ASSESSMENT OF RECORDS MANAGEMENT PRACTICES: A CASE OF PARLIAMENTARY RECORDS MANAGEMENT SERVICE

BY

AMODOT BETTY

15/U/19881/EVE

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JUNE, 2018
DECLARATION

I Amodot Betty, declare that the work submitted in this report is my original and as far as am aware has never been submitted to any other university or similar institution of higher learning for the award of a Degree or any other academic award.

Signature: Amodot Betty Date: 25/06/18

AMODOT BETTY
15/U/19881/EVE
APPROVAL

This research report by Amodot Betty has been done under my supervision and it’s ready for submission.

Signature.................................. Date................................

MR. SENONO RICHARD
(ACADEMIC SUPERVISOR)
DEDICATION

I dedicate this magnificent work to my beloved Mum Mrs. Asinge Ruth and my sibling Akiror Vashti Hope, My brother Simon peter Asinge and Niece KabasaPasqueen for their prayers, financial and material support which has enabled me to reach where I am at the moment. Thank you so much, a big dedication also goes to my friends for their cooperation.
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I also thank the staff of Uganda Parliamentary Records Management service for giving me the opportunity to carefully and successfully carry out my research exercise in the organization, to be more precise Mr. Kidega (the principal senior Librarian(Records)), Sikhu Moses (Senior Librarian (Records)) Ewotu Julius (Senior Records Officer).

My sincerest gratitude goes to my family for their financial support and spiritual prayers which enabled me to successfully complete this exercise. My course mates Atobu Joseph, Mikayi Nicholas, Tusingwire Beneath and others not mentioned here and not forgetting Mr. Edechu Samuel for the assistance he extended to me during this entire long journey to completing this task. May the love of God protect you forever.

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ABSTRACT

The study covered background to the study, statement to the problem, the main objectives of the study, specific objectives of the study, research questions and scope of the study, justification of the study and the definition of operational terms.

The study was guided with three objectives and these included identifying different types of records at Parliamentary Records Management Service, identifying the importance of the records management Practices at Parliamentary Records Management Service, to examine the challenges faced with management records at Parliamentary Records Management Service, to propose solutions for effective records management Practices at Parliamentary Records Management Service.

The methodology part of the study covered the research design where the researcher used descriptive research design because it provided a framework for interpreting the variables of the study. It further comprised the population where out of the 15 study population, only 14 was used as the sample size basing on a simple random sampling technique which was used to select the respondents in the organization where the study was conducted because of the proximity of the researcher's views of time and funds constraints. The study concentrated on only primary source of data, data collections tools such as questionnaires were used.

The results indicated that; the department have never appraised or disposed its records ever since its establishment, records had already filled up the strong room which is no longer accessible and some of the records are staffed in boxes and some piled on the floors. It was recommended that the department adopts a records management policy, train its staff on simple records management standards, adopts a records preservation plan, revive the records office and to appraise and dispose records systematically.

The research concluded that the Parliamentary Records Management Service department has worked seriously on records management problems though the safety and security of records is a challenge to personnel in-charge of records. Also at Parliamentary records management services department it was revealed that there were numerous instances where important documents and notes were not kept in secure conditions.
CHAPTER ONE

1.0 Introduction
This chapter presents the background to the study, statement to the problem, the main objectives of the study, objectives of the study, research questions, and the scope for the study, justification of the study and the definition of operational terms.

1.1 Background to the Study
Records management is an essential component of office administration. An effective records management program allows the organization to render better customer service, provides legal defensibility and leads to improved profitability. Hence, it is necessary to award high priority to records management to avoid organizational challenges that may arise owing to poor handling of office records (Robles & Langemo, 2016). As much as people try to deny it, office organization has a distinct link with productivity. The quicker an organization can locate a file or important legal document, the more productive it will be (Peters, 2011. That does not, however, mean that employees have to be neat freaks in order to be productive. It simply means that an organization needs to learn more effective ways to handle its daily paper flow (Shaver, 2011).

The Parliament of Uganda is the country's legislative body. The most significant of the institution's functions, is to debate bills brought by government leader of business and then pass the bills into laws after scrutiny, which will provide good governance, democracy and unity in the country. The government ministers are bound to report to the people's representatives on the floor of the house. Through the various parliamentary committees, parliament scrutinizes government programs, particularly as outlined in the State of the Nation Address by the President. The fiscal issues of the government, such as, taxation and loans need the sanction of the parliament, after appropriate debate. The body was Established in 1962 after the country's independence, the Ugandan parliament is currently composed of 238 Constituency Representatives, 112 District Woman Representatives, 10 Uganda People's Defence Forces Representatives, 5 Representatives of the Youth, 5 Representatives of Persons with Disabilities, 5 Representatives of Workers, and 13 Ex- officio Members.
Although not all records are equally important, they are all records that must be faithfully managed in accordance with the law. The principal task of records management and records managers is to help employees manage the records in their desks, cabinets, and computers. Records management is an essential component of office administration at the Parliamentary Records Management Services. According to Gartee (2007), the records of an organization constitute the corporate memory which supplement human memory and serve as guides for effective planning and decision making. An effective records management program would allow the organization to render better customer service, provides legal defensibility and leads to improved profitability. Hence, it is necessary to award high priority to records management to avoid organizational problems that may arise owing to poor handling of office records (Robles & Langemo, 2016).

1.2 Statement of the Problem
Most organizations do not keep proper records for most of their business transactions (Swanson, 2012). According to Mr. Kidega the Principal Records Officer at Parliament says when a records retrieval submission is made to the Parliament of Uganda, it takes on average one hour to access the information, and in other cases it can take days to track it and fulfill the request (Parliament of Uganda, 2017). Much of the archives are not even computerized which makes the performance of duties more difficult, costs organization’s time, money resources, and makes them vulnerable to security breaches, prosecution and embarrassment. The poor effectiveness and efficiency in operations may be as a result of poor records management, and if the organization does not embark on proper records management Practices s it will lead to low organizational effectiveness and efficiency.

Therefore this study will attempt to address the existing challenges and gaps to improve the records management Practices at Parliamentary Records Management Service.
1.3 Objectives of the Study
   i. To identify different types of records kept at Parliamentary Records Management Service.
   ii. To identify the importance of the records management Practices at Parliamentary Records Management Service.
   iii. To examine the challenges faced with management records at Parliamentary Records Management Service.

1.4 Research Questions
   i. What are different types of records kept at Parliamentary Records Management Service?
   ii. What is the importance of the records management Practices at Parliamentary Records Management Service?
   v. What are the challenges faced with management records at Parliamentary Records Management Service?
   iii. What are the solutions for effective records management Practices at Parliamentary Records Management Service?

1.5 The Scope of the Study

1.5.1 Subject Scope
The study was confined to the different aspects of the Records Management Practices at the Parliament of Uganda, the challenges it faces as well as strategies to counter these challenges.

1.5.2 Geographical Scope
The study was conducted at the Parliamentary Records Management Services located at Plot 16-18 Parliament Avenue, in Kampala City’s Central Business District.
1.5.3 Time scope
The study was focused on the time period from 2012−2018 because this is the period when Parliamentary Records Management Service has experienced poor effectiveness and efficiency in assessment of records management practices.

1.6 Significance of the Study
The study may help build on the researcher's knowledge and understanding of the study variables. It may also help the researcher to gain more skills of conducting research and this may be important to the researcher while in office or pursuing further studies.

The study findings would be used by other researchers who may be undertaking a similar study in form of literature review at various institutions of higher learning.

1.7 Definition of Operational terms
A Record
Cornwell Management Consultants (2012), define a record as a document produced or received by a person or organization in the course of business and retained by that person or organization.

Records management
Langemo (2012) defines records management as the professional management of information in the physical form the time records are received or created through their Practices, distribution and placement in a storage and retrieval Practices until either eventual elimination or identification for permanent retention in the archives. Kennedy (2014) defines records management as a function of providing control of records from creation, or receipt through their Practices, distribution, organization, storage and retrieval to their ultimate disposal.
CHAPTER TWO
LITERATURE REVIEW

2.0 Introduction
This chapter involved the various aspects of Record Management Practices, challenges and solutions to challenges.

2.1 The Concept of Record Management Practices
Records management practice is an essential component of office administration. An effective records management program allows the organization to render better customer service, provides legal defensibility and leads to improved profitability. Hence, it is necessary to award high priority to records management to avoid organizational problems that may arise owing to poor handling of office records (Robles & Langemo, 2016). As much as people try to deny it, office organization has a distinct link with productivity. The quicker an organization can locate a file or important legal document, the more productive it will be (Peters, 2011). That does not, however, mean that employees have to be neat freaks in order to be productive. It simply means that an organization needs to learn more effective ways to handle its daily paper flow (Shaver, 2011).

2.2 Different types of Records kept at Parliamentary Records Management Services
According to Gama (2010) the nature of organization and its activities determines the types of Records it generates and receives from other sources. Music dance and drama being a department in Makerere University, it performs various activities that result in to the accumulation of a vast amount of Records. The various Records generated may be of less value warranting their disposition immediately after they are used whereas some are vital to the organization for purposes of tracking what is happening what has happened and for efficient planning purposes.

Therefore the Records created and received in the course of organization activities should be properly managed to allow easy access and retrieval whenever they are needed Gama, (2010). According Federal Office, (2013) Records are classified into the following categories;
Legal Records
It explains that legal Records are those Records created to evidence business transactions or legal decisions for example; contracts, agreements, leases, policy records, case files and correspondences.

Shephard (2004) writes that legal records are generated specifically from the work of courts, the police, and public prosecution. Within legal context, records serve legal functions. Legal records support legal rights and obligations with the legal system, also provide proof that a particular activity took place. Legal records contribute to accountability in an organization and in government.

Shephard (2004), adds that such records includes: sub-poenia, which is a court order requiring the giving of evidence or the production of document, —order of discovery‖, documents to one or both parties to produce documents on order for discovery. Discovery may also be made to produce a body who is not a party to the proceedings.

Administration Records
They are created for documentary policies, procedure and guidelines like directives manuals and reports Saleem (2000), staff in this section manages records and information systems related to personnel transactions such as employment, seniority, leaves of absence, terminations and changes of status. Records staff also maintain the official employee files. Saleemi (2000) classifies records to the line of life cycle as active and archive records.

Research Records
These are created to determine trends, recent developments or new information related to an organization's product. Research records refer to any type of records or materials that document your research effort. These can be electronic or hard copy as in various forms of logs, notebooks, correspondence, videos, computer databases, audio or digital records, or even the actual products of experiments (Saffady, and William, 2009).

In addition, research records helps to maintain accurate and complete research records for data analysis, all records relating to the conduct of the project are important including those that document the management of the research funds and the intellectual property (palmer.m, 2000).
Although not an inclusive list, research records typically include: laboratory research, lab notes, computer databases, microscopic slides, gels, images, photos, videos, laboratory equipment printouts, and records of records of statistical and other data analysis.

**Financial Records**

These are created for accounting and fiscal use. Examples include financial statement and tax forms. Formal documents representing the transactions of a business, individual or other organization. Financial records maintained by most businesses include a statement of retained earnings and cash flow, income statements and the company's balance sheet and tax returns. Keeping financial records organized is a key element in a successful business (Mackie 2007).

However other scholars have also come up with different types of Records depending on their currency and functions and these include;

According to Sennabulya, (2013) he stresses that there are three types of Records based on currency and these include:

**Active or current Records**

He defined active Records as open files that are in use for conducting the current business of the organization. He emphasizes that Current Records and documents those Records that are constantly in use and should therefore be maintained close to the users.

**Semi-Active or Semi-Current Records**

These are records that consist of the recently closed files. They are only infrequently used. They should be entered in a closed Records register and systematically transferred and organized in a departmental or organizational Records center. The register acts as a retrieval tool.

**Non-Active or Non-Current Records**

These are documents that are scarcely ever referred to for the conduct of business operations. Non-current or Non-active Records should be reviewed and appraised in order to make judgment on their further retention and those that are selected as valuable Records should be preserved in the Records Centre or with prior arrangements transferred to the National Archives for long term
preservation as archival Records. Therefore it’s very important to note that also records can also be classified according to their currency basing on Sennabulya views.

2.3 The Importance of Records Management in the Organization
According to Sanderson & Ward (2013), the importance of records management is increasingly being recognized in organizations. It is therefore the responsibility of records managers to ensure that they gain the attention of decision-makers in their organizations. Gaining recognition is all about convincing management of the role of records management as enabling unit in an organization.

Improved decision making
Employees require information in order to carry out their official duties and responsibilities efficiently and effectively in a transparent manner. Records represent major sources of information and are almost the only reliable and legally verifiable source of data that can serve as evidence of decisions, actions and transactions in an organization (Wamukoya, 2016). According to Northwest Territories (2012), the role of records management is to ensure that members of staff involved in different operations have the information they need, when necessary.

Information resource for strategic planning purposes
Among their other purpose, records also act as raw materials for research in various disciplines, including science research, which is an important ingredient of socio-economic development. Furthermore, records can be used as an information resource for strategic planning purposes. The service provided by records management is therefore of vital importance to both employees (end users) and organizational success. As outlined earlier, the primary function of records management is to facilitate the free flow of records throughout the entire organization. Most importantly, it remains the function of records management to ensure that an organization’s records are safe for future reference (De Wet & Du Toit, 2016).

According to Palmer (2016), the role of records management Practices is that it acts as a control Practices that reinforces other control Practices s such as internal and external auditing. The record environment that allows opportunities to commit fraud, once fraud, once fraud is detected; records can provide a trail for investigators to track the root of corruption. However, for records
to be useful in this capacity, they must be accessible. According to Hare & McLeod (2016), organization kept records for information retrieval, evidence of organization’s activities and compliance with regulations. In support of Hare, McLeod & Cowling (2013), they further identified four main reasons for motivating organizations to preserve records permanently as discussed below

**Administrative value**

In the conduct of their business activity, organizations and individuals often need to consult records of their previous activities and decisions, for example to provide background information, establish the existence of a precedent or to substantiate or refute a claim or allegation. Records in this case are of utmost importance for an organization’s administrative function (Hounsome, 2011).

**Financial value**

According to Hare & McLeod (2016), an organization needs long-term documentary evidence of the way in which funds were obtained, allocated, controlled and expended (budget). This includes budget records, which provide evidence of how income and expenditure were planned, and various accounting records documenting financial transactions.

**Legal value**

Legal records provide evidence of contractual obligations, duties and privileges agreed upon by governments’ organizations or individuals. They provide record of matters such as property titles, charitable status and other legal and civil rights. They may be preserved as evidence of the decisions of governments, courts and other bodies or as the source of the authority for action taken by organizations or individuals (De Wet & Du Toit, 2016).

**Information value**

Archives and records management departments are generally recognized as the primary source of materials for information and research into the history of society. They form a unique and indispensable record for researchers such as historians, scientists, geographers, sociologists, statisticians etc (Sanderson & Ward, 2013).
Data retrieval

To summarize, it may appropriate to indicate that records exist in order to remind organizations of their previous activities. Hounsome (2011), noted that while records management may seem boring to many, it is hard to under-estimate the role played by records management in organizations.

The records are the corporate memory of the organization, evidence of what was done and why it was done. They provide information for different organizational purposes, such as decision-making, financial accountability, performance measurement, strategic planning and research. Without divorcing themselves from the above scholars, (Sanderson and Ward, 2013) further explored the role of records management in an organization as follows:

To avoid the cost of litigation or failure to comply with regulatory bodies, to prevent the loss of intellectual property or loss of corporate learning/ corporate memory, to prevent loss of information from disasters or theft and ensuring business continuity, to maximize the efficiency of operation and usage of information, to respond in a timely and effective way to requirements of customers, to promote executives and their organizations from loss of reputation and credibility with the general public, customers etc. by demonstrating good practice and providing accountability for their actions.

Acts as a vital and reusable asset in an organization

Records need to be recognized as a vital and reusable asset, a source of content of content, context and knowledge (Sutcliffe, 2013). Organizations are currently involved in knowledge management. Records management should be seen as an enabling/support function towards knowledge management. The argument should be that without records, an organization would lose a wealth of knowledge produced by its employees during daily operation.

Financial management support

Good records management Practices are essential to support financial management and accountability. Records management therefore ensures an organization’s ability to function effectively and to provide evidence for accountability and transparency (Palmer, 2016). Corruption has become a significant driver in the demand for accountability in organizations. There is a direct relationship between internal regulation and the more complete and accurate
recording of decisions and actions. Records provide evidence of compliance with regulations; records management rules provide the guarantees that the evidence is captured in a Practices and is readily available (Palmer, 2016).

Acts as corporate memory for an organization
Records management has long been seen as the graveyard of information i.e. a place to store documents and records that have passed their sell by date. New technology has changed the picture.

The corporate record becomes the corporate memory, capable of informing and influencing everything that is done. Records need to be recognized as a vital and reusable asset, a source of content, context and knowledge, hence knowledge management, information management and information technology (Sutcliffe, 2013). Corporate memory is about how organizations learn from what they have done before, how they avoid re-inventing wheels, and how they build upon best practices. It is quite simply concerned with how organizations organize their most vital asset, which is information, and how they harness the skills and expertise of their most vital resource, which is their people (Sutcliffe, 2013).

2.4 Challenges of Records Management Practices

Inaccessibility of the records
The sensitivity of medical records has brought several challenges to managing institutions. The commonest relates to storage, access, safety and security. Organizations which use primarily manual based records Practices s experience storage problems. Access to records is another challenge that users and custodians face. Sometimes there is conflict on the ownership and the right of access to a critical record.

Insecurity of the system
The safety and security of records is a challenge to personnel in-charge of records. Nicholson (1996) revealed that there were numerous instances where important documents and notes were not kept in secure conditions. When records are not properly managed, without proper security measures, they can be misused, which can lead to possible violations of privacy and confidentiality of records. (Berg, 2012), among others, is concerned about the misuse of records
and state that: the confidentiality of records is threatened in many different ways. Most news
worthy is the misappropriation and disclosure of records for financial gain or to cause harm or
embarrassment.

**Technical in nature of Records Management Practices**

Gartee (2007), points out that a disadvantage of electronic records is that they are technical in
nature; and demand training before they can be used. In addition, they lack standardized
terminology and Practices architecture which render it hard to implement.

Some of the challenges of using electronic records are security related. Security lapses might
compromise the privacy and confidentiality of records. Gartee (2007), further states that
Practices designers must consider how individually identifiable information will be protected and
also meet regulatory requirements before using electronic records.

The most essential qualities of a record are that it is authentic and that its content is fixed over
time. In other words, people must have confidence that a record is what it says it is. Electronic
records, unfortunately, do not intrinsically inspire this confidence in the same way that paper
records do. The ease with which electronic documents can be created, altered, accessed,
duplicated, and shared jeopardizes their value as records. Ironically, the most appealing aspects
of creating electronic documents are what weaken our confidence in electronic records.

**2.5 The Solutions to Records Management Challenges**

**Technological compliance solutions**

Technological compliance solutions are some of the measures that have been adopted to
safeguard electronic records. One such technological compliance solution is data encryption,
whereby Internet Transfer Protocols are managed, in order to limit access to records. In this case,
the activities concerning electronic records are tracked to identify who received disclosed data.
Another way of safeguarding electronic records is through the use of biometrics (e.g. fingerprint
ID recognition) to secure access to computers on networks and information storage devices
(McClanahan, 2013).
**Use of a computer based records management Practices**

A viable solution is use of a computer based records management Practices, which comprises an information filter for assuring that record data units offered to the Practices for storage are complete and not redundant. These record data units may be electronic in nature, scanned from paper, digitally formed from audio, video or otherwise formed as digital data information media, an objective of the disclosed Practices being to eliminate paper or microform record keeping (Jobs, 2016). For records management to be effective and successful it should be based on certain principles and fundamentals such as data retrievals and data safety.

**Exploring legal and regulatory framework**

According to Hare and McLeod (2012), it is explored that a legal and regulatory framework is a key to strengthening records management practices. Where by authorization should normally be obtained through a formal approval process and derived from a law, ordinance, regulation or policy. Hare Catherine and McLeod Julie, furthersay that environment has resulted from the development of ICTs. They further suggest that across all organizations, managing records effectively is not only a way of doing business effectively, but also a means of doing business more that their competitors. In addition, they emphasize that there is need to understand and identify the role of each record in relation to the business process which it documents and its value. Thus ensuring there management appropriately (Hare & McLeod, 2006).

**Establishing ongoing programmes for training in managing records**

According to ISO (2001), as explained by Kalusopa and Ngulube, organizations should establish ongoing programmes for training in managing records and that the effective management of records requires that there are procedures for the timely disposal of records that organizations no longer need to support current business or those that they do not need to retain for legacy purposes (Kalusopa&Ngulube, 2012). In addition, it was highlighted that the world over, sound management of records, whether electronic or paper, has increasingly become a topical issue (Moloi&Mutula, 2007).
Recognizing this multi-format reality of paper and electronic records
This is the key first step to properly managing the hybrid environment since a record is a record regardless of the format it takes. In the hybrid world, every file may exist in both paper and electronic formats (Chell, R. 2016). Establish universal controls over the entire lifecycle of a record, regardless of format. These controls include a records classification scheme, a retention schedule, indexing structures, and centralized storage (including both physical storage and electronic). Universal controls help you avoid the trap of having one approach for paper records and another for electronic records. (Wallace, P. E. 2017).

Identifying the official record
In the hybrid environment, it is expected that multiple copies of a record may be circulating in multiple formats at any given time. In this situation it is critical that your records management program prescribes which document, in which format, will count as the official record (Wamukoya, 2012). Thus laying the groundwork for the timely application of retention schedules and other management activities (Wamukoya, 2012)

Eliminating non records
This is seen as knowing which document constitutes the official record also makes it much easier to reduce overall document volumes (Stewart, and Melesco, 2002). The reality of the hybrid environment is that document volumes are on the rise, so it is essential to take regular steps to remove convenience copies and other unneeded records (Cowling, 2013).

Considering the conversion options carefully
Cowling, (2013) further argues that, in many jurisdictions, the law allows for imaged records to take the place of the original paper record. Many organizations are taking advantage of this to reduce paper volumes through document imaging programs. However, the law also provides very specific criteria under which imaged documents can become the official record. Therefore, before committing
More so, Mnjama, (2007) further asserts that, there are a number of standards that have been developed which make specific reference to Records management requirements to overcome the challenges of Records Management and these include ISO 15489/1, (2001), which provides the basic requirements for the management of Records regardless of the format, analyses Records management procedures in terms of the life cycle and many others. Other standards include the National Archives of Canada information capacity check model (IMCC) and the European commission model for the management of E-records, observing these standards can be a step to improved records management.

2.6 Conclusion
The literature review revealed that different scholars on different aspects of the existing records management practices, it is the choice of the researcher to depend on their aims in this case ensuring good records management since a lot has been discussed on records management practices but there is still a large hole and diversity in analyzing records management practices, therefore it was of very great importance that the study emphasized on the theoretical and practices approaches considered in analyzing records management practices issue.
CHAPTER THREE
RESEARCH METHODOLOGY

3.0 Introduction
The chapter presents the research design, study area, population of study, sampling strategies and sample size, data collection sources, methods and instruments, data quality control, data processing and analysis, expected constraints, ethical considerations.

3.1 Research Design
The study used descriptive research design because it provided a framework for interpreting the variables of the study. Descriptive research is used to obtain information concerning the current status of the phenomena to describe what exists with respect to variables or conditions in a situation. The technique was appropriate as it involves a careful in-depth study and analysis of the subject matter. The researcher also used the cross sectional survey design approach.

3.2 Study Population
Out of the 15 study population, only 14 was used as the sample size according to Krejcie and Morgan (1970). A simple random sampling technique was used to select the respondents in the organization where the study was conducted because of the proximity of the researcher's views of time and funds constraints. The sample frame is tabulated as below

Table 1: Showing the composition of the sample frame

<table>
<thead>
<tr>
<th>Category of respondents</th>
<th>Population</th>
<th>Sample</th>
<th>Sampling technique</th>
</tr>
</thead>
<tbody>
<tr>
<td>Principal Records Officer</td>
<td>1</td>
<td>1</td>
<td>Simple random</td>
</tr>
<tr>
<td>Records Officer</td>
<td>7</td>
<td>6</td>
<td>Simple random</td>
</tr>
<tr>
<td>Messengers</td>
<td>7</td>
<td>7</td>
<td>Simple random</td>
</tr>
<tr>
<td>Total</td>
<td><strong>15</strong></td>
<td><strong>14</strong></td>
<td></td>
</tr>
</tbody>
</table>

Source: Primary Data
3.3 Sampling Strategies and Sample Size

3.3.1 Sampling Strategies
The researcher used simple random sampling. Simple random sampling refers to a situation where a sample is selected without bias from the accessible population (Hounsome, 2011). It was recommendable because it ensured that each member of the target population has an equal and independent chance of being included in the sample (Amin, 2011).

3.3.2 Sample Size
A sample is a subgroup of population from which researchers are drawn. It was observes that it is not feasible to gather detailed information about the persons who were involved in all the time. Therefore it required sampling with some principle decisions about who, where and when to be studied. The sample size of the study constituted of 14 respondents

3.4 Data Collection Sources, Methods and Instruments

3.4.1 Data Collection Sources
The researcher used both primary and secondary sources of data to collect data from various categories of respondents and documentation respectively.

3.4.1.1 Secondary sources
Secondary data collection may be conducted by collecting information from a diverse source of documents or electronically stored information. Secondary data was collected from annual reports and records, published journals and books. This helped to provide already existing data to facilitate the study.

3.4.1.2 Primary Sources
Primary data collection uses surveys, experiments or direct observations. Primary data was collected using questionnaires where all the issues on the questionnaire will be addressed. The researchers designed the questionnaire and distribute them over to the respondents on a one to one basis and ensure that all the questionnaires are fully filled to give clear information to enhance quality data for the research. Interviews were used to collect data relevant for the study.
3.4.2 Data Collection Methods
Data collection is an important aspect of any type of research study. Quantitative data collection methods relied on random sampling and structured data collection instruments that fit diverse experiences into predetermined response categories. They produced results that are easy to summarize, compare and generalize.

3.4.2.1 Observation
This is the most commonly used method especially in studies relating to behavioral sciences. In the way we all observe things around us, but this sort of observation is not scientific observation. It becomes a scientific tool of the formulated research purpose, its Practices is practically planned, recorded and is subjected to checks and control of validity and reliability. Under the observation method, the information is sought by way of investigator's own direct observation without asking from the respondent. The researcher took time to observe the record keeping and retrieval Practices s at the organization.

3.4.2.2 Surveys
This refers to a method of securing information concerning a phenomenon under study from all or a selected number of respondents of the concerned universe. In a survey, the investigator examines those phenomena which exist in the universe independent of his action. Surveys are concerned with describing, recording, analyzing and interpreting conditions that earlier exist or existed. Researchers do not manipulate the variable or arrange for events to happen.

3.4.3 Data Collection Instruments
The researcher used the instruments given below to gather information relevant to the study. The researcher used administered questionnaires and interviews to the respondents.

3.4.3.1 Structured/ Self-Administered Questionnaire (SAQ)
The researcher administered the questionnaire to each respondent in the study. The questionnaire had both open and closed ended questions Amin, (2005). The researcher used structured self-administered questionnaires covering all the variables in the study. In the questionnaires, a five
point Linkert scale was used to ease data processing and analysis. Therefore, responses can be analyzed with quantitative methods by assigning numerical values to Linkert type of scales. Questionnaires were the main instrument of the study and particularly were distributed to the different categories of respondents. The questions were prepared in a logical sequence in order to address the research objectives and were both close and open ended which allowed the respondents to give a wider view about their understanding of the study problem. The respondents were given one week to fill the questionnaires, which was then be collected by the researcher (Amin, 2005).

3.4.3.2 Interview Guide
This is an instrument that was used and this involved face to face communication with the staff at the Parliamentary records management services, the information given was very crucial for the study. The interview guide is a guideline to a conversation between two or more people where questions are asked by the interviewer to elicit facts or statements from the interviewee.

3.5 Data Quality Control
3.5.1 Reliability
Reliability of data refers to whether repeating the same measurement under similar conditions yields the same results (Kumar 2010). The reliability of the questionnaires will be improved through pretesting of pilot samples from the field which enabled the rephrasing of some questions. Additionally, reliability of the items was done with the application of the Cronbach Coefficient Alpha for the computations so as to check the internal consistency of the audit activities. The reliability of the questionnaires will be improved through pretesting of pilot samples from the field which enabled rephrasing of some questions. It was done with the application of the Cronbach Coefficient Alpha for the computations by considering an acceptable rule that is between $0.5 \leq \alpha < 0.70$ so as to check for the consistency of the data.

3.5.2 Validity
This is defined as the extent to which the instruments measures what it purports to measure (Allen and Yen 2011). Content validity pertains to the degree which the instrument fully assesses or measures the construct of interest. The questionnaire was carefully designed and tested with a
few members of the population for further improvements. This was done in order to enhance its validity and accuracy of data to be collected for the study. Validity of the instrument tool is the degree to which the tool measures will be based on the views that the data was collected from selected department heads, managers, junior staff and customers among others as content validity index and a validity content text respectively. The content validity indices for both variables were above 0.70 for both variables.

3.6 Data Processing and Analysis

3.6.1 Data Processing

This section involved scrutinizing of the responses answered on the questionnaires and interview guide by the different respondents. Then there was sorting, editing, classifying and coding of the obtained data.

At the completion of data collection, the data was edited, Processed, analyzed using Statistical Package for social scientists (SPSS) and computer packages like MS Word, Excel Computer program, to reduce on errors and check for relevancy and adequacy. Data will be thematically arranged and integrated into a report and was submitted to Makerere University.

**Editing:** this involved examining raw data collected especially in the survey so as to detect errors of omission and correct them where possible. It also involved a careful look at the complete questionnaires to ensure that they are correctly responded to, and for this study field, editing was done by the researcher during data collection stage.

**Coding:** this is the Practices of assigning numbers or symbols to answers to enable reducing data into fewer categories. And for this research coding was done before data is collected.

**Tabulation:** this is the Practices of transferring the information that had been coded and classified into rows and columns known as a table.
3.6.2 Data Analysis
The data was analyzed using Statistical Package for social Scientists (SPSS) and was used to summarize data into frequencies and tables. This determined the computation of Linear Correlations Analysis of Variance and Multiple Linear Regressions to determine the effect of records management on organizational performance as was spelt out in the study objectives and conceptual framework.

3.7 Ethical Considerations
For the study to be carried out effectively and efficiently, the researcher obtained a letter of introduction from the university which was presented to the clerk to parliament before prior to starting any interview or filling in a questionnaire. Sensitization of the respondents for the study was done. This enabled the researcher to carry out the study without fear and for substantive information therefore obtained. The researcher further sought permission to conduct interviews from specific groups as a matter of procedure in other relevant institutions that was consulted.

3.8 Expected Limitations of the study
The researcher may encounter a few limitations during the study:

Limited time
The researcher faced a challenge of limited time to beat the deadlines as stipulated in the time frame. The researcher overcame this by diligently following the proposed time frame. In addition, the researcher may have limited time for carrying out the research and she has to keep up with class work and other assignments like course work and doing tests. This was solved by making a timetable for himself especially concerning when he or she is supposed to do the research.

Insufficient financial source
Insufficient financial source is such a big challenge as the researcher has to move from one place to another to look for the right data. Also, it is such a challenge since it involved buying internet data so as to get legit information from some scholars, and writers about this research. In addition to this, the researcher had to pay or spend big in terms of typing, printing, transport, and
airtime which are too costly. However, this was solved by planning and making a budget after estimating how much the entire research would cost.

**Reluctance of the respondents**

Some of the respondents were reluctant to respond. Uneasy and suspicious of the information to be gathered and thought that the data was used for other motives against them. However, this was solved by making a follow up onto the respondents who would be given questionnaires.

**Lack of cooperation from respondents**

The researcher also anticipates lack of cooperation from respondents, especially those who consider the information confidential and thought the survey was for purposes of revenue collection. The researcher therefore assured the respondents of confidentiality of their information that it was solely be for academic purposes.
CHAPTER FOUR
PRESENTATION, INTERPRETATION AND ANALYSIS OF FINDINGS

4.0 Introduction
This chapter provides the presentation, interpretation and analysis of findings. The objectives of the study were to assess the importance of the records management Practices, challenges faced with management records as well as identifying the solutions for effective records management Practices at Parliamentary Records Management Service.

4.1 Description of the Respondents
The respondents' demographic characteristics in terms of gender, level of education, length of service in the organization and titles held in an organisation

4.1.1 Age Bracket of the Respondents
The respondents were asked to indicate their gender. The results are summarized in the table 2 below,

<table>
<thead>
<tr>
<th>Option</th>
<th>Frequency</th>
<th>Percentage (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>20-29 years</td>
<td>4</td>
<td>28.6</td>
</tr>
<tr>
<td>30-39 years</td>
<td>5</td>
<td>35.7</td>
</tr>
<tr>
<td>40-49 years</td>
<td>5</td>
<td>35.7</td>
</tr>
<tr>
<td>Total</td>
<td>14</td>
<td>100</td>
</tr>
</tbody>
</table>

Source: Primary Data

According to Table 2: majority of respondents that participated in the study were 35.7% (30-39 years), 35.7% (40-49yrs), 20-29 (28.6%) considered respectively. The results consequently imply that majority of the respondents were between 30-39 years (35.7%) and 40-49 years (35.7%) which was a suitable age bracket to provide basic information about the challenges and factors for records management Practices at the Parliamentary Records Management Service in Uganda.
Figure 1: Showing Age Bracket of the Respondents

Source: Primary Data

Education of respondents

Table 3: Showing the Educational Level of Respondents

<table>
<thead>
<tr>
<th>Options</th>
<th>Frequency</th>
<th>Percentage (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Diploma</td>
<td>2</td>
<td>14.3</td>
</tr>
<tr>
<td>Degree</td>
<td>4</td>
<td>28.6</td>
</tr>
<tr>
<td>Masters</td>
<td>3</td>
<td>21.4</td>
</tr>
<tr>
<td>Others</td>
<td>5</td>
<td>35.7</td>
</tr>
<tr>
<td>Total</td>
<td>14</td>
<td>100%</td>
</tr>
</tbody>
</table>

Source: Primary data

4.1.2 Education Level

According to Table 3 respondents that had other qualification constituted of the highest percentage with 35.7% of the total respondents involved the study of factors and challenge that in records management Practices at the Parliamentary Records Management Services in Uganda. While degree holder formed up 28.6 %, 21, 4% for the master's holders and 14.3% constituted of respondents with diploma. This implies that at least majority of the
respondents in this study were educated enough and informed about the parliamentary records management services in Uganda.

**Figure 2: Showing Education Level of the respondents**

![Education Level Pie Chart](image)

*Source: Primary data*

### 4.1.3 Length of time you have been working in this Organisation

**Table 4: Showing the Length of time you have been working in this Organisation**

<table>
<thead>
<tr>
<th>Option</th>
<th>Frequency</th>
<th>Percentage (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Less than a year</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>1-5 years</td>
<td>1</td>
<td>7.1</td>
</tr>
<tr>
<td>More than 5 years</td>
<td>13</td>
<td>92.9</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>14</strong></td>
<td><strong>100</strong></td>
</tr>
</tbody>
</table>

*Source: Primary data*

The results indicated in table, 4, revealed that most of the respondents (92.9%) had worked with the parliamentary records management services in Uganda for at least five years. The study therefore implied that the parliamentary records management services in Uganda is comprised of employees who have enough experience in records management.
Figure 3: Showing the length of period at parliamentary records management service

Source: Primary data

4.2.4 Title Held in an Organisation

Figure 4: Showing Title held in an Organisation by the respondents

Source: Primary data
Figure 4 indicated that majority of the people employed in the parliamentary records management services in Uganda were interns and office assistant dispatch drivers each representing 42.9% of the total response rate respectively. These results signify that majority of the employees in these positions were informed enough about the records management Practices at the parliamentary services in Uganda.

4.3 Types of Records Maintained at Parliamentary Records Management Services

There are quite a number of records maintained by the Parliamentary Records Management Services as identified by the researcher.

Table 5: Showing the types of records generated at parliamentary records management service

<table>
<thead>
<tr>
<th>Types of records</th>
<th>Examples</th>
<th>No of responses</th>
</tr>
</thead>
<tbody>
<tr>
<td>Financial records</td>
<td>Payment Vouchers, Financial statements, payment requisition and cash flow statement</td>
<td>4</td>
</tr>
<tr>
<td>Personnel records</td>
<td>Staff performance appraisal forms, appointments letters, promotion letters, transfers, posting instructions termination of employments</td>
<td>4</td>
</tr>
<tr>
<td>Administrative records</td>
<td>Programmes organized by parliament, meetings, conferences, board meetings, workshops, seminars, visits and tours</td>
<td>3</td>
</tr>
<tr>
<td>Legal records</td>
<td>Bills, Acts, Laws, Constitution etc</td>
<td>2</td>
</tr>
<tr>
<td>Research records</td>
<td>Field reports, committee reports, Hanssard, Manuals, Brochures, Magazines, Correspondences, Note books</td>
<td>2</td>
</tr>
</tbody>
</table>

Source: Field Data, (2018)

From a several dialogues held with the respondents at Parliamentary Records Management Service it was realized that financial records are those records that document financial transactions businesses that have been carried out in the department relating to department activities. It was further stressed that these were specially generated by the accounts department
and they include cashbooks, payment vouchers, pool voucher, petty cashbook, cash flow statements and many more.

The interviewees also indicated that these were records created and received in the organization as a result of administrative functions and they include Programmes organized by the parliamentary board meetings, seminars/workshops or conferences organized by the parliament, visits and tours done by the parliament members.

The respondents further indicated that there are personnel records that mainly document all employees at the parliament. These records deal with the job descriptions of the workers, staff performance, recruitment of the workers, work plans of the parliament, postings and transfers of the workers, promotions amongst workers, pensions to the workers and termination of employment.

**Financial records**

Financial records kept within the Parliamentary Records Management Services have to do with the estimates of expenditure of the parliament at large, salaries of the workers, their allowances, the revenues. The creditors and debtors to the parliament, assets and tenders mad to the parliament. The financial records are given class number 100 as appended.

**Personnel records**

The personnel records mainly concern all employees at the parliament. These records have to do with the job descriptions of the workers, staff performance, recruitment of the workers, work plans of the parliament, postings and transfers of the workers, promotions amongst workers, pensions to the workers and termination of employment.

**Administrative records**

Mainly the administrative records include all records that concern the activities of the parliament records that are generated by the parliament internally and those that come from external partners organization but concern the parliament business. Such records include: programmes organized by the parliament, board meetings, seminars/workshops or conferences organized by the parliament, visits and tours done by the parliamentary staff.
Legal Records
The interviewees indicated that legal records were those records generated when a case arises against or within the department for example; documents on investigations on forgeries against the department and the members of parliaments and others, documents on theft of the lecture's notes and the members of parliaments and others through forgeries, manipulation of documents to claim cash from the department and many others.

Research Records
The interviewees indicated that research records these are created to determine trends, recent developments or new information related to an organization’s product. Research records refer to any type of records or materials that document the organization’s work. These can be electronic or hard copy as in various forms of logs, notebooks, correspondence, videos, computer databases, audio or digital records, or even the actual products of experiments.

4.3 Records Management Activities in Parliamentary records management service

Table 6: Showing the records management activities in Parliamentary records management service

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESPONSIBLE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Records creation</td>
<td>Records Officers</td>
</tr>
<tr>
<td>Maintenance</td>
<td>Records Officer</td>
</tr>
<tr>
<td>Users of records</td>
<td>Members of parliaments and others (MPs)</td>
</tr>
<tr>
<td>File arrangement</td>
<td>Records Assistant</td>
</tr>
<tr>
<td>Classification of records</td>
<td>Principal Librarian (Records)</td>
</tr>
<tr>
<td>File census</td>
<td>Records Assistant</td>
</tr>
<tr>
<td>Control file movement</td>
<td>Senior Librarian (Records)</td>
</tr>
<tr>
<td>Disposition</td>
<td>Head of the department (HOD)</td>
</tr>
</tbody>
</table>

Source: field data, (2018)
4.3.1 Creation/receipt of records

From a dialogue held with the respondents, it was realized that a variety of records such as financial records, legal records and many more are created by the head of department at all levels ranging from the secretary, registry, records assistant depending on the head of department's order and lectures also create records pertaining student results. They create members of parliament and others database to manage the performance of different student in different course units.

4.3.2 Maintenance and use of records

This was also another activity undertaken by the records assistant in parliamentary records management service and it involved; file arrangement, classification of records, record storage equipment and supplies, file requisition and return, file census, file movement control and using of finding aids used. The activities under maintenance and use are explained below as follows basing on the information gathered from the respondents;

4.3.3 File arrangement of records

On the other hand, the interviewees indicated that files on the shelves, filing cabinets and wooden drawers were arranged Alpha numerically on shelves where a letter relating to a particular type of record would have a specific portion on the shelves together with and running numbers which would be used to store the files on the shelves;

4.4 The Importance of Records Management in the Organization Improved decision making

Employees require information in order to carry out their official duties and responsibilities efficiently and effectively in a transparent manner. Records represent major sources of information and are almost the only reliable and legally verifiable source of data that can serve as evidence of decisions, actions and transactions in an organization (Wamukoya, 2016). According to Northwest Territories (2012), the role of records management is to ensure that members of staff involved in different operations have the information they need, when necessary.
Information resource for strategic planning purposes
Among their other purposes, records also act as raw materials for research in various disciplines, including science research, which is an important ingredient of socio-economic development. Furthermore, records can be used as an information resource for strategic planning purposes. The service provided by records management is therefore of vital importance to both employees (end users) and organizational success. As outlined earlier, the primary function of records management is to facilitate the Tree How of records throughout the entire organization.

Administrative value
In the conduct of their business activity, organizations and individuals often need to consult records of their previous activities and decisions, for example to provide background information, establish the existence of a precedent or to substantiate or refute a claim or allegation. Records in this case are of utmost importance for an organization's administrative function (Hounsomc. 2011).

Financial value
According to Hare & McLeod (2016), an organization needs long-term documentary evidence of the way in which funds were obtained, allocated, controlled and expended (budget). This includes budget records, which provide evidence of how income and expenditure were planned, and various accounting records documenting financial transactions.

Legal value
Legal records provide evidence of contractual obligations, duties and privileges agreed upon by governments' organizations or individuals. They provide records of mailers such as property titles, charitable status and other legal and civil rights. They may be preserved as evidence of the decisions of governments, courts and other bodies or as the source of the authority for action taken by organizations or individuals (De Wet & Du Toil, 2016).
**Information value**

Archives and records management departments are generally recognized as the primary source of materials for information and research into the history of society. They form a unique and indispensable record for researchers such as historians, scientists, geographers, sociologists, statisticians etc (Sanderson & Ward, 2013).

**Table 7: Importance of the Records Management Practices**

<table>
<thead>
<tr>
<th>STATEMENTS</th>
<th>D</th>
<th>A</th>
<th>SA</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>n</td>
<td>n %</td>
<td>n</td>
</tr>
<tr>
<td>Employees require information in order to carry out their official duties.</td>
<td>14</td>
<td>0 0</td>
<td>3</td>
</tr>
<tr>
<td>Records can be used as an information resource</td>
<td>14</td>
<td>1 7.1</td>
<td>2</td>
</tr>
<tr>
<td>Records are important for an organization's administrative function</td>
<td>14</td>
<td>0 0</td>
<td>2</td>
</tr>
<tr>
<td>Records act as the primary source of materials for information</td>
<td>14</td>
<td>0 0</td>
<td>2</td>
</tr>
</tbody>
</table>

*Source: Field Data, (2018)*

Respondents were asked whether employees require information in order to carry out their official duties regarding records management at the Parliamentary section of Uganda, 11 of the total respondents strongly agreed representing 78.6% response rate, 3 of them simply agreed representing 21.4% response rate, while none of the respondents indicated either whether they strongly disagree, not sure or disagree with the notion that employees require information in order to carry out their official duties.

When asked whether records also act as raw materials for research in various disciplines, 9 of the respondents strongly agreed with 64.3% rate, 4 of them simply agreed representing 28.6%, while one respondent indicated that indeed is not sure (1.7%) about the statement with none indicating
about strongly disagreeing or disagreeing with the above notion. This means that majority of the respondent agreed with the notion which implies that when records are fully availed, they act as raw materials for research in various disciplines in Uganda.

In addition, when respondents were asked whether records can be used as an information resource, 11 of the respondents strongly agreed (78.6%), 2 agreed with 14.3%. only one disagreed (7.1) while none (0 %) neither disagreed nor were sure about the notion of response rate.

Therefore, the records when well-managed, they are major sources of organizational information. On whether records management facilitates the free flow of records, 9 of the respondents strongly agreed with 64.3%, 4 of them merely agreed representing with 28.6%, one of them was not sure (7.1%) while none revealed whether they strongly disagree or disagree with the notion.

While asked whether records are important for an organization's administrative function, majority strongly agreed with 85.7 % response rate, 2 respondents simply agreed with 14,3% while amongst all, none disagreed, strongly disagreed or indicated that they were not sure with the statement.

Additionally, when asked whether records act as long-term documentary, 8 of them agreed with the statement (57.1%), 5 strongly agreed representing a response rate of 35.7%, only one respondent revealed that he/she disagreed with the notion constituting 7.1%), while none of them indicated whether they disagreed or strongly disagreed with the statement that records act as long-term documentary.

On whether records provide evidence of business transactions, 8 of the respondents strongly agreed with 57.2%, 6 agreed representing 42.9%, while none of the respondents strongly disagreed or disagreed with the statement representing 0% of the response and as well none of them revealed that they were not sure with the notion.
This signifies that high maintenance of records provides clear evidence of business transactions. When asked whether records act as the primary source of materials for information, majority strongly agreed with 85.7% response rate, only 2 simply agreed representing 14.3% response rate, and among all respondents, none indicated whether they strongly disagree, disagree or even indicating that not to be sure with the statement.

In addition, when asked whether records help to remind organizations of their previous activities, majority respondents indicated that they were not sure representing a response rate of 35.7%, the same number of the respondents who agreed matched with those who strongly disagreed with the statement representing 21.4% response rates respectively, and only one strongly agreed constituting 7.1% rate. This therefore implies that records hardly remind organizations of their previous activities during the record management Practices.

When respondents were asked whether records need to be recognized as vital assets, same number of respondents agreed as a similar number disagreed representing 35.7% response rate, 3 strongly agreed constituting 21.4%, and only one respondent was not sure (7.1%) while none of them disagreed with the notion. This implies that a similar number of employees agree that records need to be recognized as vital assets as of those who disagree with the statement.

**4.5 Challenges of Records Management Practices at the PRMS**

**Inaccessibility of the records**

The sensitivity of records such as, medical records has brought several challenges to managing institutions. The commonest relates to safety and security, access and storage. Organizations which use primarily manual based practices experience challenges as safety and security of records access and storage problems. Access challenges may be experienced by both users and custodians that sometimes cause conflict of ownership and right of access to such sensitive records.
Insecurity of the system
The safety and security of records management system is a challenge to the personnel in-charge of records. Nicholson (1996) revealed that there were numerous instances where important documents and notes were not kept in secure conditions. When records are not properly managed, without proper security measures, they can be misused, misplaced and misfiled which may lead to possible violations of privacy and confidentiality of records.

Table 8: Challenges of Records Management Practices

<table>
<thead>
<tr>
<th>STATEMENTS</th>
<th>D</th>
<th>NS</th>
<th>A</th>
<th>SA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Accessing to records is another challenge that users and custodians face</td>
<td>(n)</td>
<td>(n) %</td>
<td>(n) %</td>
<td>(n) %</td>
</tr>
<tr>
<td>Record without proper security measures can be misused</td>
<td>14</td>
<td>0 0</td>
<td>1 7.1</td>
<td>1 7.1</td>
</tr>
</tbody>
</table>

Source: Field Data, (2018)

Respondents were asked whether accessing to records is another challenge that users and custodians face on daily basis the response was on strongly agreed, agreed, disagree and strongly disagree. The result in the above table indicates that 64.3% and 28.6% respondents strongly agreed and agreed that access to records is a challenge to records management practices respectively. While 42.9% and 21.4% strongly disagreed and disagreed with the statement. This means that access to records is a challenge to records management practices in PRMS.

When asked whether safety and security of records is a challenge to personnel in-charge of records, majority of them agreed a response rate of 85.7% of respondents agreed that indeed
security is a challenge in PRMS. This implies that safety and security of records is a challenge to personnel in-charge of records at parliamentary section in Uganda.

4.6 Solutions for Effective Records Management Practices at PRMS

Technological Compliance Solutions
Technological compliance solutions are some of the measures that have been adopted to safeguard electronic records. One such technological compliance solution is data encryption, whereby Internet Transfer Protocols are managed, in order to limit access to records. In this case, the activities concerning electronic records are tracked to identify who received disclosed data. Another way of safeguarding electronic records is through the use of biometrics (e.g. fingerprint ID recognition) to secure access to computers on networks and information storage devices (McClanahan, 2013).

Use of a computer based records management Practices
A viable solution is use of a computer based records management Practices, which comprises an information filter for assuring that record data units offered to the Practices for storage are complete and not redundant. These record data units may be electronic in nature, scanned from paper, digitally formed from audio, video or otherwise formed as digital data information media, an objective of the disclosed Practices being to eliminate paper or microform record keeping (Jobs, 2016). For records management to be effective and successful it should be based on certain principles and fundamentals such as data retrievals and data safety.

Exploring legal and regulatory framework
According to Hare and McLeod (2012), it is explored that a legal and regulatory framework is a key to strengthening records management practices. Where by authorization should normally be obtained through a formal approval process and derived from a law, ordinance, regulation or policy. Hare Catherine and McLeod Julie, further say that environment has resulted from the development of ICTs.

They further suggest that across all organizations, managing records effectively is not only a way of doing business effectively, but also a means of doing business more that their competitors. In
addition, they emphasize that there is need to understand and identify the role of each record in relation to the business process which it documents and its value. Thus ensuring there management appropriately (Hare & McLeod, 2006).

Establishing ongoing programmes for training in managing records
According to ISO (2001), as explained by Kalusopa and Ngulube. organizations should establish ongoing programmes for training in managing records and that the effective management of records requires that there are procedures for the timely disposal of records that organizations no longer need to support current business or those that they do not need to retain for legacy purposes (Kalusopa&Ngulube, 2012). In addition, it was highlighted that the world over, sound management of records, whether electronic or paper, has increasingly become a topical issue (Moloi&Mutula, 2007).

Recognizing this multi-format reality of paper and electronic records
This is the key first step to properly managing the hybrid environment since a record is a record regardless of the format it takes. In the hybrid world, every file may exist in both paper and electronic formats (Chell, 2016).

Establish universal controls over the entire lifecycle of a record, regardless of format. These controls include a records classification scheme, a retention schedule, indexing structures, and centralized storage (including both physical storage and electronic). Universal controls help you avoid the trap of having one approach for paper records and another for electronic records (Wallace, 2017).

Identifying the official record
In the hybrid environment, it is expected that multiple copies of a record may be circulating in multiple formats at any given time. In this situation it is critical that your records management program prescribes which document, in which format, will count as the official record Wamukoya, (2012). Thus laying the groundwork for the timely application of retention schedules and other management activities (Wamukoya, 2012).
Eliminating non records
This is seen as knowing which document constitutes the official record also makes it much easier to reduce overall document volumes (Stewart, and Melesco 2002)). The reality of the hybrid environment is that document volumes are on the rise, so it is essential to take regular steps to remove convenience copies and other unneeded records (Cowling, 2013).

Considering the conversion options carefully
Cowling, (2013) further argues that, in many jurisdictions, the law allows for imaged records to take the place of the original paper record. Many organizations are taking advantage of this to reduce paper volumes through document imaging programs. However, the law also provides very specific criteria under which imaged documents can become the official record. Therefore, before committing

Table 9: The Solutions for effective records management Practices at PRMS

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<tr>
<th>STATEMENTS</th>
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<th>SA</th>
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</thead>
<tbody>
<tr>
<td></td>
<td>(n)</td>
<td>(n)%</td>
<td>(n)</td>
<td>%</td>
</tr>
<tr>
<td>Other way of safeguarding records is through the use of biometrics</td>
<td>14</td>
<td>2</td>
<td>14.3</td>
<td>4</td>
</tr>
<tr>
<td>Records management to be effective and successful it should be based on best training principles and fundamentals</td>
<td>14</td>
<td>2</td>
<td>14.3</td>
<td>4</td>
</tr>
<tr>
<td>The information desired should be available when needed in the Shortest possible period of time</td>
<td>14</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

Source; primary data, (2018)
Respondents were asked whether parliament should try to use computer based records management Practices like encryption, the same number disagreed as well as those who were not sure representing 35.7%, 4 of them strongly disagreed (28.6%), while none of them either agreed or strongly agreed with the statement.

When asked whether another way of safeguarding records is through the use of biometrics. 5 respondents strongly agreed (35.7%), 4 of them were not sure about it representing 28.6%, 3 agreed (21.4%), while none of them strongly disagreed with the above statement. This implies that safeguarding records could be enhanced through the use of biometrics.

On whether, parliament should try to use computer based records management Practices like encryption, 5 of them were not sure representing 35.7% as those who disagreed, 4 respondents indicated that it is one way of increasing records management (28.6%), while none strongly agreed with the above statement.

Respondents were asked whether for records management to be effective and successful it should be based on best training principles and fundamentals, majority strongly agreed with 35.7% response rate, 4 of them were not sure about it (28.6%), while 3 simply agreed that for records management to be effective and successful it should be based on
CHAPTER FIVE
SUMMARY, CONCLUSION AND RECOMMENDATION OF THE STUDY

5.0 Introduction
This chapter presents the summary, conclusion and recommendations basing on the findings from literature reviewed with the view of assessing the records management Practices at Parliamentary Records Management Service.

5.1 Discussion of Findings
The finding revealed that majority of respondents that participated in the study were 35.7% (30-39 years), 35.7% (40-49yrs), 20-29 (28.6%) and 0 % consisted of those of 50 yrs and above respectively. The results consequently imply that majority of the respondents were between 330-39 years (35.7%) and 40-49 years (35.7%) was a suitable age bracket to provide basic information about the challenges and factors for effective records management Practices at the Parliamentary Records Management Service in Uganda.

The studies observed that had other qualification constituted of the highest percentage with 35.7% of the total respondents involved the study of factors and challenge that in records management Practices at the Parliamentary Records Management Service in Uganda. While degree holder formed up 28.6 %, 21.4% for the master's holders and 14.3% constituted of respondents with diploma. This implies that at least majority of the respondents in this study were educated enough and informed about the parliamentary records management services in Uganda.

In the study findings it was revealed that most of the respondents (92.9%) had worked with the parliamentary records management services in Uganda for at least five years. The study therefore implied that the parliamentary records management service in Uganda is comprised of employees who have enough experience in records management.

Finally the study revealed that majority of the people employed in the parliamentary records management services in Uganda were interns and office assistant dispatch drivers each representing 42.9% of the total response rate respectively. These results signify thatmajority of
the employees in these positions were informed enough about the records management Practices at the parliamentary records management service in Uganda.

5.2 Summary of findings

5.2.1 Finding on the types of records at Parliamentary Records Management Service

From a several dialogues held with the respondents at Parliamentary Records Management Service it was realized that financial records are those records that document financial transactions that have been carried out in the department relating to department activities. They further stressed that these were specially generated by the accounts department and they include cashbooks, payment vouchers, pool voucher, petty cashbook, cash flow statements and many more.

The interviewees indicated that administrative records these were records/received in the company as a result of administrative functions and these included: Programmes organised by the parliament, board meetings, seminars/ workshops or conferences organised by the parliament, visits and tours done by the parliament members.

The interviewees indicated that the personnel records mainly concern all employees at the parliament. These records have to do with the job descriptions of the workers, staff performance, recruitment of the workers, work plans of the parliament, postings and transfers of the workers, promotions amongst workers, pensions to the workers and termination of employment.

5.2.2 Findings on the importance of the Records Management Practices

The respondents were asked whether employees require information in order to carry out their official duties regarding records management at the Parliamentary section of Uganda, 11 of the total respondents strongly agreed representing 78.6% response rate, 3 of them simply agreed representing 21.4% response rate, while none of the respondents indicated either whether they strongly disagree, not sure or disagree with the notion that employees require information in order to carry out their official duties. When asked whether records also act as raw materials for research in various disciplines, 9 of the respondents strongly agreed with 64.3% rate, 4 of them simply agreed representing 28.6%, while one respondent indicated that indeed is not sure (1.7%)
about the statement with none indicating about strongly disagreeing or disagreeing with the above notion.

The study noted that this means that majority of the respondent agreed with the notion which implies that when records are fully availed, they act as raw materials for research in various disciplines in Uganda.

The study revealed that records can be used as an information resource, 11 of the respondents strongly agreed (78.6%), 2 agreed with 14.3%, only one disagreed (7.1) while none indicated whether they disagreed or not sure with the notion representing 0 % response rate. Therefore, the records when well-managed, they are major sources of organizational information. On whether records management facilitates the free flow of records, 9 of the respondents strongly agreed with 64.3%, 4 of them merely agreed representing with 28.6%, one of them was not sure (7.1%) while none revealed whether they strongly disagree or disagree with the notion.

The study observed that they were not sure with the statement. Additionally, when asked whether records act as the primary source of materials for information, majority strongly agreed with 85.7% response rate, only 2 simply agreed representing 14.3% response rate, and among all respondents, none indicated whether they strongly disagree, disagree or even indicating that not to be sure with the statement. In addition, when asked whether records help to remind organizations of their previous activities, majority respondents indicated that they were not sure representing a response rate of 35.7%, the same number of the respondents who agreed matched with those who strongly disagreed with the statement representing 21.4% response rate respectively, and only one strongly agreed constituting 7.1% rate.
Finally the findings revealed that records hardly remind organizations of their previous activities during the record management Practices. When respondents were asked whether records need to be recognized as vital assets, same number of respondents agreed as a similar number disagreed representing 35.7% response rate, 3 strongly agreed constituting 21.4%, and only one respondent was not sure (7.1%) while none of them disagreed with the notion. This implies that a similar number of employees agree that records need to be recognized as vital assets as of those who disagree with the statement.

5.2.3 Findings on challenges of Records Management Practices

The findings revealed that accessing to records is another challenge that users and custodians face, according to findings shows that 9 respondents strongly agreed representing 64.3%, 4 of them simply agreed were in line with the statement (28.6%), one disagreed (7.1%) while none of them strongly disagreed with the statement. When asked whether the safety and security of records is a challenge to personnel in-charge of records, majority of them agreed a response rate of 42.9%, 3 respondents were not sure (21.4%), only 2 strongly agreed with 14.3%, and none strongly disagreed with the statement. This implies that safety and security of records is a challenge to personnel in-charge of records at parliamentary section in Uganda. On whether, records without proper security measures, they can be misused, 12 respondents strongly agreed constituting 85.7% response rate, same number of respondents indicated agree and not sure responses representing 7.1 %, while none of them strongly disagreed or agreed with the statement. In other words, without proper security measures, records can be misused at the parliamentary section in Uganda.

the study noted that the confidentiality of the Parliamentary Records in Uganda are threatened in different ways, the finding s observed that 7 of the respondent strongly agreed with 50.0%, 6 agreed contributing 42.9%, one respondent disagreed with the statement while one of the respondents indicated whether they seriously disagree or totally not sure with the statement. In other words, the confidentiality of records at the Parliamentary section of Uganda is highly at a high risk. When asked whether the handling of electronic records necessitates one having technical knowledge at the Parliamentary section in Uganda, same figures matched among the respondents who strongly agreed with those who simply agreed representing 35.7% (5
respondents), 4 of them were not sure, while none of the respondents indicated whether they strongly disagreed or merely disagree with the statement. Therefore, handling of records is seriously challenged by lack of technical knowledge among people employed in the records management Practices.

Finally it was revealed that security lapses might compromise the privacy and confidentiality of records during records management, the same number of respondents disagreed as those who were not sure constituting 35.7% response rate, while 4 of them strongly disagreed (28.6%), strongly agreed representing 57.1%, 6 agreed contributing 42.9%, while none of the respondents indicated whether they disagreed, not sure or strongly disagreed with the notion, while none of them either agreed or strongly agreed with the notion. When asked whether authenticated records and its content is fixed over time, 5 of the respondents strongly agreed representing 35.7%, 4 indicated that they are not sure whether authenticated records and its content is fixed over time, 3 simply agreed with the notion contributing 21.4%, only 2 disagreed (14.3%), while none of them revealed whether they strongly disagreed with the above statement. Thus implying that majority contend that authenticated records and its content is fixed over time at the parliamentary Records Management Services in Uganda.

5.2.3 Solution for Effective Records Management Practices at PRMS
Respondents were asked whether parliament should try to use computer based records management Practices like encryption, the same number disagreed as well as those who were not sure representing 35.7%, 4 of them strongly disagreed (28.6%), while none of them either agreed or strongly agreed with the statement. When asked whether another way of safeguarding records is through the use of biometrics, 5 respondents strongly agreed (35.7%), 4 of them were not sure about it representing 28.6%, 3 agreed (21.4%), while none of them strongly disagreed with the above statement. This implies that safeguarding records could be enhanced through the use of biometrics. On whether, parliament should try to use computer based records management Practices like encryption, 5 of them were not sure representing 35.7% as those who disagreed, 4 respondents indicated that it is one way of increasing records management (28.6%), while none strongly agreed with the above statement.
Respondents were asked whether for records management to be effective and successful it should be based on best training principles and fundamentals, majority strongly agreed with 35.7% response rate, 4 of them were not sure about it (28.6%), while 3 simply agreed that for records management to be effective and successful it should be based on best training principles and fundamentals constituting 21.4%, and none of them either strongly disagreed or disagreed with the statement presented. This implies that best training principles and fundamentals should be made to effectively manage records. When asked whether the information desired should be available when needed in the shortest possible period of time, 13 of the respondents strongly agreed with a 92.9% response rate, only one agreed constituting 7.1% response rate, while none of them strongly disagreed, disagreed or indicated not to be sure with the notion. Therefore, this implies that information should be available when needed in the shortest possible period of time in the parliamentary services in Uganda.

5.3 Managerial and Policy Recommendations

The researcher recommends the following to the department of Works: The Parliamentary Records Management Services department must come up with a departmental records management policy or a records management procedural manual or some sort of standards to manage records so as to ensure uniformity in the management of records within the department.

The Parliamentary Records Management Service Department should appoint a person with a Records Management qualification to revive the records departmental office for effective utilization. Also, other officials from different departments should be trained on the need to know the importance of records management so that they become aware of the value of records to an organization and learn different forms of records in different media.

The Parliamentary Records Management Service department should have a records preservation plan, a vital records protection plan and a disaster preparedness plan.

The Parliamentary Records Management Service departments ‘should appraise and create retention schedules or disposal schedules regularly so that the disposal of records becomes a routine which is systematic and not an ad-hoc procedure. The creation of records disposal
schedules would help to solve the unnecessary keeping of continued values (Archives) and obsolete records in offices creating room for current records for storage safety and security.

Parliamentary Records Management Service office should be operationalized so as to make all records of the department to be centralized in the records office for purpose of proper organization, classification and arrangement by the trained records professionals.

5.4 Conclusion
The Parliamentary Records Management Service department has been working to streamline records management procedures to avert unnecessary lose, access, misplacements, misuse and inadequate security measure which is challenging to personnel in-charge of records at the Parliamentary records management service department which may lead to possible violations of privacy and confidentiality of individual records among others. This research also discovered that there were numerous instances where important documents were not secure and safe, this was because some records were not properly managed a concern that threatened Parliamentary records management service work

5.5 Areas of further research
The effect of contribution of records management towards an organisation competitive performance
The effect of records management on service delivery in public institutions
Analysis of records management and organizational performance
REFERENCES


Ssenabulya, S. (2013) Professional Records and Archives Management: For practitioners, Students and records users, Kampala.


APPENDIX I: Proposed Work plan

<table>
<thead>
<tr>
<th>TIME (MONTH) 2018</th>
<th>ACTIVITY</th>
</tr>
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<tr>
<td></td>
<td>Document review and proposal writing</td>
</tr>
<tr>
<td></td>
<td>Proposal Submission</td>
</tr>
<tr>
<td></td>
<td>Approval of Proposal</td>
</tr>
<tr>
<td></td>
<td>Collecting data</td>
</tr>
<tr>
<td></td>
<td>Reviewing and analyzing data</td>
</tr>
<tr>
<td></td>
<td>Report writing</td>
</tr>
<tr>
<td></td>
<td>Report submission to the University</td>
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# APPENDIX II: PROPOSED BUDGET

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<th>Description</th>
<th>Unit Cost</th>
<th>Number</th>
<th>Cost</th>
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<tbody>
<tr>
<td>Data Collection</td>
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<td>1</td>
<td>550,000</td>
</tr>
<tr>
<td>Transport fare and fuel</td>
<td>30,000</td>
<td>5 (trips)</td>
<td>150,000</td>
</tr>
<tr>
<td>Data Processing and Analysis</td>
<td>300,000</td>
<td>1</td>
<td>300,000</td>
</tr>
<tr>
<td>Typing, Photocopying and binding</td>
<td>50,000</td>
<td>(booklets)</td>
<td>250,000</td>
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<tr>
<td><strong>Total cost</strong></td>
<td></td>
<td></td>
<td><strong>1,250,000</strong></td>
</tr>
</tbody>
</table>
APPENDIX: III: QUESTIONNAIRE
ASSESSMENT OF RECORDS MANAGEMENT PRACTICES
AT PARLIAMENTARY RECORDS MANAGEMENT SERVICE

INTRODUCTION
Dear respondent,

I am a University student conducting an academic research on Assessment of Records Management Practices at Parliamentary Records Management Service as a requirement for award of Bachelor of Records and Archives Management of Makerere University. I kindly request you to respond to this questionnaire. The responses you provide will be of great importance and maximum confidentiality will be observed.

SECTION A: BACKGROUND INFORMATION (Please tick the appropriate box)

a) Age of respondent

<table>
<thead>
<tr>
<th>20 – 29 years</th>
<th>30 – 39 years</th>
<th>40 – 49 years</th>
<th>50 years and above</th>
</tr>
</thead>
</table>

b) Level of education attained

<table>
<thead>
<tr>
<th>Secondary</th>
<th>Diploma</th>
<th>Degree</th>
<th>Masters</th>
<th>Other (specify)</th>
</tr>
</thead>
</table>

|   |         |        |         |                  |

|   |         |        |         |                  |

c) Length of time you have been working in this organization

<table>
<thead>
<tr>
<th>Less than a year</th>
<th>One to five years</th>
<th>More than 5 years</th>
</tr>
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|   |         |        |                      |
|------------------|-------------------|-------------------|

|   |         |        |                      |

|   |         |        |                      |

51
d) Title held in an organization

<table>
<thead>
<tr>
<th>Principal Librarian (Records)</th>
<th>Senior Librarian (Records)</th>
<th>Librarian (Records)</th>
<th>Intern</th>
<th>Others</th>
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</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Office Assistant Mail Dispatch Driver</td>
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</table>

SECTION B: IMPORTANCE OF THE RECORDS MANAGEMENT PRACTICES AT PARLIAMENTARY RECORDS MANAGEMENT SERVICE

This section deals with the importance of the records management Practices at Parliamentary Records Management Service. Please indicate the level of agreement with the statements. Kindly tick the appropriate box to indicate the level of agreement with the statement. 1=strongly disagree, 2=disagree, 3=Not Sure, 4=agree, 5= strongly agree.

<table>
<thead>
<tr>
<th>No</th>
<th>Statement</th>
<th>5</th>
<th>4</th>
<th>3</th>
<th>2</th>
<th>1</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Employees require information in order to carry out their official duties</td>
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<tr>
<td>2.</td>
<td>Records also act as raw materials for research in various disciplines</td>
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<td>3.</td>
<td>Records can be used as an information resource</td>
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<td>4.</td>
<td>Records management facilitates the free flow of records</td>
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<td>5.</td>
<td>Records are important for an organization’s</td>
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<td></td>
<td><strong>administrative function</strong></td>
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<tr>
<td>6.</td>
<td>Records acts as long-term documentary</td>
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<td>7.</td>
<td>Records provide evidence of Business transactions</td>
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<td>8.</td>
<td>Records acts as the primary source of materials for information</td>
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<td>9.</td>
<td>Records helps to remind organizations of their previous activities</td>
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<td>10.</td>
<td>Records need to be recognized as vital assets</td>
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</table>
## SECTION C: CHALLENGES OF RECORDS MANAGEMENT PRACTICESES

This section deals with the challenges faced with management records at Parliamentary Records Management Service. Please indicate the level of agreement with the statements as they relate to the subject. Kindly tick the appropriate box to indicate the level of agreement with the statement. 1=strongly disagree, 2=disagree, 3=Not Sure, 4=agree, 5= strongly agree.

<table>
<thead>
<tr>
<th>Statement</th>
<th>5</th>
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<tbody>
<tr>
<td>Accessing to records is another challenge that users and custodians face</td>
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<td>The safety and security of records is a challenge to personnel in-charge of records</td>
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<tr>
<td>Records without proper security measures, they can be misused</td>
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<tr>
<td>The confidentiality of records is threatened in many different ways</td>
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<tr>
<td>Handling of electronic records needs technical knowledge</td>
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<tr>
<td>Security lapses might compromise the privacy and confidentiality of records</td>
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<tr>
<td>Records that are authentic its content is fixed over time</td>
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</table>
SECTION D: SOLUTIONS FOR EFFECTIVE RECORDS MANAGEMENT PRACTICES AT PARLIAMENTARY RECORDS MANAGEMENT SERVICE

This section deals with proposing solutions for effective records management practices at Parliamentary Records Management Service. Kindly tick the appropriate box to indicate the level of agreement with the statement. 1=strongly disagree, 2=disagree, 3=Not Sure, 4=agree, 5=strongly agree.

<table>
<thead>
<tr>
<th>Statement</th>
<th>4</th>
<th>3</th>
<th>2</th>
<th>1</th>
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</thead>
<tbody>
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<td>19  The Parliamentary Records Management Service should adopt the technological compliance solutions to safeguard electronic records</td>
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<td>20  Another way of safeguarding records is through the use of biometrics</td>
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<td>21  Parliament should try to use computer based records management Practices like encryption</td>
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<tr>
<td>22  Records management to be effective and successful it should be based on best training principles and fundamentals</td>
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<tr>
<td>23  The information desired should be available when needed in the shortest possible period of time</td>
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</tbody>
</table>

Thank You for Your Time