3.8. Siamoo,(2009)explained that due to strong growth in volume of records, organizational filing systems become difficult resulting into loss of records, misfiling and deterioration of records. Kelvin,(2007) affirmed that another problem is the use of computers that are sophisticated and their use causes many management problems not like those encountered in a non-computerized records environment, electronic files can be poorly identified, mislabelled, lost or otherwise difficult to retrieve, he further asserted that electronic records are vulnerable to risk of disasters often greater than non-electronic records and therefore require special protection which if over looked may cause disastrous consequences to the organization.

2.4. Measures to improve the effectiveness of the filing system of Archives Repositories.

According to the World Bank (2007), Filing systems require trained staff, adequate and continuous funding, appropriate environmental conditions and physical security, appropriate; management structures and Government legislation and regulation are needed.

Since there several challenges facing the proper and efficient filing of records, there is need for best practices to improve records management in all organizations. The first is to maintain them in a way that would enable the retrieval of all documents that are relevant to the ; transaction when they are needed, An organization should formulate and promulgate its records management policy, e.g. in the form of records management policy statement setting out what the organization intends to do in respect of records management requirements, guidelines, procedures and best practices for compliance and reference by its staff; review and improve records management policy, records keeping systems, practices, guidelines and procedures whenever appropriate Moreq,(2010).

Before examining the requirements of each records management process, an organization should first determine documents to be captured as records into a record keeping system and how long they should be maintained. An organization should determine which documents created or received during business processes should be captured as records into the records keeping system, and how long they should be maintained within the system, based on the analysis of the legal regulatory environment, business and accountability requirements and the risks of not capturing or retaining the records. This will ensure adequate and necessary records are captured to meet business needs. This is important for the proper disposal of

records facilitates easy retrieval of records in active use, and minimizes costs for maintaining and storing records IRMT, (2009).

An organization should establish records retention and disposal schedules for its records to ensure systematic planning and orderly implementation of records disposal after records have been kept the right length of time, an organization should also review approved records retention and disposal schedules regularly, say at least once every five years, to see whether amendments are required in light of changing circumstances. Records retention and disposal schedules are established and reviewed having regard to the value of the records, as follows;

Standards and procedures for records management, despite the consequences of the physical format or location, records need to be managed through established and documented standards and procedures that are applied consistently. For instance, the records Management standard British Standard, International Standard Organization (ISO) 15489 which is set in the United Kingdom provides a standard for records management policies and procedures. The purpose of the standard is to ensure that appropriate attention and protection applies to all records, and that the evidence information that they contain can be retrieved effectively and efficiently using standard practices and procedures. Standards make records management possible in organizations by clarifying the purpose and value of the records IRMT, (2009)

The second is ensure records are not retained for a longer period than necessary in order to avoid overloading systems and indiscriminate dumping. A problem that is unique to electronic records is that they lack familiar physical and visual cues about their origins or authenticity, such as official letter heads or written signatures. Special measures must be taken to ensure that electronic records are reliable and authentic Bexly, (2006)

With the introduction of different technologies, records keeping moved from manual to electronic format. Different records are now preserved in a range of technological systems, e.g. email, databases, etc, and archived for later access, however, it is important to note that while technology has significantly increased ease of access to records, it also allows the authentication and authorization of access to records by people who are not authorized to have access to particular documents. In order to preserve records effectively, everyone involved with records management or preservation must share the responsibility for their physical security and protection Van Albada, (2003).

According to Ogoola, (2006), by applying proper management principles in the file management systems in the disposal of files, delay in disposal of files can be overcome. This calls for discipline and commitment in the part of judicial officers managing the court and the support staff, it is therefore imperative that we fundamentally change the way courts are managed in order to improve services to the public and ensure effective and speedy justice.

Ogoola,(2006)added that greater investment in archival equipment and personnel as well as the creation of professional and technical accreditation for the newly trained archivists, efforts by the court to come up with efficient solutions for electronic treatment of documents, document management and implementation of policies for the protection and preservation of documentary heritage.

He further asserts for proper file management systems to be successful; the organization needs to find avenues of providing registries with funds to obtain the materials and equipment sufficient for the job. And a qualified work force, which is the most component needed in a system. Efforts should also be put into motivation to the records officers through incentives such as study scholarships. For records management systems to be successful, the organization needs to find avenues of providing registries with funds to obtain material and equipment sufficient for it to operate efforts should be put into motivating the workers.

Making strong policies, strong policies are key to protecting access to library materials, including comics. The American Library Association has developed a number of excellent: tools to assist school and Public Libraries in the essential preparation to perform before books are challenged Ogoola, (2006),

2.5. Research gap

From the above literature review, it is evident that there is abundance of information by different scholars in relation to the various records management practices, however, it is observed that there is no study undertaken particularly in the file management system. This therefore prompts the researcher to focus the study on the analysis of the filing system in repositories, A case study on the archives repository, National Records Centre and Archive.

CHAPTER THREE

METHODOLOGY

3.0 Introduction

This chapter presents the research design, area of study, population, sampling, data collection methods and instruments, data analysis, ethical considerations and anticipated limitations to the study.

3.1. Research design

Creswell (2004) defines research design as a method by which data is to be collected; the study adopted a research design with a mixed research approach whereby qualitative research techniques are used to analyze the filing system in the Archives repository, National Records Centre and Archive.

Trochim and Neumann (2000) explain that in qualitative research, data is not described using statistics, but by using words, sound, images/visuals or objects. He further defines a qualitative study as an investigation that is intended to understand a social or human problem.

The study is conducted using a qualitative research paradigm. Easter by-Smith et al., (1991) notes that qualitative researchers use words and meanings from studies as opposed to the use of numbers and quantifiable units to draw meanings, which is the focus of quantitative research. Case study research method was used in this study. According to Yin (1984) case study is defined as an empirical inquiry that investigates a contemporary phenomenon within its real life context. Yin (2002) mentions that case studies are used to illustrate problems and provide opportunities to gain understanding in complex situations. The author mentions that a case study is known as triangulated research strategy. Yin (2003) mentions that the need for triangulation arises from the ethical need to confirm the validity of the presentation in case studies. Using multiple sources of data collection methods could do this. For this study, a questionnaire and observation guide was used to collect information from the respondents.

3.2. Population of the study

Orondho and kombo (2002) define population as a larger group from which a sample is taken or population refers to a group of individuals, objects or items from which samples are taken for measurements. Enon (1998) notes that it is critical to distinguish between the populations for which the results are required. For the purpose of this study, the population included the

Records centre and Archives Staff such as the Top Administration, Records Officers, Records Assistants and Archivists. These were selected because of their roles in the Records centre and Archives Repository. A minimum of ten participants is involved in the study in order to gain detailed accounts of the responses and allow for large amounts of information to be collected.

3.3. Sampling technique

Creswell (2003) defines sampling technique as a method and technique of collecting samples while selecting the respondents and their sample size. The main sampling strategy that is applied to the research is the simple random sampling method, Creswell (2003) also states that the simple random sampling technique is where every is blindly selected based on mere chance and is applied in the selection of users of records in order to avoid selection bias and to make sure that all members in this category have equal chances of inclusion.

3.4. Sample size

Kothari (2004) defines sample size as a number of items to be selected from the universe to ' constitute a sample.

Creswell (2003) defines Sample size as the number of individual pieces of data collected in a survey. This covers the actual number of people to take part in the study Creswell (2003).The sample size involved 2 members of the top administration^ records officers,3 records Assistants, 3 Archivists. This brought a total of 12 respondents as the sample size. It is expected that the sample is adequate to provide detailed information about the subject under investigation.

3.5. Data collection methods

lliis study will be carried out using the following methods of data collection namely questionnaire, interview and observation.

3.5.1. Interview method

Nigel (2005) in Katebire, (2007) defines an interview method as a direct face to face attempt to obtain reliable and valid measures in the form of verbal responses from one or more respondents. The researcher will use the personal interviews because it was a flexible method in that; it allows the researcher to explain questions to respondents when they failed to understand them.

This method will involve conducting a face to face interaction with respondents. In the process an in-depth understanding of the required information was obtained from the respondents since the researcher was noting down information that is relevant to his study during the interview.

The researcher interviewed 8 people and these included records officers, records assistants, top administration and the clients. This method was the easiest as it saved a lot of time for the researcher and the respondents.

3.5.2. 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 the study phenomenon (Katebire, 2007). This method provides the advantage of eliminating bias that may not be presented by the respondents particularly through other methods such as questionnaires and interviews. The researcher observes the following; kinds of records filing systems used in the repository, the filing Shelves used. Observation was a good technique especially for activities that could not be measured; for example the time the records staff spends retrieving a file.

3.6. Data collection Instruments

These are the tools which the researcher uses to obtain data. Below are the tools that are to be used in gathering information from different respondents.

3.6.1. Interview guide

Finch (2007) defines an interview guide as an alternative method of collecting survey data rather than asking respondents to fill out survey, interviewer asks questions orally and records respondent answers on the question of study, it points out an initial framework for the researcher's thought on the subject of study the researcher generated a number of simple Questions based on the research objectives to serve as pertinent guide during data collection. (See Appendix I)

3.6.2 Observation guide

Observation guide is defined as a list of aspects or subjects that the researcher is keen to study in the field. Observation guide is where different topics were constructed to help a researcher observe different activities of filing systems. The observation guide helps the researcher to observe the filing systems used state of file folders, storage of files and retrieval rate.(See Appendix II)

3.7. Data presentation and analysis

3.7.1. Data Analysis

According to De Vos (1998), data analysis means the categorizing, ordering and summarizing of data to obtain answers from research questions.

Basically data analysis entails breaking down of data into constituent parts to obtain answers to research questions. Babbie (2008) point out that the purpose of analysis is to reduce data to an intelligible and interpretable form so that the relations of research problems can be studied and tested for a conclusion to be drawn. In this study, the researcher conducted qualitative analysis of data attained from the data collection process. This involves refining data during kind after collection to sort out mistakes, coding the data by building themes and sub themes, systematic description of the contents of the data in a reduced form. Finally explanations of meanings, interpretation in relation to research objectives, discussions, and conclusions from the emerging information, were drawn and presented thematically as per the propositions of this study.

3.7.2. Data Presentation

Chambers (2003) defines data presentation as the arrangement of ideas in logical order of relevance or importance using headings, subheadings and side bars to strengthen the organization of the article. The data presented should satisfy any confidentiality requirements as imposed by the surveys whose data are being analyzed.

Qualitative data was presented through paraphrasing of the responses from interviews with respondents, direct quotation of the responses and narrative description of findings such as those obtained through documentary review.

3.8. Data quality control

Sea Data Net (2013) refers to data quality control as a system of checks to assess and maintain the quality of the inventory being compiled. It further identifies the following as the importance of data quality control, detecting missing mandatory information, detecting errors made during the transfer or reformatting and detecting duplicates.

Epsteil (1997) states that the quality of research reports depends to a large degree on the quality of the data used to compile the said report, Epsteil (1997) further states that such quality is ensured by elements of the data three that is accuracy, reliability and validity of the

data. To ensure data quality control and internal validity of this study, I conducted a descriptive study to protect the data collection instruments used in the study.

3.8.1. Validity

Validity refers to appropriateness of the instrument-the ability of the instrument to measure what it was intended to measure (Amin, 2005).the validity of the instrument is established using both the construct and content validity tests. Construct validity is established through the help of supervisors who vetted the research tools and commendable corrections were made. Content validity is established through carrying out pre-testing measures. This further establishes the validity measurement analysis which is produced by the content validity index (CVI) computation formulae as suggested below.

$$CVI = \frac{\text{Agreed items by all Judges as suitable}}{\text{Total numbers of items being judged}}$$

For the instrument to be acceptable as valid, the average index should be 0.7 or above.

3.8.2. Reliability

This refers to the ability of the instrument to obtain similar results at different times, the consistence of an instrument to measure what it is intended to measure (Amin, 2005).In order to establish the reliability of the instrument, the researcher conducted a pilot study. Using the results of the pilot study, the reliability of the instruments were computed using the t Cronbach's Alpha Co-efficient(a using statistical package for social Scientists programme of computer).each instrument shall be greater than 0.7, for the instrument to be regarded as reliable) Amin).

3.9. Research Procedures

Qualitative data will be collected, 10 respondents from the target population during April using the interview and questionnaire techniques. The data will be collected by the researcher because it will provide room for interpretation in case of misunderstanding, it also encourages participation in the activities they went though. (See Appendix III)

3.10. Ethical considerations

These are the standard guidelines that are followed during the research process

In order to abide by the general best practices that guide empirical studies at Makerere University, the following process was adhered to ensure that this study was ethical done.

Ethical clearance for this study was obtained from the faculty research committee, under the East African School of Library and Information Science Makerere University.

During the process of research, the researcher made respondents understand that participation is voluntary and the participants are free to refuse to answer any questions they are not comfortable to answer.

I got consent from the respondents before meeting them. The information is through observation and interview.

I assured participants about the confidentiality and that the information given to the researcher will be used for purposes of his study.

. Accuracy and honesty during the research process is very important for academic research to proceed.

3.11. Limitations to the study

The study anticipates encountering the following challenges during the field research process;

Some members are not willing to share certain information they deem to be embarrassing to the organization.

The respondents are not willing to sharing any kind of information regarding to land for certain reasons for example conflicts or culture.

The small sample affected the generalization of the findings because the study carried out in a small area and on only a few selected respondents which may limit the generalization of the findings. However, by ensuring validity and reliability of the research instruments, I ensured that the findings are not only valid but also reliable. Besides, primary data findings were augmentation with findings from secondary data sources such as documentary review and practical observation results. These crosschecked and compared with primary data findings to ensure conformity, uniformity, clarity and reliability.

CHAPTER FOUR

DATA PRESENTATION, DISCUSSION AND ANALYSIS

4.0 Introduction

This chapter presents, interprets and analyses the data obtained from the field based on the research questions.

4.1. Bio-data of respondents

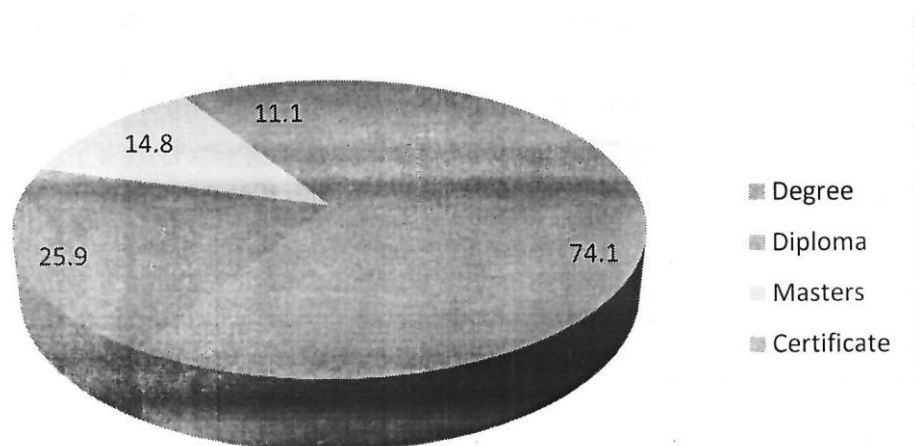
Educational level

The data from the field results were collected and analyzed using frequencies and percentage as shown in the table below.

Table 1: Showing majority' of the respondent's Educational level and their percentages

Education level	No of respondents	Percentage (%)
Degree Holders	20	(74.1%)
Diploma Holders	7	(25.9%)
Masters Holders	4	(14.8%)
Certificate Holders	3	(11.1%)

Figure 1: Below is a pie chart showing Educational levels



Source: Primary data

It clearly showed the two groups of respondents were highly skilled from different universities where they graduated from on how to go about filing records. The level of education was very essential in the study as it revealed that all respondents had exclusive knowledge on their records management.

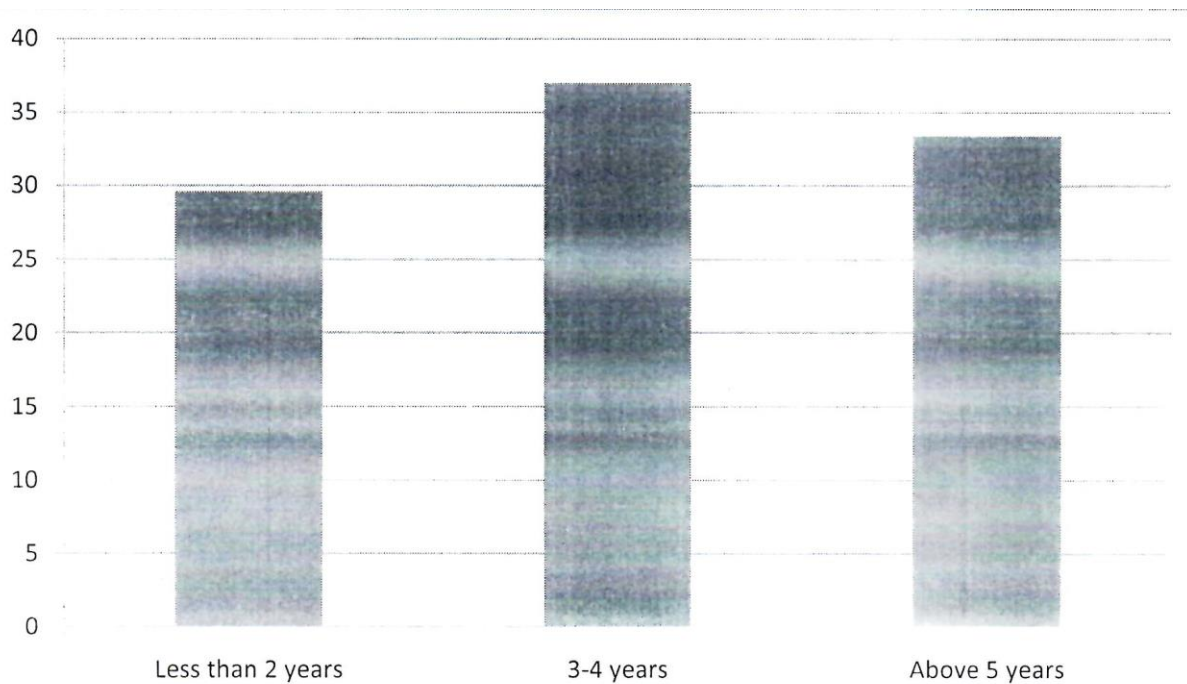
Working Experience

The data from the field results were collected and analyzed using frequencies and percentage as shown in the table below.

Table 2: Showing the majority of the respondent’s experiences

Experience	No of respondents	Percentage (%)
3-4 years	10	(37%)
Above 5 years	9	(33.4%)
Below 2 years	8	(29.6%)

Figure 2: Below is a bar graph showing the working experience of the respondents



Source: Field data, 2018

With the data collected, it clearly showed that all respondents had relevant experience in record filing as a professional work so as to provide relevant and professional information.

4.2. Current record filing system at the National Records centre and Archive, Archives Repository

The study discovered that currently, records are filed and accessed using mainly manual approaches. This indicated that there is very much limited use of other equipment, since all record and information filing methods are manual, the available filing equipments are the paper filing cabinets, acid free boxes and safe lockers which are used to keep confidential records such as top secret files, civil cases and theses are accessed by only top management staff of the National Records Centre and Archive.

The researcher asked respondents how the current records filing systems affect records filing systems affect records management and service delivery in National Records Centre and Archive, it was noted that majority said that positively, others said negatively while a few were not sure.

They further explained that the available records filing systems affect records management and service delivery in the National Records Centre and Archive positively. This was because the National Archive has quite a number of equipment and facilities to store, access and retrieve records such as computers, metallic safes, storage cabins, paper folders and files, as well as an indexing system, though there are still some challenges of adequacy and skill of use among records staff.

The respondents clarified that;

"We use both computers and paper file records to manage Records ...when a file is missing in the computer system, we refer back to the paper records which we always keep ...however, and paper records are time wasting to search ...and yet, the computers are sometimes not enough...."

The available record keeping filing equipment are the paper filing cabinets and shelves, acid free boxes and safe lockers which are used to keep confidential records and these are accessed by authorized people only.

The study found out that all respondents stated that there are no records disposed of because nil records are kept forever, to be used for future reference purposes. On the procedure followed in the revolution selection procedure, the findings show that the procedure involves asking records officers on the way forward; it also involves conducting a survey. This implied that there is a general lack of adequate automation because the procedure involves

asking the records officers instead of using an automated system to identify the appropriate 'revolution selection procedure.

When the respondents were asked whether they had a records retention schedule that is a time table showing how long term records should be kept, majority of the responses showed that they had a record retention schedule, a few said that they had none. Going by the majority responses, it implied that there is a records retention procedure, hence implying good records retention and disposal procedures, respondents also explained that they have to keep all records all the time for future references and use.

However, during interviews, it was revealed that;

"It is common to find cases of duplication of records, that is, creating several files for a single user and this wastes our time because a user has more than one file, each of which may be different of similar information (Records Officer). "

This implies that there is even a more dire need for automation of records to avoid such rampant cases of 'missing file' or duplication of files; such duplicated files are disposed of to avoid confusion.

The study also found that the cases of missing files are handled successfully. According to responses obtained from the field, one staff was quoted stating that,

"Sometimes it takes a lot of time to identify a closed file and we have to refer back to the reception ...if they have no regular/corresponding records, we suffer that embarrassment."

This further reawakens the need to create an automated system that is more regular, accurate and faster in handling records to avoid such problems through the use of an automated system, on how the records are stored in the National Records Centre and Archive, the finding revealed that filing of records in paper format is a real method used at the National Archive, there is also evidence of piles of records files placed in office corridors and shelves.

The study found out that most used records management equipment are manila. Other methods were filing cabinets, followed by metallic and wooden safes.

The records filing cabinets which are mostly used include metallic cabinets used to store paper records, similarly, Acid free boxes were also mentioned as a storage supply, where files are kept in the different departments. These boxes are used on a greater scale because they

are as durable as the metallic shelves. What was interesting to note was the fact that the National Records Centre and Archive was good at managing records using computers, as disclosed by most of the respondents. But some staff did not know or lacked expert knowledge on the use of computers. Also, some staff were slow in retrieving information using computers, an indication that there was lack of specialized training among records staff on how to use the modern methods of records storage, access and retrieval.

This meant that records storage has a great effect on management of records in the National Records Centre and Archive. This agrees with a recent Gartner Group Strategic Analysis Report which forecasted that by 2015 document management functions would become the most important service on Local Area Networks after basic connectivity, the report urges that a strong business case can be made for investing in document management systems and the organizational leverage they provide. The author also mentions that ninety-eight percent of computer users employ word processing on their computers. This means that even for National Records Centre and Archive, full computerization of records management is the only way to go.

The researcher observed that although there has been continual progress in applying technology to records management, the majority of computer accessible information is still in data records, and the majority of document information is still on paper. But now, a strong combination of business forces and majority technology developments may finally make it possible to apply technology to records management in a productive way through computerization.

4.3. Challenges of filing systems at the Archives Repository

When the respondents were asked on the challenges that greatly affect the filing system, their responses were as explained below

According to information from one staff, he was quoted that;

"Besides lack of computers to manage information and records for the Archives users, there is lack of adequate knowledge in computer use among some staff therefore, the manual method is still favourable and widely used"

Another respondent stated that;

"Use of paper files has created a lot of problems in the management of records ...files get misplaced, duplicated, torn and mishandled...the blame is not on the affected users but on the affected users but on the National Records Centre and Archive, yet in the actual sense, it is the Archives users who bear the consequences... "

The study discovered that when information is filed using manual approaches, it brings about slow speed in work because staff takes long to search for paper records stored in boxes and Shelves.

According to information from one staff, he was quoted that;

"Although we have computers to manage information and records for clients; therefore, the manual method is still favourable and widely used, besides, not all records are actually stored in computers but only a few... "

Another respondent stated that;

"use of paper files has created a lot of problems in the management of Archival recordswhen a file gets misplaced, duplicated, torn and mishandled...the blame is born by the clients because if they have Archives cases; then they experience delay to have their cases settled management also becomes challenged due to the enormous complaints received from clients "

One respondent at the National Records Centre and Archive stated that;

"They use both computer and paper file records to manage records... when a file is missing in the computer system, we are referred back to the paper records which they always keep... however, and paper records are time wasting to search...and yet, the computers are not enough... "

Other records were stored on local PC hard drives, servers (including large capacity document servers), mainframes, and large repositories. All in all, the current filing system had many challenges that had to be worked upon.

4.4 Measures to improve records filing system

When die respondents were asked on the measures to improve records filing system, their responses were as shown below,

Understand the environment, the respondents showed that's important to engage electronic programs to the participants, the electronic form and with the users that will be served, the National Archives should learn their issues and their needs so that u can design a technology solution that fits the filing segment satisfaction them without any difficulty to encourage an easy and reliable filing system.

Use appropriate tools. All respondents were in agreement with the use of appropriate tools, they all showed that it's critical to understand the environment we're designing for. Going into details on what equipment to use at what time and in what environment, Respondents were saying it's better for questions to be asked like; does the technology need to be ruggedized to protect against heat, dust or humidity? Is there a ready power supply, and is it stable? Is the technology affordable, and can it be locally maintained? This was put into consideration as per respondents' interest.

Build in monitoring and evaluation from the start. Basing on the findings the respondents were suggesting that monitoring can help to establish a framework through which it was asked: What is the program trying to achieve, and what are the small steps to be taken along the way to ensure constant operation of a new filing system, the respondents were insisting on monitoring a lot which in their ideology would be the guideline to follow.

According to information from two key respondents during interviews;

“all I can say is that, fie National Archives should be able to embrace change for their own benefits to boost the filing system performance in the long run it's the Archives to benefit... ”

“What I can talk about is the use of right tools...all we need is a better filing system i think going digital is the right answer for all our filing problems ”

The researcher observed that although there has been continual progress in applying technology to records filing and management, the majority of records is still in manual form, and paper. But now, a strong combination of business forces and majority technology developments may finally make it possible to apply technology to financial records management in a productive way through computerization.

On the suggested measures to improve the filing system, the following were obtained; a comprehensive, digital and physical document management processing encompassing

scanning, indexing, archiving, web-based access/retrieval and workflow features; the bottom line is the organization need improved productivity and enhanced performance. Poor financial records storage, access and retrieval promises to leverage new technologies to generate these productivity and performance improvements, but realizing these benefits presents major challenges and opportunities, especially for insurance managers.

In summary, the overall potential impact of applying technology to financial record management is significant because documents contain concepts and ideas, electronic financial record management promises to advance the management of conceptual information in organizations. Because most of the activities of information workers at managerial and professional levels deal with concepts and ideas, financial record management promises improved support and productivity improvement at these levels. Because documents are the major vehicle for exchanging information in business processes, electronic financial record management promises to make a major contribution to process redesign and improvement efforts. Finally, with filing system forming a major part of organizational memory, financial record management support enhanced utilization of that resource.

Therefore, the challenge is not to redirect efforts away from managing data, but to recognize the electronic records filing and management system is the next natural step in the evolution of records and information management for all organizations, National Records Centre and Archive not being an exception.

CHAPTER FIVE

SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

5.0 Introduction

This chapter presents the summary, conclusion and recommendations for improving the effectiveness of the filing system at the Archives repository National Records Centre and Archive.

5.1. Summary of findings

The researcher discovered that current filing systems used in the Archives repository of the National Records Centre and Archive is both manual and Electronic filing system though Electronic is not so much used by employees.

The researcher found out that current filing systems at the Archive of the National Records Centre and Archive was fairly effective.

The challenges of the current filing system at the Archive were, lack of enough computers, inadequate staff, untrained staff, poor remuneration, Bulky files to manage, misplacement of files, unauthorized access, Negative attitude among Staff, Budget constraints.

The proposed measures to improve the effectiveness of the filing system include; purchasing more computers, Employ more staff, Train Staff on the use of computers, sensitize the employees on the importance of using electronic filing systems, Ensure use of strong passwords and install sirens among others.

5.2. Conclusion

The current filing system at the Archives in the National Records Centre and Archive is the manual filing system which is dominantly used.

The current filing system used at the Archive is fairly effective as it has a lot of challenges attached to it, from the data collected, 98% of the sampled respondents think that the current filing system is not effective while only 2% respondents were pleased with the current filing system of records, none of them were not sure on their view on this issue. Therefore, the majority of the respondents showed that the biggest number of them totally detested the available filing system because of delays,

The challenges of the current filing system at the Archive were, lack of enough computers, inadequate staff, untrained staff, poor remuneration, Bulky files to manage, misplacement of files, unauthorized access, Negative attitude among Staff, Budget constraints.

The measures suggested to improve the effectiveness of the filing system, include; purchasing more computers, Employ more staff, Train Staff on the use of computers, sensitize the employees on the importance of using electronic filing systems, Ensure use of strong passwords and install sirens among others.

5.3. Recommendations

Basing on the findings and conclusions, the researcher recommended the following;

Use appropriate tools, all respondents were in the agreement with the use of appropriate tools. They all showed that its critical to understand the equipment to use at what and in what environment.

5.3.1. Purchase more computers

This will help to facilitate the automation and computerization of student keeping and management. The computers should also be updated with modern and relevant programmes for financial record and information management.

5.3.2. Understanding the environment

The respondent showed that it's important to engage electronic programs to the participants, the electronic form and with users that will be served. The National Archive should learn their issues and their needs so that you can design a technology solution that fits the filing segment satisfaction them without any difficulty to encourage an easy and reliable filing system.

5.3.3. Development of standards and policies

This is because a clear and sound records management standards and policies will help o reduce on misfiling and management of files.

5.3.4. Provision of Servers

This is because the server which is in place is not enough since the network is on and off this affects the performance of the organization.

5.3.5. Provision of adequate funds by Government

Government should provide adequate funds and facilities for the effective management of financial records through seminars, workshops and conferences.

There should be adequate supervision by the state agencies to ascertain accurate record filing and effective management of records by records management staff or officials.

5.3.6. Build monitoring and evaluation from the start

Basing on the findings the respondents were suggesting that monitoring can help to establish a framework through which it's asked: What is the program trying to achieve, and what are the small steps to be taken along the way to ensure constant operation of a new filing system, the respondents were insisting on monitoring a lot which in their ideology would be the best guideline to following.

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APPENDICES

APPENDIX I: INTERVIEW GUIDE FOR RESPONDENTS

Analysis of filing systems in the Archives repository, National Records Centre and Archive

Dear Respondent;

I am a final year student at Makerere University pursuing Bachelor's degree in Records and Archives Management. Am conducting a research study on the topic" Analysis of filing systems in government institution registries, a Case Study of the Archives Repository, National Records Centre and Archive

QUESTIONS

What kinds of filing systems do you have?

What experiences have you had with establishing filing systems?

What is expected of a good filing system?

What are the challenges faced when filing in the Archives Repository?

What are the possible measures to improve filing systems at the Archives Repository?

What different educational Levels have my respondents gone through?

APPENDIX II: OBSERVATION GUIDE FOR THE RESEARCHER

The research will observe the following:

1. Types of filing systems in the Archives Repository
2. What kind of filing system best suits the Archives?
3. Are there enough acid free boxes and Shelves to manage the filing process?
4. How well is the filing system used?
5. Challenges associated with the Archives that are being filed

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

June 13, 2018

The Permanent Secretary
Ministry of Public Service
P. O. Box 7003
Kampala - Uganda



Dear Sir/Madam,

RE: INTRODUCTION LETTER – AJOK STELLA REG. NO. 15/U/3008/PS

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

As part of the study program, she is carrying out a research study entitled, "*Analysis of filing systems of archival records in repositories: A case study of the Archives Repository National Records Centre and Archive (NRCA)*".

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

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

Sincerely,

Dr. David Luyombya
HEAD OF DEPARTMENT
RECORDS AND ARCHIVES MANAGEMENT