

**PRESERVATION AND CONSERVATION OF TEACHERS' RECORDS AT MBALE  
LOCAL GOVERNMENT**

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**A DISSERTATION SUBMITTED TO DEPARTMENT OF RECORDS AND ARCHIVES  
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AWARD OF THE DEGREE OF BACHELOR OF RECORDS AND ARCHIVES  
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**DECLARATION**

I WAMAKALE CALVIN hereby declare that this report entitled preservation and conservation of teacher's records at Mbale Local Government is my original work carried out in partial fulfillment of the requirement for the award of the Degree of Bachelors of Record and Archives Management under the guidance and supervision of Mr. Fredrick Kalyowa. The matter embodied has never been submitted for any academic award to any University or Higher Institution of learning.



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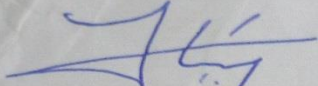
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APPROVAL

This is to certify that this research report entitled *preservation and conservation of teacher's records at Mbale Local Government* by Wamakale Calvin has been submitted for evaluation for the attainment of the Degree of Bachelor of Records and Archives Management of Makerere University under my guidance and supervision.



MR. FREDRICK KALYOWA

SUPERVISOR.

14<sup>th</sup> / 07 / 2018

DATE.

## DEDICATION.

This report is dedicated to all my family especially my dad Mr.Wamakale Deo,my mother Mrs.Wamakale Jane,my sisters Nabanoba Hope,Namwalye Sharon,Tendo Praise And My Brother Wamakale Victor,my uncles and aunties plus all my cousins for the support they offered to me while undertaking the writing of this report and the course at large.

I also dedicate this report to my friends Mugerwa Ushavin,Tenywa Allan,Lubulanda Brain,Buluma Lawrence and Musisi Henry who have contributed towards achieving my goals while undertaking the dissertation in various ways.

Lastly, I dedicate this report to my supervisor, Mr Fredrick kalyowa for without him, I would not have accomplished my targets.

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## **LIST OF ACRONYMS.**

|       |                                               |
|-------|-----------------------------------------------|
| Bram  | Bachelor Of Records And Achieves Management   |
| COCIS | College Of Computing And Information Sciences |
| COM   | Computer Output Microforms                    |
| ISO   | International Standard Organization.          |
| MLG   | Mbale Local Government                        |

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## ABSTRACT

The study preservation and conservation of teacher's records was carried out at Mbale Local Government. Mbale District Local Government is a government aided organization which was formed in 1993. It is located at Maluku drive 2km away from Mbale town. The study was aimed at discovering the four objectives; to assess the activities carried out in the preservation and conservation of teachers' records at the Mbale Local Government; to examine the causes of deterioration of teachers' records at the Mbale Local Government; to assess the challenges faced in the preservation and conservation of teachers' records at the Mbale Local Government; to propose strategies to improve the preservation and conservation of teachers' records at the Mbale Local Government.

The study used a descriptive analysis with the help of tables which were used to make meaning of the data collected. A sample population of 12 respondents was used including records staff, teachers and administrators, who were selected by means of purposive and simple random sampling.

The study revealed that paper based records were the most used for its user friendly, stable technology, durable and above all acceptable nature in Ugandan context. The study discovered that these records all are managed and stored under the same roof and same management team. Partially, principles of provenance and original order are applied to some categories of teachers' records like administrative and legal records, while considering them to be more essential and regularly used.

Additionally, numerous challenges of records management like limited space, limited equipment and inadequate funds seemed complicate the application of proper records management at Mbale Local Government. The major solution to the problems and challenges faced included acquisition of large working space and allocation of adequate funds. With wide registry, records center and teachers' records Centre, proper and systematic management of teacher's records can be achieved. Funding to acquire storage space, records management equipment and facilitate staff would help improvement of the current situation and general records management in the institution.

## **CHAPTER ONE: INTRODUCTION.**

### **1.0 Introduction**

This chapter presents the background of the study, background of the organization, problem statement, purpose of the study, objectives of the study, research questions, and scope of the study, and significance of the study.

### **1.1 Background to the study**

Preservation has always been an area of principal focus in the teachers' records and records management sectors globally, particularly in the Eastern and Southern Africa Regional Branch of the International Council on Teachers' records (ESARBICA). Since Government is the largest producer and user of information, access and preservation of government records should be granted ultimate attention (Blunt, 1995). Garaba (2010) emphasizes that there is a symbiotic relationship between conservation and preservation. This dependent relationship is further confirmed by Mnjama (2008), who emphasizes that "access to teachers' records can never be guaranteed unless proper measures have been put in place to safeguard their preservation".

Preservation and conservation of Mbale Local Government central registry materials is an exercise that every institution or organization should cultivate in order to extend the life span of information materials. Most of the print information materials or records are made from organic raw materials largely plants and animal skin. This exposes them to decay and makes them vulnerable to their environmental conditions; particularly the effects of pollutants and biological pests such as fungi, insects and rodents. Information materials are vital sources of information and as such they are made to be used, read and studied. This requires the materials to be accessible to users, thus subjecting them to handling. Any form of use will accelerate the deterioration of the item and, ultimately, its destruction if intervention to preserve it does not occur (Rosenberg, 1995). Records managers, librarians, archivists in various institutions are responsible in making sure the collections are maintained in a condition appropriate to their use and their intrinsic value. Since the resources are not normally available to enable all information materials to be preserved for posterity, it is necessary for record managers and archivists to determine policies for the preservation and conservation of their collections appropriate to the aims and objectives of the institution, the needs of users and the value of the individual items. Therefore, the knowledge of

the causes of deterioration of information materials or records is essential for all records managers and archivists including others who are concerned about the preservation and conservation of information stored in books and non-books formats.

Preservation of records should be integrated in the overall policies of organizations like teachers' records and registries (Ramokate, 2006). However, it is a general norm in the African states to give more priority to records management and access to information over preservation which is a practice contrary to the recommendation of the international records management standard (ISO 15489-1) and other records and teachers' records management program development models.

### 1.1.2 Background of the Mbale Local Government.

Mbale District Local Government is a government aided organization which was formed in 1993. It is located at Maluku drive 2km away from Mbale town. The statute provided for principle of non-subordinate to prevent high level government for dominating lower ones. The powers of the local government were further expanded in 1995 constitution and elaborated on in the local; government act in 1997(Local Government Act) and the public service act 1969. It was later opened on 19<sup>th</sup> Jan 2001 by His Excellence Yoweri. K. Museveni the president of the Republic of Uganda. The central registry holds most of the crucial records of local government and it has four staff headed by the records manager, two assistant records managers and office messenger.

## **1.2 Problem statement**

Teacher records are a very important part of the local government. They are created and made available for use in decision making, fiscal purposes, historical and legal issues concerning schools and teachers of Mbale District. Preservation and conservation is vital and a continuing activity for any organization for the purposes of records management for future use. However there are a number of preservation and conservation challenges faced by records officers such as the challenges of low budget, poor storage, poor handling, lack of skills, loss of valuable records, failure to transfer of Teachers' records after their retention periods have elapsed and bulky in number of records because they are in physical form making them manually unmanageable. This therefore makes the teacher records prone to losses, deterioration and theft due to the failure to manage the records. The rationale for the study was therefore to come up with initiatives to

improve the conservation and preservation of teachers' records in the central registry in order to prolong the life of these records for future use with in Mbale local government.

### **1.3 Purpose of the study**

The purpose of this study was to assess the preservation and conservation of teachers' records at Mbale Local Government in central registry.

### **1.4 Objectives of the study**

The study objectives were to:

- i. Identify the activities carried out in the preservation and conservation of teachers' records at Mbale Local Government
- ii. Examine the causes of deterioration of teachers' records at Mbale Local Government
- iii. Assess the challenges faced in the preservation and conservation of teachers' records at Mbale Local Government
- iv. Propose strategies to improve the preservation and conservation of teachers' records at Mbale Local Government

### **1.5 Research questions**

The following research questions guided the study:

- i. What are the activities carried out in the preservation and conservation of teachers' records at the Mbale Local Government?
- ii. What causes the deterioration of teachers' Records at the Mbale Local Government?
- iii. Are there any challenges faced in the preservation and conservation of teachers' records at the Mbale Local Government?
- iv. What strategies can improve Preservation and Conservation of teachers' records at Mbale Local Government?

### **1.6 Scope of the study**

#### **1.6.1 Contextual scope**

The study contextually covered the activities carried out in preservation and conservation of records. The methods of record preservation and conservation were also highlighted in the study. The factors that cause the deterioration of records were highlighted. The study also looked at the

challenges faced in preservation and conservation of records and then suggestions of possible remedies/solutions were recommended in the study report.

### **1.6.2 Geographical scope**

The study was carried out in the Mbale local government central registry in Mbale district which is in the eastern region of the country Uganda. The workers in the Mbale local government office were probed for the findings in the study.

### **1.7 Significance of the study**

This study will help provide possible practical solutions and recommendations for best practices in order to ensure that the vital records are maintained for as long as they are needed. It thus gives the local government measures and methods for preserving and conserving their records for long time usage. It will also help solve cases of loss and misplacement of teachers' records at Mbale Local Government is due to reduce once the recommendations and solutions in this report are put in place. This thus means that Mbale teachers can with ease get access to their records whenever they need it for whichever reasons such as claiming for pay, good working conditions and discipline management.

The study will also help researchers. As a yet to graduate student, it's a requirement that the student submits an approved report on the topic "assessment of the preservation and conservation of teachers' records at Mbale Local Government" in order to fulfill the requirements for graduation. Thus this study shall be a stepping stone for the student to graduate but also provide the researcher with practical knowledge on research, project management and technical skills of records preservation and conservation.

## DEFINITION OF OPERATION TERMS

**Conservation:** Refers to Specific practices taken to slow deterioration and prolong the life of Mbale local government materials by directly intervening in its physical or chemical make-up (Shameendah, 2011).

**Preservation,** The ISO 15489 -1 (2001) defines preservation as the “the processes and operations involved in ensuring the technical and intellectual survival of authentic records through time”. According to Shameendah (2011

**A record;** A record is any document, device, or item, regardless of physical form or characteristic, created or received by, or coming under the jurisdiction of any organization/institution which documents the organization, functions, policies, decisions, procedures, operations, and/or other activities of the office.

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

In conclusion this chapter was partly about the introduction of the topic which was preservation and conservation of teacher’s records at Mbale local government, the background of Mbale local government, problem statement, purpose of the study, objectives of the study, research questions, and scope of the study and significance of the study. The next chapter presents the literature review related to preservation and conservation.



## **CHAPTER TWO: LITERATURE REVIEW**

### **2.0 Introduction**

This chapter presents related literatures on the preservation and conservation of teachers' records. Different literatures were looked at according to the research objectives of the study in order to ascertain the research gap.

### **2.1.Preservation and conservation of teachers' records**

#### **2.1.1. The records life cycle**

According to kalusopa (2011), the records life cycle model portrays the management of records as involving different stages and defines records management responsibilities. chaterera (2013) believes that, the records life cycle model is a foundation for creating an effective records management program, because it becomes the basis of the development of appropriate tools, systems and procedures required to appropriately manage each phase of the life of a record. The records life cycle model passes through three stages, namely the active, semi-active and inactive stages (kemoni, 2007). It is therefore important to ensure that proper preservation measures of the records are applied throughout these stages.

#### **2.1.2. Creation and receipt**

Records are an outcome of daily business conduct as evidence of business transactions and activities (Nqoba, 2015). The development of a proper file plan that represents the functions and activities of an organization is of prime importance (MCM 2015). The file plan ensures that as records are generated and received in an organization they are properly classified; it further facilitates easy management of records by applying similar retention periods to the same group of records (MCM 2015). During the creation stage, records are actively used in the conduct of daily business operations. Records management personnel are actively involved at this stage, ensuring that correspondence is placed in the correct files. The media used for recording information during the creation stage is of great concern.

Maintenance and Use; Once records have been created or received by an organization, they are distributed to the relevant officers for action and kept either in the offices, or central registry for

reference, maintenance and use. During the maintenance and use stage, records are actively used for decision-making and in the process there is a lot of handling and movement of the records involved. This is where training is required not only for the Registry Officers but, for the action officers who require these records on a regular basis in pursuance of their daily activities (Nqoba, 2015).

The building in which the records are stored greatly influences the preservation and storage of the materials. It is important to store records in an environmentally controlled building, where temperature and relative humidity levels are constantly monitored. Other factors, such as biological agents, need to be brought under control, since they may negatively impact the preservation of records, in various ways (Nsibirwa 2007). According to Tsabedze (2012), in order to ensure proper maintenance of records, all the information regarding the records storage and retrieval must be gathered and proper strategies implemented before the records are created, since this information will determine the way the records will be captured in the various records management systems, whether manual or automated. Nsibirwa (2007) stresses the need for Records Assistants and users to understand the importance of properly handling records, particularly paper-based records, since they require support and protection when moved.

### **2.1.3 Disposal.**

The retention period of records in a public office depends on the requirement of such records and the person tasked with the responsibility of managing these records. Records managers are trained to manage records while they are actively used. Records are managed in-line with retention periods outlined in the organization's retention schedule. The retention schedule should clearly stipulate when to destroy records that no longer have value and transfer to the teachers' records that have been appraised to have some value attached to them (Carter 2006).

According to Tsabedze (2012), once the primary value of records to an organization lapses, then they are regarded as inactive, hence the requirement to destroy ephemeral records that take up valuable office space, and to transfer valuable records to the teachers' records. It is critical to transfer them to the teachers' records, since many records can be illegally destroyed or inappropriately stored, exposing records to theft and unfavorable storage conditions that may result in their deterioration and subsequent loss of vital public information (Tsabedze 2012).

## **2.2 Asses the activities carried out in preservation and conservation.**

### **2.2.1. Reformatting and copying**

The original items are copied to produce a version that can be used instead of the originals has been employed for some time in teachers' records and records centers as a way of addressing the conflict between preservation and access. These Reformatting and copying activities include photocopying, microfilming and digitizing (Adcock. n.d). Although reformatting may preserve the content of a document, it does not always save the actual object. This partly explains the wide acceptance of the definition of preservation as prolonging the life of information in documents, rather than the documents themselves (Kenney 1990; Ritzenthaler 1993). The choice of the reformatting strategies has a profound impact on the way that archival institutions manage and deliver information.

### **2.2.2 Photocopying of teachers' records**

Photocopying is a photographic process of reproducing copies of documents. The major methods of photocopying include silver halide and oxalic (photo staving and microfilming); plan (architects' drawings and engineers' plans); transfer; and thermos graphic and electrostatic (xerography) (Mason 1968; Ngulube 2002). The process is popularly almost synonymous with photocopying. The technique was first demonstrated by Chester. F. Carlson a few decades ago. Photocopying in most archival institutions in Sub Saharan Africa is primarily done for user convenience (Ngulube 2002). Photocopying is done to get around the task of transcribing teachers' records. Some researchers order photocopies to avoid the expense of travelling and the time involved. It is also done to make some additions to the collections. Although, photocopying is faster and cheaper than microfilming and digitization, it exposes the paper to agents of deterioration such as heat and light.

The other problem associated with photocopying is that only flat documents can be easily copied. While, paper is cheaper than film, photocopies lack permanence if they are not done on acid free paper using a machine that produces a thermoplastic image by heat and pressure fusing through electrostatic charges (Bellardo & Bellardo, 1992; Gwinn 1987). Therefore, photocopying is not generally considered as a preservation strategy. It is no wonder that a recent Joint International Federation of Mbale Local Government Associations and Institutions International Council on

Teachers' records (IFLAIICA) Committee on Preservation in Africa (JICP A) survey established that preservation photocopying programmes were nonexistent in Africa (Coates 2000).

### **2.2.3. Digitization**

The debate on the use of digitization technologies is growing in popularity in the archival community because digitization seems to offer excellent prospects for significant benefits for both teachers' records and teachers' records users; but digitization also raises considerable preservation problems. Although there are positive benefits to digitization, particularly in providing remote and enhanced access to information, it is unadvisable to regard it as a panacea for all of the problems of preserving documents (Lehmann 1996). Strictly speaking, relying on digital information does not minimize preservation problems; in effect it only increases them. For instance, digitization may actually encourage demand for access to, and display of some originals, and deepen, rather than alleviate, preservation problems (Astle & Muir 2002).

For all practical purposes, digitization is costly to implement. The costs are in the form of hardware and software, user training requirements, manpower to sustain the system, converting archival materials to machine-readable form and maintenance. At times, huge digital files can also be expensive to store and difficult to transfer. Many digital technology enthusiasts often ignore these cost implications.

Furthermore, the world of electronic information is still at a nascent stage in terms of preserving digital information (Task Force, 1996). The statement still rings true in the context of the developing world where digitization is done in piece-meal fashion. Unlike, the case with microfilm, procedures and standards for digitization are still evolving. In fact, sustainable solutions to digital preservation problems are not yet available (Kuny, 1997). In that regard, digitization should be considered as one of the tools that constitute the preservation toolkit, rather than a complete answer to long-term access to archival documents. In fact, a recent report on the intrinsic value of documents explicitly rejected the use of digital imaging for preservation purposes because of loss of evidential value and permanent accessibility inherent in digital forms (Menne-Haritz & Brubach 1999).

Presently, most preservationists hold the view expressed at the 1995 Libraries Research Group (RLG) Digital Selection Symposium, that "digitization appears to have a preservation role in reducing use of originals but appears not to be suitable for preservation of information that is preserved in no other form" (Ogden, 1996). In fact, the consensus among most American preservation officers is that digitization alone does not constitute preservation (Gertz 1998). The use of microfilm for preservation and digital imaging for improving access, or the hybrid approach advocated by Chapman, Conway and Kenney (1999) has been acknowledged by Menne-Haritz and Brubach (1999) as the only feasible way of benefiting from the relative advantages offered by both technologies. The hybrid approach will make it possible for those readers who find microfilms awkward and unpleasant to work with to have access to digital information.

Accordingly, digitization should be employed to provide the benefits such as remote and multiple access, speed of retrieval, search ability, and high storage densities compared with paper and film. On the other hand, microfilming would take care of the preservation side of things. Essentially, digital conversion should be confined to materials that are in demand, regardless of their condition. Under the present circumstances where standards for digital preservation are not yet established the basic purpose of digitization should be confined to creating reproductions that can be viewed by as many people as possible, and as easily as possible. In that regard, preservation microfilming and digital conversion can overlap to provide access as well as rescue materials that are both endangered and in demand.

Before concluding this subsection, it is noteworthy that the hybrid approach that marries microfilm for preservation and digital imaging for access is still an expensive option. Rather, archival institutions should continue to use microfilm for preservation reformatting and only turn to digitization as a means of enhancing access. In any case, conversion from microfilm to digital formats is possible though very expensive (Chapman, Conway & Kenney 1999).

#### **2.2.4. Microfilming**

Microfilm is a micrographic format in the same classification as aperture cards, computer output microforms (COM), microfiche jackets, sheet film and micro-opaque (Kormedy, 1989). The word "micrographics" should not sound unfamiliar to most archivists and the science of microfilm is certainly not new. Micrographics, a specialized information management technology involved in

the creation and use of microfilm images has been around for more than 150 years (Kuan Wah, 1999). Micrographic formats are collectively referred to as microforms. Microfilming is the most popular microform used in Africa and other archival institutions. Microfilm has developed to become the most effective and reliable tool for preservation reformatting since 1839 when John Benjamin Dancer, the British optical craftsman, invented the technique for micro-reproduction (Kuan, 1999; Stockford, 1996).

Microfilming is a photographic process of producing reduced images on a roll film, which usually require optical assistance to be read, of the intellectual content of documentary materials, following the standards and specifications necessary to provide optimal bibliographic and technical quality (Acland 1993; Gwinn 1987). Thus, the information on a microfilm can be viewed or printed out in hard paper copy. Evolving information and communication technologies can digitize microfilm images for use in the computer environment.

Until digital preservation capabilities can be broadly implemented and shown to be cost-effective, microfilm will remain the primary reformatting strategy for deteriorating paper-based records. Microfilm offers acceptable levels of quality, media longevity, and little machine dependency.

The master negative silver halide microfilm, if properly created and stored according to international standards, boasts a life expectancy of about 500 years (Dalton 1999). The microfilm industry is very mature with a well-established technology and defined standards developed with the cooperation of users and manufacturers, scientists and researchers (Kuny1997; Saffady 2000). The creation of preservation microfilm since the early 1980s has been governed by a well-defined set of international standards that specify the preparation of documents, bibliographic control, the physical composition of the film media, processing techniques, the visual quality of three generations of film, and storage requirements. In other words, metadata standards on microfilming are clearly defined and more widely accepted than those in the electronic environment.

Microfilming, while not the most perfect, has proven to be an effective technology for preserving archival materials vulnerable to damage and loss through handling and poor environmental conditions as well as facilitating shared access to endangered research materials. It can also enable readers in distant locations to gain access to the content of archival materials without actually visiting the teachers' records repositories. It is also worth nothing at, while digital data requires

use of a sophisticated retrieval system to access its treasures, microfilm can be read by the naked eye using only light and magnification. Contrary to Foot's (1994) view microforms are relatively inexpensive to produce and to copy. They are capable of capturing all types of images and can be successfully applied to all documentary materials (Dalton 1999; Saffady 2000).

One key indicator of the continuing relevance of microfilming as a reformatting and preservation strategy is its ongoing support at the international level. For instance, recently the International Meeting on Microform Preservation and Conservation Practices in Southeast Asia on assessing current preservation needs and evaluating past projects, reaffirmed that microform remains the primary reformatting medium for long-term preservation of the contents of Mbale local government, records centers and archival materials, providing that international standards for production and storage are adhered to (Brown 2000). The experts at that meeting also endorsed the fact that emerging new technologies such as digitization may be useful adjuncts for access and image-capturing, but must not be seen as substitutes for preservation on microfilm. It is worth noting that while digital imaging can be used in the United States to enhance access, preservation goals will not be considered met until a microfilm copy or computer output microfilm recording of digital image files has been produced that satisfies national standards for quality and permanence (ANSVAIIM MS23-1998). In a recent study the European Commission on Preservation and Access concluded that microfilm should be used as a basis for preservation programs (European Commission on Preservation and Access 1997).

The strengths of microfilm are clear: saving space, maintaining file integrity, providing security copies of vital records, easing duplication and distribution, easing integration with computer systems (COM), and preserving information (Lowell, 1985). Additionally, there are internationally accepted standards for microfilm. Film also has a proven lifespan of 500 years and can be read in an emergency with nothing more sophisticated than a lens or a handheld viewer. In that regard, preservation microfilming has quietly maintained its status as highly valued and widely practiced preservation reformatting strategy amidst the bells and whistles of the digital revolution (Ogden, 1999).

To a large extent, microfilming has proven to be an effective technology for rescuing brittle paper and for facilitating shared access to endangered research materials. Until feasible solutions to

preserving long-term access to digital documents are developed, microfilming will remain the most appropriate preservation strategy for archivists, especially, in the developing countries where expensive digitization projects are impeded by scarce resources and scant research in digital preservation. Presently, digital conversion seems to be only attractive in terms of enhancing access to documents. Hazen, Horrell & Merrill-Oldham, (1998), and Menne-Haritz & Brubach (1999) acknowledged that the use of microfilm for preservation and digital imaging for improving access, or what Chapman, Conway & Kenney, (1999) called the hybrid approach is the only way of benefiting from the relative advantages offered by both technologies. For that reason, microforms and digital objects are used hand in hand in the UK to enhance access to archival materials as well as ensuring their continued survival (Feather & Eden 1997; Shenton2000).

Although reformatting can facilitate long-term access to documental materials, preventive care for records and teachers' records encompassing proper storage, handling, and security are some of the strategies that can tremendously reduce the need to reformat them.

### **2.3. Examine the causes of deterioration.**

It should be noted that in spite of the different and in most cases irreplaceable functions of records to organizations of all sizes, there is a big danger that evidence of the past may be lost forever if these records are lost or destroyed. This is ultimately attributed to exposure to records disasters (Sena & Woldemichael, 2006). Disasters are unexpected events with destructive consequences either on small or large scale and have great advanced effects on the management of records on the organizational scale. (Sena & Woldemichael, 2006). The two authors further stress that immediate and systematic preparedness in regards to all forms of disaster (records disaster) need to be addressed.

According to Webster international dictionary a disaster may be referred to as anything ruinous or distressing that befalls an individual institution, community and the same dictionary defines preparedness as the action of getting ready for happening. Hence the researcher deduced that conservation and preservation of teachers' records is the action of preparing against disasters which are ruinous /hazardous to records in the records management sense. Ahenkorah – Marfo & Borteye, (2010) stated that, disaster can be commonly caused by fires started by an arson or electrical fault, water from burst pipes or flooding as a result of heavy rain, poor storage and



environmental conditions, inadequate security leading to break-in's, theft and poorly maintained buildings. That, in the recent times, terrorism has become an issue and a major threat as well as information fraud in the libraries and information centers.

According to Okello-Obura, (2008) argues that destructive human behavior on the archival collections may include the following; Arsonists who deliberately start fires in records offices; careless handling of documents leading to wear and tear; malicious implant of viruses into electronic databases; plucking of pages from documents; poor retrieval and filing practices causing materials to be torn; stealing of records material and illegal copying of documents and terrorism. He also adds on that acidity in the ink and the paper on which the records are captured. Acid is the worst enemy of records and archival materials. Acid is found in Sulphur dioxide in polluted air, in lignin in wood pulp, in the products and chemicals used to make paper (Okello-Obura 2008). Pollution especially by cars and the activity from industrial locations that are in proximity with records offices is yet another cause of deterioration to the records.

New south Wales State Records, categorizes disasters into five categories as

1. Natural events; such as earthquakes, cyclones, bushfires, floods and vermin
2. Structural or building failure; such as manufacturing, sprinklers, heating or air conditioning systems, leaks in poor wiring.
3. Industrial disasters; such as nuclear or chemical spills
4. Technological disasters; such as viruses, and computer failures
5. Criminal behaviors; such as theft, arson, espionage, vandalization, riots terrorism and war

Okello-Obura (2011) further agrees that Potential threats fall into the following general categories;

Natural hazards: Cyclone and tidal surge,

windstorm, lightning strike, rain, hail, sleet, flooding bushfire, fire in adjacent buildings, earthquake and landslides, biological agents (microorganisms, insects or vermin infestation).

Criminal or terrorist attack: Vandalism, theft, arson, bombing and bomb hoax, demonstrations, sabotage, terrorist attack Industrial accidents; Explosion, chemical or fuel spillage, gas leaks and falling object damage. System failure: Energy failure and computer failure, Sewer/storm water/drainage failure, Leaks in roofs and sprinkler malfunction. Fullerton (2007) also noted that “all kinds of risks that affect any of these targets in unacceptable ways include water leaks, terrorist threats, building collapse, security incursion, vandalism, insect, pest, dust, air conditioning failure,

and so on”. Research conducted by Isa (2012) asserts that theft and insects as the most occurrence of disasters experienced in all the libraries studied and this is same story with records management in organizations. Also Onyekakeyah (2005) observed that in Nigeria, “disaster come in the form of heavy flooding, from torrential rains, building collapse, ocean surge, forest fires, road carnage, bomb explosion, pipeline oil explosions and fires...” All these are threats to institution’s resources both human and material wise, and can jeopardize the effective function or loss to institutional heritage.

#### **2.4. Assess the challenges faced in the conservation and preservation.**

According to Mbugua (2015) notes the following as the problems hindering conservation and preservation of teachers’ records in organizations;

Lack of adequate funding to devolve disaster management remains a challenge and to address root causes. Priority for response has continued to supersede Risk reduction and preparedness; Conservation and preservation of teachers’ records and management is a cross cutting issue in development planning in many organizations So it is not easy to plan for it as a stand-alone sector and so attach budgets to it. Instead, budgets are allocated to relevant mainstream departments like finance, administration and others. In the same way it has not been easy to seek funding for it in case it hits an organization. The frequency and severity of the disasters being experienced in organizations attract most of the funds available towards response, leaving little or no for preparedness. The most notable challenge is resistance more so in marginalized departments. Resistance to change is a common phenomenon for individuals and organizations. One reason for resisting change is the absence of an obvious need for it. Change will be resisted if the current way of doing things has been successful in the past and there is no clear evidence of serious problems. Incommensurable beliefs, or strong and definitive disagreement among groups about the nature of the problem and its consequent alternative solutions, deep rooted values and emotional loyalty are key contributors to resistance during transition period and; Lack of a unified and comprehensive disaster management policy has affected coordination on disaster management both within government and among other stakeholders.

## **2.5: Propose strategies to improve the preservation and conservation of teacher's records.**

Disaster management; is defined as a collective term encompassing all aspects of planning for and responding to disasters, including both pre-disaster and post-disaster activities. It may refer to the management of both the risks and consequences of disaster. (Shaluf, 2007)

Organizations and their employees are responsible for preserving records for as long as they are required by law and business requirement. A major threat to the preservation of records is the risk of disaster, natural or man-made, organizations are to establish and maintain efficient and effective disaster management plans for their records.

The need for a records management disaster plan helps in devising early detection of any threats to records, mitigating them before they strike and also to limit damage when disaster strikes. The records management disaster plan will also provide a systematic procedure for business continuity when disaster strikes.

Disaster management plan for records is a plan setting out the strategies and activities for preventing disaster, preparing an appropriate response to and recovery from disaster, should they occur, and resuming normal business. Okello & Ssekitto (2011)

The Government of South Australia (2007) notes that counter disaster management is the term given to strategies for the prevention, preparedness and response to disasters, and the recovery of operations following disasters. Counter disaster management for records should take place in the framework of a government agency's business continuity plan. Within that framework there are four (4) stages according to the Government of South Australia (2007).

Assessment of risks affecting records and recordkeeping systems, and the subsequent activities to reduce the probability of a disaster and reducing the probability of loss should a disaster occur.

Planning activities to establish a counter disaster plan to assist the government agency to respond to an emergency event The activities to identify and protect vital records of the agency; and Response and recovery from a disaster: the activities involved in implementing the plan and initiating resources to protect or secure the organization from loss, and restoring records and operations, so that normal business operations can resume.

The purpose of conservation and preservation of teachers' records plan is to provide guidelines for the identification, storage and protection of vital records. It also provides a guide for the

development of a disaster recovery plan to manage these records before and after disaster and so that the resumption of business of the area can continue through sound recovery system implemented by the area.

Advance planning is the key to survival, whether we are talking about a person, a family, a community, or a public institution such as a public Mbale Local Government or a Records Center. Thus, disaster management should be a major concern for any Records Center that wants to survive (Kurilecz 2006). This also applies to any records that want to survive in this era of increasing disasters. Furthermore, the public expects the public libraries to be open during stipulated hours and materials to be available conveniently, therefore extensive closings to repair damage do not fulfill the Mbale Local Government mission. The job of the public librarians is to ensure that information is preserved and available to users when required (Oelkrung 2006). This also applies to the records center because they nearly perform the same functions.

Conservation and preservation of teachers' records with its emphasis on the speedy recovery and restoration of operations in the event of a disaster may partly assist public librarians to ensure that services are not unnecessarily disrupted. For that reason, disaster planning should become an essential component of the overall management plan for a Mbale Local Government or Archive. Okello-Obura (2008) also agrees that Security of records refers to the measures instituted to safeguard records and information materials from being affected by human or non-human hazards or getting lost. All measures instituted for records security are aimed at ensuring that the records are not lost and kept for long due to their enduring value.

## **2.6 Research gap**

Despite adequate and profound literatures in relation to records management and conservation and preservation of teachers' records, there is a big reluctance on the viability of these studies on the management of teachers' records in particularly Mbale Local Government. Of all the literature reviewed in the study, there has been no study made about preservation and conservation of records in Mbale Local Government. This study will therefore look to fill this gap.

## **2.7. Conclusions.**

In conclusion this chapter reviews literature related to this study and it presents preservation and conservation of teachers records, activities carried out in preservation and conservation, causes of deterioration, challenges faced in conservation and preservation and the strategies to improve the preservation and conservation of teacher's records.

## **CHAPTER THREE: METHODOLOGY**

### **3.0. Introduction**

This chapter included area of study, research design, research population, sample size and sample techniques, data collection methods and tools, data analysis and presentation, quality control, ethical considerations and the limitation of the study.

### **3.1 Research design and approach**

Yonda, (2012) defines research design as the scheme, outline or plan that is used to generate answers to research problems. Kothari, (2003) concurs with Yonda arguing that, a research design constitutes the blue print for the collection, measurement and analysis of data. The study adopted a mixed study research paradigm with interviews, questionnaires and observation as data collection methods. Descriptive data analysis with help of tables was used to make meaning of the study findings and thus presentation.

### **3.2 Area of study**

The study was carried out at Mbale Local Government located in Mbale District. It was constrained within the registry unit and administrative figures of the local government.

### **3.3 STUDY POPULATION**

Amitav & Suprakash (2010), asserts that population is an entire group about which some information is required to be ascertained. The population of Mbale Local Government office consists of over 200 staff in different departments such as the registry department, finance department, community development, veterinary and animal husbandry, health department, administration and users (clients) such as teachers.

### **3.4 Sampling strategy and sample size.**

#### **3.4.1 Sampling strategy**

Sampling is the process of selecting a number of individuals for a study in such a way that the individuals represent the larger group from which they were selected (Hzifah, 2015). The author warns however that, the sample chosen should be of much relevance to providing accurate and adequate data required for all the study's goal objectives. The study adopted simple random sampling in combination with purposive sampling techniques to obtain the required participants

in the study. Saunders, Lewis & Thornhill, (2012) defined simple random sampling as the purest and the most straightforward probability sampling method that is known to have no bias. Whereas purposive sampling strategy is a sampling technique in which the researcher relies on his or her own judgment when choosing members of the population to participate in the study. The researcher's judgment here is relied on his knowledge about the different samples, their skills, knowledge, experience, department of work, and roles played in the local government. This thus helped to collect factual and reliable data for the study.

In this study, simple random sampling was used to pick respondents from the teachers' sample, while purposive sampling technique was used to select respondents from the administrative and registry samples.

### 3.4.2. Sample size

A sample is a subset of the population (Creswell, 2014). Crossman, (2014) concurs with Creswell stressing that, it represents the larger population and a research technique widely used as a way to gather data about a population without having to measure the entire population. In this study therefore, a sample size of 12 respondents were used and these included 4 records staff (one records manager, two records assistants and one office messenger), 5 teachers and 3 administrators. This sample is chosen for their vast knowledge about the topic under study thus concrete assurance of accuracy and credible information for the study. Therefore purposive sampling was used.

**Table 1: showing the sample size**

| <b>Categories</b>      | <b>Number</b> |
|------------------------|---------------|
| Teachers               | 5             |
| Registry staff         | 4             |
| Administrative members | 3             |
| <b>Total</b>           | <b>12</b>     |

*Source: Primary data, 2018.*

### **3.5 Data collection methods**

Data collection is the process of gathering and measuring information on variables of interest, in an established systematic fashion that enables one to answer stated research questions, test hypotheses, and evaluate outcomes (Brew, 2006). While methods vary by discipline, the emphasis on ensuring accurate and honest collection remains the same. The goal for all data collection is to capture quality evidence that then translates to rich data analysis and allows the building of a convincing and credible answer to questions that have been posed (Weimer, 2010).

#### **3.5.1 Questionnaire method**

According to Saris & Gallhofer, (2014), a questionnaire is a series of questions and other prompts for the purpose of gathering information from respondents. This method can be adopted for the entire population or sampled sectors (Winky, 2011). The study used questionnaires to collect regular or infrequent routine data. A questionnaire required respondents to fill out the form themselves, thus involved the researcher delivering the questionnaires to the respondents and picking them afterwards. The questionnaires were used to collect data from the teachers' sample and registry sample. This method helped the study collect various opinions from various respondents at a short time hence saving time.

#### **3.5.2 Interview method**

Farago, Zide & Shahani-Dennin,(2013) defined an interview as a conversation where questions are asked by the interviewer and answers are given by the interviewee. This is the most commonly used and normally most useful, fact finding technique. This technique is used to find out the facts, verifying facts, identifying requirements and gathering ideas and opinions. With this technique, the problems that occur can easily be solved. In interviews information is obtained through inquiry and recorded by enumerators. Unstructured interviews were conducted and the researcher took notes when the respondents reply. The researcher interviewed the administrative and registry samples. This method helped the researcher to gain insight on personal reflections of the respondents gathering even body and gesture information while providing wholesome context about the study.



### **3.5.3 Observation method**

The evaluation research team (2012) defined observation method as a way of gathering data by watching behavior, events, or noting physical characteristics in their natural setting. The researcher used this method to observe the activities carried out in the registry and administrative offices, practices, activities and operations of records preservation and conservation, the visible factors causing the deterioration of records and general set up of records management at the local government. By using this method for data collection, the researcher did not rely on what people said but what he saw samples doing and his own analysis.

## **3.6. Data collection instruments**

The study employed three data collection instruments that included;

### **3.6.1 Questionnaire**

According to Carl preconference (2012), a questionnaire guide is defined as an instrument used for collecting data in survey research. The study adopted questionnaires designed by the researcher consisting of a set of standardized questions that explore the specific topic and collect information about demographics, opinions, attitudes, and behavior within the context of records preservation and conservation at Mbale Local Government. In order to maximize return rates, questionnaires were designed as simple and clear as possible, with targeted sections and questions and were distributed to respondents in time and picked from them at a later date. See appendix A.

### **3.6.2 Interview guide**

An interview guide was used to facilitate the interview method of data collection. This was a structural interview guide with questions derived from the study topic and objectives. This guided the researcher while interviewing administrative and registry staff members who oversee the management of teachers' records and are in a better position to provide the required information on the factors causing deterioration of records, the challenges faced in preservation and conservation of records and the methods of records preservation and conservation. See appendix B.

### **3.6.3 Observation checklist**

The observation guide was set out to guide the research and the researcher used all his body senses to collect and analyze the data for example he identified problems like untidiness of the registry, misfiling, deterioration, overcrowding, poor storage among others. It included all the instructions that the researcher followed while taking note of the physical appearance, subjects, status and practices of records preservation, conservation and management at Mbale Local Government. See appendix C.

### **3.7 Data quality control**

Data quality control is the process of data profiling to discover inconsistencies and other anomalies in the data as well as performing data cleansing activities like removing outliers, interpolating missing data in order to improve the quality of data. Data quality control will be done from the beginning of the study through data collection up to the presentation of data. This involved a process called data quality assurance. Epsteil (2007) categorized data quality into Data validity and Data reliability.

#### **3.7.1 Data validity**

Quinlan (2011) referred to data validity as the issue of how valid the research is i.e. how logical, truthful, robust, sound, meaningful, reasonable and useful the study is. To achieve validity, uniform questionnaires were used to collect data from the respondents. The validity of the data collection instruments was also checked with the help of an Expert (the Researcher's supervisor) to edit the questionnaire and the interview guide. Validity of data is important in determining whether the questions (items) in the questionnaires and interview guides are relevant to the study.

#### **3.7.2 Data reliability**

Data reliability refers to the measure to which the data in the information collected can be relied on by the researcher. The researcher aimed at collecting reliable information for the study and this was achieved through carrying out a pilot study to find out the reliability of data collection instruments to be used for the study. The pilot study was conducted with the help of a registrar in Mbale Local Government office and it helped to eliminate unnecessary questions and in adjusting the length of interviews. Here, the researcher checked for reconciliation of data sources,

consistency with different data sets and data auditing processes. Data verification also helped to compare aggregate data of the various themes/aspects of the study.

### **3.8 Presentation and data analysis**

#### **3.8.1 Data analysis**

Data analysis is the process of systematically applying statistical or logical techniques to describe and illustrate, recap and evaluate data (Creswell, 2014). According to Shamoo & Resnik (2003), various analytic procedures provide a drawing of inductive inferences from data and distinguishing the signal while data analysis in quantitative research can include statistical procedures, many times analysis becomes an ongoing interactive process where data is continuously collected and analyzed almost simultaneously. The study adopted descriptive data analysis where all data collected was grouped in objective like groups, and re-arranged to form the thesis for each objective of the study.

#### **3.8.2 Data presentation**

The data was then analyzed using words and statements, and later presented in form of thesis and tables. All the study findings were grouped in textual form as thesis to align to the objectives of the study and were presented by words, statements and tables according to the objectives of the study.

### **3.9 Research procedure**

This entailed the formal Makerere University undergraduate research guidelines and procedure manual which requires students to undergo research proposal writing under the supervision of a designated lecturer as a supervisor. This was only done after selecting a topic of interest to the researcher, “Assessment of the preservation and conservation of teachers’ records” and the case study which was Mbale Local Government. Upon approval of the research topic, the researcher underwent various vetting procedures to ensure the proposal for the study was valid, accurate and relevant and this was all done by the university supervisor. Upon approval of the proposal, the researcher was then given an introductory letter to go to the case study area “Mbale Local Government” to undergo data collection. The student was given an acceptance letter to do data collection under a field supervisor who was the district records assistant manager. Upon finishing

data collection, data analysis and presentation was carried out by the researcher with the help of the supervisor. The researcher then submitted the report after approval from the supervisor to the East African School of Library and Information Science, College of Computing and Information Sciences Makerere University.

### **3.10 Ethical considerations**

**Informed Consent;** the researcher first obtained an informed consent from all the respondents, observing extreme confidentiality while handling the respondents.

**Respect for Respondents;** respect for respondents was held in high esteem by observing all courtesy, objectivity and truthfulness.

**Confidentiality;** Assurance was given to the respondents that the information gathered during the research process was to remain confidential and to be used for the designated research and academic purposes only.

**Objectivity;** Issues relating to objectivity and full disclosure of proper identity like names were based on consent, where the researcher assured anonymity and confidentiality of such disclosure to avoid bias.

### **3.11 Study constraints**

These were the anticipated limitation to the study and how they were mitigated;

1. Delayed response and unwillingness by some respondents to provide certain information and this prevented collection of data.
2. Limited knowledge, the researcher had limited knowledge about how to go about writing a dissertation and how to conduct and carry out research. The information for the study is also not adequate enough for the study to be completed.
3. Inadequate literature; this is mainly due to the challenges in data accessibility as a result of reluctance by the respondents in participating in the study, lack of internet connectivity and low information literacy skills possessed by the researcher.
4. Question misinterpretation; though some questions seemed clear to the researcher, some respondents misinterpreted some of the questions and resulted into collection of unreliable data.

### **3.12 Delimitations**

The researcher did the following to handle the challenges he faced

1. The researcher relied on consulting well informed and experienced people with reliable knowledge about the study.
2. The researcher embarked on improving his literacy skills and looking for good internet connection from the main Mbale Local Government of Makerere University and the EASLIS computer laboratory. This helped the researcher to obtain adequate literature related to the study.
3. The researcher ensured that the data collection instruments were as clear as possible and very easy to comprehend.

### **3.13. Conclusion**

In conclusion, this chapter presented research design and approach, area of study, study population, sample strategy and sample size, data collections methods, data collection instruments, data quality control, presentation and data analysis, research procedure, ethical considerations and study constraints.

## CHAPTER FOUR: DATA PRESENTATION AND ANALYSIS

### 4.0 Introduction

This chapter presents analyses and discusses the study findings in line with the research objective. This study was done to assess the preservation and conservation of teachers records at Mbale local government. The study used a qualitative study approach and in specific the case study design to analyze the data.

### 4.1 Description of the study population

#### 4.1.1. Response rate

The study used a sample population of 12 respondents who included Teachers, registry staff and administrative staff. The study assessment of preservation and conservation of teacher's records at Mbale Local Government required samples from records management team, administrative figure and users. The results presented here are based on the interviews and the questionnaires given to the respondents. Below is a summary table of different categories of respondents.

**Table 2: Response rate on questionnaires.**

| Category       | Expected Number | Actual Number | Percentage |
|----------------|-----------------|---------------|------------|
| Teachers       | 5               | 5             | 100        |
| Registry staff | 4               | 4             | 100        |
| Total          | <b>09</b>       | <b>09</b>     | 100        |

*Source: Field Data, 201*

**Table 3: Response rate on interviews.**

| Category               | Expected number | Actual number | percentage |
|------------------------|-----------------|---------------|------------|
| Teachers               | 5               | 2             | 40         |
| Registry staff         | 4               | 4             | 100        |
| Administrative members | 3               | 3             | 100        |
| Total                  | 12              | 9             | 75         |

**Source: field data 2018**

From the data collected by both interviews and questionnaires, it is noted that the response rate was good given that both interviews and questionnaires gave positive feedback. The percentage response rate was 100%. In addition to the above, the researcher was able to meet 100% by observation method.

#### 4.1.2. Gender presentation

This section aimed at describing respondents in terms of gender. The observation method was used to acquire this information from the respondents. The gender response rate was at 100% as shown in the table below.

**Table 4: table showing gender in respondents**

| <b>Gender</b> | <b>Number of respondents</b> | <b>Percentage.</b> |
|---------------|------------------------------|--------------------|
| Male          | 5                            | 45                 |
| Female        | 6                            | 55                 |
| <b>Total</b>  | <b>11</b>                    | <b>100</b>         |

*Source: Field Data, 2018.*

The data collected revealed that the female were 6 and male counter parts were 5 and this giving us a percentage of female and percentage of male. This shows us that the institution values gender equality and employees both male and female. This is because both male and female are included in the administration.

#### 4.1.3 Qualification and working experience of respondents

In order to respond to the questions of how best to manage, preserve and conserve teachers' records, researcher needed to know the qualifications of respondents and their areas of specialty. Data collected revealed that most of the respondents hold bachelor's degrees and a few having diplomas in various specialties. Data collected further revealed that four respondents had worked at Mbale Local Government for more than 10 years, 5 respondents had worked with the district for more than 5 years, and 3 respondents had worked at the local government for less than 5 years.

**Table 5: describing respondents' qualifications**

| <b>Respondents</b>   | <b>Sample size</b> | <b>Bachelor's degree</b> | <b>Diploma</b> |
|----------------------|--------------------|--------------------------|----------------|
| Registry staff       | <b>4</b>           | <b>3</b>                 | <b>1</b>       |
| Administrative staff | <b>3</b>           | <b>3</b>                 | <b>0</b>       |
| Teachers             | <b>5</b>           | <b>4</b>                 | <b>1</b>       |
| <b>Total</b>         | <b>12</b>          | <b>10</b>                | <b>2</b>       |

*Source: Field data, 2018.*

According to the table above it clearly indicates that the people involved in records management at Mbale Local Government have different qualifications as there were those holding degrees and a few with diplomas.

**Table 6: working experience of respondents.**

| <b>Respondents</b>   | <b>More than 10 years</b> | <b>More than 5 years</b> | <b>Less than 5 years</b> |
|----------------------|---------------------------|--------------------------|--------------------------|
| Registry staff       | <b>4</b>                  | <b>3</b>                 | <b>1</b>                 |
| Administrative staff | <b>3</b>                  | <b>3</b>                 | <b>0</b>                 |
| Teachers             | <b>5</b>                  | <b>4</b>                 | <b>1</b>                 |
| <b>Total</b>         | <b>12</b>                 | <b>10</b>                | <b>2</b>                 |

*Source: Field data, 2018.*

After interviewing the staff of Mbale local government they revealed that even though some of them did not study records management, they have worked in the same role for years and now have great experience. Data collected simply revealed that records management at Mbale Local Government is managed by skilled and experienced personnel.

#### **4.2. Categories of records generated.**

This section aims at examining the different categories of teachers records currently generated. The researcher interviewed the respondents so as to get the required information and it was at 100% as shown below.

**Table 7: showing the categories of records generated.**

| <b>Category</b> | <b>number of respondents</b> | <b>Percentage (%)</b> |
|-----------------|------------------------------|-----------------------|
|-----------------|------------------------------|-----------------------|



|                     |   |      |
|---------------------|---|------|
| Paper based records | 4 | 66.7 |
| Electronic records  | 2 | 33.3 |
| Total               |   | 100  |

*Source: Field Data, 2018.*

As table 6 above shows 66.7% of the respondents interviewed mentioned that the local government generates paper based records because they are the most physical and widely used in local government. 33.3% responded that electronic records are also generated but mainly as backups for the paper based records. 100% of the respondents noted that both these categories of records are used but mostly paper based.

#### **4.2.1. Categories of teacher's records generated.**

This section of the data collection instruments looked forward to fulfilling directly the aim of objective one of the study, which was set out to identify the types of teachers' records generated and maintained by Mbale Local Government from the various activities accomplished by the body. Questionnaires distributed revealed that these records include mainly internally generated records and a few externally created but received records for internal consumption. Similarly, interviews with the registry and teacher's samples revealed that;

**Table 3: showing categories of teachers' records**

| <b>TYPES OF RECORDS</b> |                        |                               |                        |
|-------------------------|------------------------|-------------------------------|------------------------|
| <b>Internal records</b> |                        | <b>External records</b>       |                        |
| <b>Examples</b>         | <b>Percentages (%)</b> | <b>Examples</b>               | <b>Percentages (%)</b> |
| Employment records      | 50                     | Ministry & Government records | 40                     |
| Biographical details    | 10                     | Disciplinary records          | 10                     |
| Payroll                 | 30                     | Family records                | 15                     |
| Health records          | 05                     | Financial records             | 30                     |
| Insurance records       | 05                     | Legal records                 | 05                     |

*Source: Field Data, 2018.*

From the table above and study findings, it is evident that the highest range of records kept at Mbale Local Government is employment, communications from ministry and government, and payroll records.

#### **4.3: Preservation and conservation of teachers' records.**

Objective one of this study was aimed at identifying the various records management practice and activities carried out to promote the preservation and conservation of teachers' records at Mbale Local Government. From questionnaires and interviews conducted on different groups of samples within the district offices, it was revealed that generally there isn't one activity or practice conducted by Mbale Local Government with the major intention of preserving and conserving teachers' records. One respondent was quoted asking, *"what is preservation and conservation of records all concerned with."* From a professional basis, this statement simply meant that the respondent didn't even have a clue on what preservation and conservation of records meant and what it all takes. Another was quoted exclaiming that the only preservation conducted in the registry is storage. *"All we do is store the records where they are meant to be and access when needed."* This implied that the respondents had no knowledge on what it meant to preserve and conserve records of whatever format and form.

##### **4.3.1 Preservation and conservation of teachers' records.**

According to the registry personnel at Mbale Local Government, teachers' records were stored using a centralized storage system where records for several departments /districts were located in one central located and generally under control of the district records manager with his team. Mbale Local Government has no means for the preservation and neither conservation of records. Records are stored in boxes, some placed on shelves, cabinets and others dropped on the ground in offices or tables or corridors. According to one respondent, *"this is why even rodents can find their way into the records to destroy them and complicate the problem of proper information management."* In addition, data collected revealed that these non-acidic free boxes, shelves and cabinets, are very few. Similarly, interviews with one Records Assistant, was quoted stating that;

*"... We lack adequate space for keeping our records... Mbale Local Government has limited physical space for keeping records... our rooms are small, and yet the records to manage are too much.... We still have records for all the other districts that were cut off from Mbale such as Budadiri, Manafwa, Pallisa, Bukedea and so many other ....We need serious intervention to*

*transform the record and information management methods from manual to one that is computerized and automated... and also develop a proper conservation and preservation of records plan for all the district records....”*

From the field, the researcher gathered that some of the storage equipment used in centralized storage and security system included metallic filing cabinets, box files, open shelves, open cupboards, and tables. I further observed that that the registry used filing cabinets as primary unit for storage and security of current employees’ records and all the Local Government records and files. These cabinets are arranged in the sequence of file class clearly labeled to the contents.

The researcher also observed the condition in which equipment that were in good condition and shape and a few of them needed safe guard from environmental changes like the metallic shelves were rusty due to the fact that they were not well painted and not made of stainless steel.

The researcher observed that the file covers which were being used at the registry were basically manila cover files which were labeled according to the type of records that they were contained. It was done monthly in values of different colors. The problem with these manilas is that they are not durable and hence would get worn out very fast.

The records Managers and officers explained how storage and security was done. The Records Assistant said temporal folders were used and management of such files was that if the file on which the communication is to be retrieved, a temporary folder must be used for records purposes. The number of temporary folders was controlled and limited, preferably not more than 30, each folder was clearly labeled and numbered for example folder 1, folder2, and folder 3and therefore the original was put in an envelope and sent out.

The Records Assistant told the researcher that through the centralized storage and security system, the registry has managed the storage and security procedures and processes whereby it has been made easier despite some challenges there.

The Records Assistant pointed out that the registry has a unique system of storage and security it established for the purposes of users to get easy access to the records, procedures involved in the file moving out the registry and was made sure that there was a reason and purpose for example

with the communication received, filed and routed for the action officer requests for file reference ,the file out is filed before it goes out which is indicated the details such as ref number, date issued person to date retrieved and the storage area for proper storage and security this enabled tracking of records and hence reducing on the loss and disappearance of record while in movement from one person to another.

The out cards are placed in the filing cabinets in place from which the file was removed, the file is issued and on return of the document, the out card is retrieved and file put back and the date of file return is endorsed on the out-card.

#### **4.4: Causes of deterioration of teachers' records.**

There was need to identify the factors leading to the deterioration of teachers' records at Mbale Local Government in order to know how best to curb the challenges faced and propose practical recommendations for improvement and betterment of the preservation and conservation of teachers' records. Data collected from the study by use of interviews and questionnaires revealed a number of threats to the wellbeing and safety custody of teachers' records at the Local Government in Mbale as described below;

1. Biological threats to records such rodents and rats which attack the records as a result of poor storage practices for example food and drinks were taken into the records center which attracted rodents to the registry. 100% of the respondents agreed that food was always taken to the records center which attracted the ants and rodent that always attacked their records.
2. Mishandling of records by people is a big threat to records at Mbale Local Government. The researcher observed that records were not properly handled and hence majority of the records are worn out and 10 of the 15 respondents agreed that through handling records deteriorate very fast and get spoilt through handling. This is in line with what Okello-Obura & Ssekitto, (2012) found out.
3. Dust; The researcher also observed that the records center is located near a busy highway with a lot of dust due to the heavy traffic on the road .out of the 15 questionnaires issued

10 respondents agreed that the dust from the heavy trucks on the road possess a big to the records that are housed there. This dust rest on the record and make them brownish in color and hence it is damaged with time.

4. Humidity; There is high amount, of water vapor in the atmosphere. At night this water condenses and makes the records damp and in addition to the dust that rests on the records during the busy hours of the day, the records are damaged.
5. Pollution from gasses and fumes from the busy roads and industries where the records center is located the gases destroys the paper records and hence weakening them. This leads to deterioration and destruction of records.
6. Fungi, pests and molds; The researcher also found out that fungi and pests weaken materials, causing ink to fade, material to fall apart and brown spots to appear. Such growths are caused by moisture in the in the air.
7. Malicious implants of viruses into electronic databases by hackers, viruses attack the electronic records and damage them completely which is quite a big blow to the organization. While interviewing the ICT personnel admitted that on average scan they have to scan the system in order to get rid of viruses
8. Plucking of pages from documents; the researcher also observed that some records were missing from where they are supposed to be. And when further probed found out that they have been plucked out when they are routed out for action.
9. Poor retrieval and filing practices, the researcher also found out that records were not properly retrieved causing materials to be torn and damaged. He observed the way the records were being handled and it was not good because through that the records got torn and also some were handled roughly hence leading to their deterioration.

10. Stealing of records material and illegal copying of documents: The researcher found out that stealing of records by employees for their own reasons was a rampant threat to records in the organization
11. Acidity in the ink and the paper on which the records are captured the researcher also noted that paper on which records are captured are faded. Acid is the worst enemy of records and archival materials. Acid is found in Sulphur dioxide in polluted air, in lignin in wood pulp, in the products and chemicals used to make paper. This finding is in line with what Okello-Obura & Ssekitto, (2012) found out that acidity in paper is a big threat to the wellbeing and safe custody of records in organizations.
12. Computer Viruses, Worms and Trojan Horses: The researcher also found out that viruses posed as great threat to all electronic records which always left the Records Assistant worried and not settled because these viruses attack without any warning.
13. Spyware - A spyware is a program placed on a computer without the users' knowledge that secretly collects information about a user. The ICT personnel was quoted say, *'Programs, in fact unwanted programs are always found in our system, they mainly steal our clientele information from our data bases, but lucky enough we have double authentication for our clients and always we have strong software for detecting the spyware in our systems'*.

#### **4.5. Challenges faced in the preservation and conservation of teachers' records.**

Lack of adequate funding to devolve disaster management remains a challenge and to address root causes. Priority for response has continued to supersede Risk reduction and preparedness; Conservation and preservation of teachers' records and management is a cross cutting issue in development planning in many organizations So it is not easy to plan for it as a stand-alone sector and so attach budgets to it. Instead, budgets are allocated to relevant mainstream departments like finance, administration and others. In the same way it has not been easy to seek funding for it in case it hits an organization. The frequency and severity of the disasters being experienced in organizations attract most of the funds available towards response, leaving little or no for preparedness. The most notable challenge is resistance more so in marginalized departments.

Resistance to change is a common phenomenon for individuals and organizations. One reason for resisting change is the absence of an obvious need for it. Change will be resisted if the current way of doing things has been successful in the past and there is no clear evidence of serious problems. Incommensurable beliefs, or strong and definitive disagreement among groups about the nature of the problem and its consequent alternative solutions, deep rooted values and emotional loyalty are key contributors to resistance during transition period and; Lack of a unified and comprehensive disaster management policy has affected coordination on disaster management both within government and among other stakeholders.

#### **4.5.1. Recommendations on the preservation and conservation of teachers' records.**

Mbale Local Government should as a matter of urgency develop comprehensive policy guidelines/frameworks for the management of records disasters. This should include both paper based and electronic records. The disaster plan must include a series of steps for staff to follow, beginning with the initial discovery that something is wrong. Issues like records migration plans should be clearly stipulated in the plan/policy. Mbale Local Government should treat records as a crucial component for efficient and effective management by making significant budget commitment to activities such as disaster management.

Mbale Local Government should have disaster response plan that include among others: List of vital records, their location and control documentation, Procedures for the identification and declaration of a disaster situation and initiation of the disaster response chain of command, List of the equipment and material available for use in disaster salvage and recovery, Floor plans and area maps, The function, composition and chain of command of the salvage and recovery team and their contact details, Provision for the training and current awareness of the salvage and recovery team, List of sources of back up resources, including expertise, material, equipment, local emergency personnel etc., Procedure for updating and testing the plan and simple technical information on the handling of damaged material, directed towards establishing priorities for early action. This Plan should be easily accessed by all staff in the organization.

Mbale Local Government must have a framework for disasters, should provide an organizational framework for disaster management for records and archival materials

The general principles of conservation and preservation of teachers' records planning practiced in Mbale Local Government should be strengthened by putting in place a policy framework with clear supervisory roles for records disaster management team. A well-organized collaborative strategy should be designed between Mbale Local Government with other agencies such as fire departments that deal with disaster management

The records Manager was noted saying.

*“Mbale Local Government is well prepared for disasters..... We have fire extinguishers in place, our shelves are raised above the ground in case of floods when we are not around or at night, security guards to alert of theft and burglary....”*

According to this statement it clearly shows that the organization is prepared for the disaster in case it strikes the organization. The organizations are located in a flat area and place where is not polluted hence the records are not subjected a lot to road dust. However, data collected proposed a number of solutions to promote the conservation and preservation of teachers records at the local government.

1. Disaster plan: The respondents suggested that a conservation and preservation of teachers' records plan should be enacted as soon as possible and be availed to the staff in the organization.
2. Training: The respondents further suggested that the staff should be trained in conservation and preservation of teachers' records to enable them to acquire the basic skills for fighting disasters.
3. Funding: the respondents went ahead to suggest that the conservation and preservation of teachers' records should be given a big consideration in terms of funding.



4. Public awareness: the respondents also suggested that all the employees should be sensitized on conservation and preservation of teachers' records so that in case of a disaster they are able to respond and save the records from damage.
5. Digitization: they also went ahead suggest that all records must be digitization of all the organization records to create backup copies so that in case of a disaster.

#### **4.6. Conclusion.**

In conclusion, this chapter discusses study findings of preservation and conservation of teacher's records and the findings are presented and discussed according to objectives and research questions.

## **CHAPTER FIVE: SUMMARY, CONCLUSION AND RECOMMENDATIONS.**

### **5.0. Introduction**

This chapter presents the summary, conclusions and recommendations of the study conducted at Mbale local government to assess preservation and conservation of teacher's records.

### **5.1. Summary of findings.**

The study aimed at assessing the preservation and conservation of teachers records at Mbale local government. The study objectives were.; to assess the activities carried out in the preservation and conservation of teachers records at Mbale local government, examine the causes of deterioration

of teachers records at Mbale local government, assess the challenges faced in preservation and conservation of teachers records at Mbale local government, and to propose strategies to improve the preservation and conservation of teachers records at Mbale local government.

The study used a descriptive analysis with the help of tables which were used to make meaning of the data collected. Interview and observation guide were used to collect data.

The study revealed that paper based records were the most used for its user friendly, stable technology, durable and above all acceptable nature in Ugandan context. The study discovered that these records all are managed and stored under the same roof and same management team. Partially, principles of provenance and original order are applied to some categories of teachers' records like administrative and legal records, while considering them to be more essential and regularly asked for in settling conflicts.

Additionally, numerous challenges of records management like limited space, limited equipment and inadequate funds seemed complicate the application of proper records management at Mbale local government.

The researcher concluded by establishing recommendations and strategies to overcome challenges to preservation and conservation of teacher's records at Mbale local government which included acquisition of large working space and allocation of adequate funds with wide registry, funding to acquire storage space, records management equipment and facilitate staff would help improvement of the current situation and general records management in the institution and creating staff awareness on importance of records.

## **5.2. Conclusion.**

The study concluded that;

Mbale local government receives and creates a variety of records, which are kept in one place when they are active, semi-active and non-active. It is indicated that Mbale local government records are poorly appraised thus disorganization. If records could be properly appraised, this would reduce on disorganization with inn the registry.

There are mainly two principles of teachers records arrangement for example principle of provenance and original order which bring about standardization in management and arrangement of teachers' records, despite the usefulness of these principles in Mbale Local Government records

management manual, these principles are partially implemented though sometimes are not implemented at all due to lack of enough storage space, equipment's and records arrangement facilities. The institution should allocate enough funds and this will help in creating enough space and also purchase equipment hence records management easy.

It was declared by the archivist that the arrangement of teachers' records is complicated due to the following challenges: Limited number of qualified archivist, small storage area, limited time, poor documentation of archive, order before transferred, lack of arrangement supplies and tools, high volume of teachers' records, and unapplicability of the principles of teachers' records to electronic form of teachers' records and weak laws and policies. If local government trains its staff well, provide enough funds to create enough space and purchase supplies and tools and also sorting records in order to identify those frequently used and transferring infrequently used to archives will make management of the teacher's records easy.

### **5.3 Recommendation**

The study recommended that;

Mbale local government planning committee should allocate enough financial resources to buy arrangement supplies, and also establish big building where the arrangement of records can be carried out from.

Furthermore, the principles and levels of teachers records arrangement should be documented, made available and be known to all archivists, records managers who regularly participate in organization and arrangement of teachers' records in Mbale local government Local Government. Records of enduring value should be categorized basing on the functions or activities from which they were generated, categorizing teacher's records according to transaction, facilitate, identification and retrieval of records because some action officers may ask for those records by means of activity from which they were generated.

In addition, a policy should be set up by the Mbale local government top administration regarding teacher's records arrangement, in the designed policy should be made mandatory & compulsory to every department transferring its teachers' records to Mbale local government registry to ensure that they are in order and the order documented before affecting the transfer. The policy should also limit re- writing and recording of electronic records of different provenance on same media.

Retention Schedule should be established for managing current records, the records manager and archivist must determine which records should be retained for their ongoing value and which may be destroyed as obsolete. Appraisal or retention decisions are taken on the basis of an assessment of the continuing value of the records for administrative, operational, or other uses.

Lastly, general sensitization of all the Records officers about the value of records management and arrangement of teachers records through conducting seminars and workshops

### **Areas for further research**

Further research needs to be carried out on:

1. Professional standards for records preservation and conservation
2. Retention and disposal of teachers' records
3. Best recommendable storage and filing equipment for teacher's records with regards to Uganda's climate conditions
4. Archival management practices on teacher's records.
5. Appraisal of teachers records at Mbale local government.

**APPENDICES**

**APPENDIX 1: QUESTIONNAIRE**

**Demographic Information**

Are you:

Male [ ] or Female [ ]

1. Which age group do you fall under?

Below 20 [ ]      20 – 30 [ ]

31 – 40 [ ]      41 – 50 [ ]

51 – 60 [ ]      Above 60 [ ]

2. What is the highest level of education that you have reached?

Primary [ ]      High school [ ]

University [ ]

Other, please specify .....

3. Are there records management related policies in place in your registry?

Yes [ ]

No [ ]

4. If “Yes” to question 3, which policies relate to records preservation?

.....

.....

5. If “Yes” to question 3, are all staff members aware of the policy?

Yes [ ]

No [ ]

Unsure [ ]

6. Is the policy reviewed at regular intervals?

Yes [ ]

No [ ]

Unsure [ ]

7. Do staff members manage records according to this policy?

Yes [ ]

No [ ]

Unsure [ ]

8. What types of records does the local government create?
- a.) Paper based records [ ]
  - b.) Audio visual records [ ]
  - c.) Electronic records [ ]
  - d.) Other, please specify.....
9. What type / kind of paper do you use to create records?
- a.) Printing paper
  - b.) Acid free paper
  - c.) Other, please specify .....
10. Where are records kept after creation?
- a) Offices [ ]
  - b) Registry [ ]
  - c) Other, please specify.....
11. What is your understanding about records preservation?
- .....
12. Do you have any training in the area of records management?
- Yes [ ]
- No [ ]
13. If “Yes” to question 12, at what level is that training?
- a) Certificate [ ]
  - b) Diploma [ ]
  - c) Degree [ ]
  - d) Other specify.....
14. Do you have training in records preservation?
- Yes [ ]
- No [ ]
15. Which of the following is available in your organization?
- a.) Records preservation plan [ ]
  - b.) Records preservation manual [ ]
16. Is there a disaster management plan in place?
- Yes [ ]

No [ ]

Unsure [ ]

17. If “Yes” to question 16, have staff been instructed in emergency recovery procedures?

Yes [ ]

No [ ]

Unsure [ ]

18. 29. Do you have a storage place for records?

Yes [ ]

No [ ]

19. Which of the following is used for storing files in your Ministry?

a.) Filing cabinets [ ]

b.) Shelves [ ]

c.) Boxes [ ]

d.) Other, please specify .....

20. For your choice of storage facility above, please specify what material are they made of?

a) Wooden racks [ ]

b) Steel cabinets [ ]

c) Steel Shelves floor [ ]

d) Shelves adjustable [ ]

e) Card boxes [ ]

f) PVC boxes [ ]

g) Other, please specify .....

21. Do you have artificial climatic control equipment installed in the storage areas?

Yes [ ]

No [ ]

22. What challenges do you face when preserving records?

.....

23. What records preservation/conservation techniques do you apply?

.....

.....

.....



## APPENDIX 11: OBSERVATION GUIDE

Observer.....

Date of observation.....

Time of observation.....

1. What basic preservation measures have been taken?
2. Do records fit well in the files covers?
3. What is the general condition of the records?
4. How are records handled and used?
5. What type of shelving is used?
6. Where are records stored in the registries?
7. Is the records storage area clean?
8. Are records properly shelved?
9. How much space is available for the storage of records?
10. How is access to the storage areas controlled?
11. Are the doors to records storage areas lockable?
12. Are the doors locked at all times?
13. Are there burglar bars on the doors to the records storage areas?
14. Is there a fire protection system?
15. What types of lights are used?
16. Are lights in the records storage areas turned off when not in use?
17. Are there windows in the records storage areas?
18. Are windows covered to prevent sunlight rays from entering the storage areas?
19. Are there any signs of leaks on the roof?
20. Are there any signs of insect droppings?

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