

**ROLE OF SOUND ADMINISTRATIVE RECORDS IN SUPPORT OF QUALITY
SERVICE DELIVERY IN KABAROLE DISTRICT, UGANDA**

BY

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DECLARATION

Declaration by the Candidate

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DEDICATION

This work is dedicated to my late parents, Mr. Augustine Karamagi Abooki and Sefuroza Bonabaana Akiiki; who tried harder, days and nights with all means to ensure that I am who, what and where I am today. May your souls rest in peace.

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ABSTRACT

The loss of control of records has consequences for all citizens, especially the poorest who are least able to defend themselves. Service delivery in Kabarole district is viewed by citizens as inefficient, unreliable and unable to meet their stated objectives. The poor services emanate partly from lack of proper administrative records management. Badly managed records adversely affect the broad scope of public service reforms, and development projects are often difficult to implement and sustain effectively in the absence of well managed records. The aim of the study was to investigate the role of administrative records management in support of quality service delivery in Kabarole district and to suggest strategies for improvement. The specific objectives of the study were to: establish the various services provided by Kabarole district which require the use of administrative records, examine the contribution of administrative records to quality service delivery in Kabarole district, establish the extent of integration of ICT in records management in the district and its contribution to quality service delivery, identify the challenges faced in the management of administrative records in the district in service delivery and propose strategies to align administrative records management with quality service delivery in Kabarole district. The study was informed by Frank Upward Records Continuum Model. A qualitative research approach with some aspects of quantitative techniques was adapted. The study population was 128 staff from which a sample of 90 respondents was randomly picked. A total of 6 district management staff acted as informants. Face to face interviews, observation and questionnaires were used in data collection. Qualitative data was presented and analysed thematically as well as quantitative data. The findings of the study revealed that many services provided by Kabarole district require the use of administrative records but these were poorly managed due to poor record keeping practices. The contribution of records has been undermined by poor classification schemes, lack of records tracking systems and others; ICT has not been adequately implemented and challenges of poor records management practices. The study concludes that although administrative records have an important role to play their effectiveness has been undermined by poor record keeping practices and inadequate application of ICTs. The study recommends implementation of records management policies and procedures, staff training, establishment of a records centre and integrating ICT in records management.

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LIST OF ABBREVIATIONS AND ACRONYMS

AUs:	Administrative Units
CAO:	Chief Administrative Officer
CBS:	Community Based Services
EDRMS:	Electronic Document Records Management System
ESARBICA:	East and Southern Africa Regional Branch of the International Council on Archives
HODs:	Heads of Departments
HRMO:	Human Resource Management Officers
ICA:	International Council on Archives
ICT:	Information and Communication Technology
IRMT:	International Records Management Trust
LC:	Local Council
LGs:	Local Governments
NR:	Natural Resources
NRM:	National Resistance Movement
PAF:	Poverty Action Fund
PSRS:	Public Sector Reform Secretariat
PSRP:	Public Sector Reform Programme
RDCs:	Resident District Commissioners

CHAPTER ONE

INTRODUCTION AND BACKGROUND

1.0 Introduction

This chapter discusses background information to the study. It provides an overview of records, the history of Uganda local governments, devolution of power and responsibilities, background of Kabarole district and records management in local governments. Other issues covered include service delivery and records management, statement of the problem, aim and objectives of the study, research questions and assumptions, significance of the study, scope and limitations, and definition of operational terms. Each of these aspects is presented in the following discussion.

1.1 Concept of Records

Records management has become a critically important instrument not only in managing but also in reforming the public sector and the civil service machinery of government (Commonwealth, 1999). For any reform to take place there must be some current information about it, which can be retrieved and modified. In the United Kingdom, the records management policy of the University of Greenwich Records Management Office (2009) underscores that all employees of any organisation should bear in mind that all the documents they would have created, received or maintained in any form of media during their working process, do not belong to them. These belong to the organisation and are considered to be the official records of the organisation. In other words, the organisation remains the owner of the records because employees are being paid to create the records.

Consequently, all the records and documents created during official work transactions must be managed effectively and efficiently as required for the organisation. The organisation needs to keep records and ensure their proper management since it will use these records in future to support its core functions, and to comply with its legal and regulatory obligations. The very same records will also help to effectively manage the organisation. The organisation will be able to provide evidence of all the work done or not done, and how it was done, or why it was not done. This can be done on the basis of the recorded information about the decisions taken during the process or previous meeting resolutions. In support of the above, Tafor (2003); Currall and Moss (2008) argue that government must keep records to ensure the permanent preservation of their memory so that people account for their actions to citizens. Records must be protected to ensure their accessibility.

Government produces, collects, disseminates and utilises larger volumes of records and information than any other organisations. These records are important for the lives of the public and are also used to hold government accountable for the service delivery (Tafor 2003; Ngulube and Tafor 2006). This emphasises the importance of proper records keeping ensuring government accountability in a democratic society. Proper record keeping is critical for the survival and efficient operation of day-to-day business activities (Swan, Cunningham and Robertson 2002).

In support of the above, Currall and Moss (2008) argue that governments must ensure the permanent keeping of its records since it needs to account to its citizens for its administrative actions. An effective keeping of records will enable compliance with

transparency requirements. Government will be able to prove its administrative process through the records preserved. This was emphasised by Tafor (2003) in his citation from the International Council on Archives (ICA) (1997) that records provide “evidence of human activities and transactions” to protect the rights of both the public and government, and that is good for “democracy and good governance”.

Information and records management in Uganda is backed by the Uganda Constitution in Article 41, which guarantees free access to information for all citizens (Government of Uganda, 1995). The Constitution further provides for the sovereignty of the people and the decentralisation of powers from the central government to the popularly elected leaders of higher local governments like districts, municipalities and lower local governments such as urban councils and sub-counties. All local governments have been strengthened by the commitment to the rule of law and the protection of human rights. In 1997, the Local Governments Act was enacted to pave way for the full implementation of the provisions of the Constitution with the aim of strengthening local governance and service delivery through decentralisation.

Decentralization provides an unparalleled opportunity for local government bodies to address their ongoing records management requirements. It provides a prospect for resolving any deficiencies that may exist in relation to accessibility and conservation of local government’s history/archival material as well as the ways in which they access, track and manage the life cycle of current and future records. The success of the public sectors reforms in Uganda, which are taking place in the 920 sub counties in the country, depends

on the extent to which records are organised and stored. Records are instrumental in interpreting the past as well as forecasting and planning for the future (Uganda communication Commission, 2001).

1.1 .1 Background Information

1.1.2 History of Uganda Local Governments

Decentralisation of governance is one of the most ambitious reforms undertaken by Uganda since its independence in 1962. It is considered to be among the most far reaching local governance reforms in the developing world. According to decentralisation indices prepared by Ndegwa, Uganda captures the top spot (next only to South Africa) as a highly decentralised country in Africa (Ndegwa, 2002).

Uganda's desire for decentralised governance structure has emanated from its tumultuous past of civil war and brutal dictatorship under Idi Amin (1971-1979) and Obote II (1981-1986). It finally embraced decentralisation in 1986 under the leadership of Yoweri Museveni who, through the National Resistance Movement (NRM), galvanised local support for participatory local democracy. On his accession to power he formalized the channels of NRM in order to promote local participation and established a unique 'no-party-system' (Azfar et al. 2007; Francis and James, 2003).

Uganda promoted decentralisation with the objective of empowering its nationals to participate in the process of development to improve their livelihood. This objective is

fundamentally geared towards reducing poverty and enhancing inclusiveness (Bitarabeho, 2008). The legislative framework of decentralisation is provided by the local government statute of 1993. This law facilitated administrative and financial decentralisation, which was soon followed by another act that enabled human resources decentralisation. The enactment of the local government Act, 1997 provided the way for further decentralisation. The 2001 amendment to the 1997 Act extensively empowered elected local governments in Uganda.

Learning from its turbulent past of dictatorship and civil war, Uganda suspended the then existing sectarian multi-party system and embarked upon the 'no-party system' built around the principles of national governance of democratic reconciliation. Under this system individuals contest free and open elections that are based on merit rather than party affiliations (Goetz, 1998). Uganda follows a system of five tiers of governance linked through complex political and administrative arrangements. The city council of Kampala and the districts are the highest tier of government. Urban areas are composed of municipalities and towns; both Kampala city and the municipalities are split into divisions, and subsequently, wards and zones. The rural districts are split into sub counties and subsequently into parishes and villages. Most of the executive decisions are taken at the district and municipality level. The lower-level authorities are considered to be the sub-counties, towns and divisions, while parishes and wards are regarded as administrative units supporting their upper structures (Ahmad et al. 2006).

There are key features that distinguish local governments (LGs) from administrative Units (AUs). The LGs are corporate bodies, with perpetual succession and a common seal. The chairpersons of all LGs are elected through universal adult suffrage. The LGs have the power to approve general administrative plans and financial plans. They extend their services by integrating plans at the lower level of the local council (LC). Unlike the LGs, the AUs are not corporate bodies. Instead, the village chairperson is elected by the village adults, while the chairpersons of the county and parish/wards are elected by electoral colleges/councils at the respective levels (Steffensen et al. 2004). However, the division of power between district chairs (the political head of the relevant jurisdiction) and resident district commissioners (RDC), appointed by the president to represent the government's interest and monitor the activities of districts is nebulous and often creates conflict (Azfar et al., 2007).

1.1.3 Devolution of Power and Responsibilities

Devolution in Uganda has been a gradual process with functions being transferred from the centre to local bodies in an orderly manner along with capacity creation. The central government retained responsibility for national security, planning, immigration, foreign affairs and national projects; all other functions were devolved to local institutions. One of the reforms instituted by the government is the principle of non-subordination, which implies the power of lower councils to make decisions on matters affecting them without resorting to higher levels of local government (Steffensen et al, 2004).

Financial decentralisation in Uganda has empowered local governments. These lower tiers are responsible for collecting and allocating taxes and other financial grants. Articles 191 and 192 of the Constitution of the Republic of Uganda specifically empower local governments to mobilise and generate local revenues. This provision is further elaborated in the fifth schedule of the Local Governments Act, 1997. As per Article 193 (1) of the Constitution, conditional, unconditional, and equalisation grants are given to local governments. Conditional grants are funds delegated by the central government to local governments for specific purposes; this fund constitutes about 88% of government funding to local governments. Unconditional grants, also called block grants, are for unspecified purposes; this funding constitutes 11% of government transfers to local governments. Equalisation grants are allocated to disadvantaged local governments that fare below the national average; this grant forms a very small percentage (about 0.5%) of total transfers. Currently it focuses on key services, namely, education, roads, water, health, and agriculture extension. The combination of the three types of grants constitutes 30% of the national budget (Bitarabeho, 2008).

The allocation of expenditure responsibilities among local government tiers is not clear. It favours upward accountability, where higher levels of government retain significant expenditures but can delegate some of their responsibilities to lower-level institutions. In contrast, local governments are entrusted with expenditures related to staff remuneration. Local authorities are also responsible for undertaking expenses related to service delivery financed through conditional grants. These funds are channeled through the poverty action

fund (PAF) which leaves little scope for the government to undertake non-stipulated but essential works (Francis and James, 2003).

Local councils, more specifically the local government councils, have been granted wide-ranging powers. Local government councils are the highest political authority in their areas of jurisdiction, with both executive and legislative powers, therefore can make local laws not inconsistent with the constitution or any other law. Local government councils have powers to make development plans based on locally determined priorities; raise revenue, including determining and implementing the revenue raising mechanism; make, approve and execute own budgets; alter or create new boundaries within their areas of jurisdiction; appoint statutory commissions, boards and committees for personnel (District Service Commissions), land (District Land Boards), procurement (District and Urban Tender Boards) and accountability (Local Government Public Accounts committees); establish or abolish offices in the public service of a district or urban council as well as hire and manage personnel, and administer own payroll and pension. It is worth noting that these powers are assigned to the councils, and not to individual offices like that of the Chairperson or the Chief Administrative Officer (CAO). This is to ensure democratic participation in decision-making and control by the people as represented in council.

Political Reservations and Gender Equity: Are provisions for reservation in the local councils for women, youth and people with disabilities. At the higher level of government, one-third of the council is represented by women. One of the two councillors representing youth in the district is a female. Similar reservation criterion is observed for people with

disabilities. Lower levels of local governments follow a similar structure of reservation but have two additional councillors representing elderly people over the age of fifty-five. Among them, one is an elderly female. These political measures undertaken by Uganda have ensured a high numerical representation of women in its national assemblies. Besides the above measures, women's presence in the decision-making process has benefited from: the abolishment of multi-party politics which is often based on ethnicity and religion and leaves little scope for gender equity; and the personal support of President Museveni for women's rights (Goetz, 1998).

Uganda also institutionalised gender issues by establishing a separate women's ministry, the Ministry of Gender and Community Development (MoGCD). However, high numerical representation of women in politics does not translate into effective representation of their interests in policy-making (Goetz, 1998). It is observed that women in Uganda have been unable to make a significant impact on economic planning of the country and their interests are second to those of men. However, they have made significant strides in combating violence against women.

1.1.4 Background of Kabarole District

Historically Kabarole district was the headquarters of Tooro Kingdom which comprised of the present day Kasese, Bundibugyo, Ntoroko, Kamwenge, Kyenjojo, and Kyegegwa districts. The British colonial rulers also established their tactical Fort here, led by Gerald Portal hence the assumption of the name Fort Portal. It became a district in 1974 after curving out Kasese and Bundibugyo from the then Tooro district. It was split again into

three districts of Kabarole, Kamwenge and Kyenjojo in 2000. Kabarole district is now composed of two counties of Bunyangabu, Burahya and one municipality (Fort Portal municipality) with fifteen Sub-counties, four town councils and three divisions respectively within which are 78 parishes and 699 villages. Due to its good climate and environment, beauty, and hospitality of the people, it was made the regional headquarters of the historical Western Uganda and is regarded as the pearl of Uganda (Mugisa, 2011).

Kabarole district administrative structure is composed of the political and technical units. The council is the highest organ of the district in accordance with the local government authority which is administratively represented by the district executive committee headed by the district chairperson and the technical leadership is headed by the chief administrative officer.

Kabarole district lies at an altitude of 1300 – 3800 meters above sea level. The district has a total area of 1,814km² of which 1,569 km² is covered by Arable land and 198km² is covered by open water/wetlands, 1,307 km² of the 1,569 km² arable land. The district has a ragged mountainous relief (Rwenzori Mountain) and undulating rolling slopes towards the low land. It is covered by black loams over red sandy clay loams (volcanic soils) and red sandy loams occasionally under laid by soft laterites on the top layer in most parts of the district (Mugisa, 2011).

The district generally has a good climate with fairly well distributed rainfall throughout the year. It has bimodal annual rainfall ranging from 1,200mm – 1,500mm. The climatic conditions are favourable for agriculture and water is readily available. The climate is

attributed to Mount Rwenzori, many surrounding forests like Kibaale and Semuliki Game Park and the many flowing rivers and streams. The temperatures range from 20°C to 25°C in all parts of the district, although in some parts, the temperatures fall below 19°C.

Kabarole district lies between 00 15" N and 10 00" N latitudes and 300 00" E 310 15" E Longitudes. It is found in western Uganda, a road distance of 320kms via Mubende to Kampala Capital City and is bordered by Kasese district in the South, Kamwenge in the South East, Kyenjojo in the East, Ntoroko in the North West and Kibaale in the North East (Mugisa, 2011).

1.2 Records Management in Local Governments

Local governments can only justify actions with reference to records which hold elements like past performance or establish aims and goals. Client service, quality performance of tasks and measurable outcomes are increasingly important responsibilities that depend on records that are accessible and usable. Records management is a fundamental activity in any public administration. Administrative records play a big role in ensuring accountability, transparency, decision making as well as governance. Records document compliance with laws, rules and procedures (Wamukoya and Mutula, 2005b).

Many countries around the world are unable to provide good services because of poor records management practices (World Bank, 2000b). This is true for a country like Uganda, which is hampered by little financial and administrative resources and where records and archives managers lack training or professional development opportunities.

Administrative records on policy formulation, implementation and monitoring as well as records for managing key personnel and financial resources are either inadequate, lacking or have serious gaps. The World Bank also adds that this situation makes it hard to carry out economic and administrative reform programs hence hampering efficiency, accountability and service provision to citizens. Moreover, the decline and in some cases total collapse of record keeping systems make it virtually impossible to determine responsibility for actions and to hold individuals accountable, for example, In the absence of complete personnel files, the ‘ghost workers’ problem cannot be addressed in a sustainable manner. Entries on the payroll database cannot be checked against an authoritative source to ensure that the person actually exists and that payments have been authorized. Head counts and questionnaires provide a temporary solution, but records are an essential aspect of the long term solution (World Bank, 200b).

Furthermore, good record keeping is essential to clear and accountable financial management. Without accurate records of actual expenditures, the process of preparing budgets can become almost meaningless. Poor record keeping affects the entire accounting function, with the result that reporting and auditing may become virtually impossible. Fraud becomes difficult to detect. Debt management also suffers because records of borrowing may be held by different government offices or may be incomplete. Virtually all approaches to improved financial management rely upon more efficient use of information, but these approaches cannot succeed if financial records are badly managed (World Bank, 200b).

This is also experienced with other government departments. Kgosana (2008) reported that the Department of Home Affairs failed to provide records to the Auditor-General to prove expenditure transactions worth millions of rand. Kgosana adds that, the US Department of Health and Human Services (2006) reported that in health service institutions, the ratio for missing medical records is 1:7. This means that for every seven patients consulting at the health institutions, one medical file would be missing. It can be deduced that this is the result of ineffective records management.

Well managed records provide a cost-effective deterrent to fraud and corruption. Records systems provide controls on access to records; track the movement of records through the organization; and provide reliable and authentic audit trails which demonstrate an unambiguous link between an authorization, an individual's actions, and a date. They can serve as evidence to identify abuse, misuse, and non-compliance with financial instructions and other laws and regulations. The loss of control of financial records creates opportunities for fraud, leads to loss of revenue, and impedes fiscal planning. It makes it difficult, if not impossible, to preserve an audit trail of decisions, actions, and transactions. The consequences are particularly apparent in the procurement of goods and works. Without well-managed records anti-corruption strategies are impaired (World Bank, 200b).

Chronic weaknesses in government record keeping can adversely affect private sector investment. For example, overseas firms may hesitate to invest in a country if they feel its courts do not handle civil cases (especially commercial cases) efficiently. Likewise, large-scale infrastructure investments, such as the construction of gas pipelines / oil, may be

delayed or may incur significant additional costs if government land registries cannot provide complete and definitive statements of titles to property. More generally, poor record keeping can contribute to a lowering of the general standard of service offered to businesses. For example, there may be delays in replies to written inquiries about the registration of businesses, the issue of licenses, and other matters necessary for companies to pursue their business (Wamukoya and Mutula, 2005b).

People take better care of land and are more productive when they know they can prove their title or claim to the land and can buy, sell, or lease land with assurance that their rights to do so will be respected. All such rights, claims, titles, and many others are managed through records. Consequently, good record keeping is essential for good transparent management that in turn leads to security, better land management, and better economic development (World Bank, 2000b).

1.3 Service Delivery and Records Management

Public service delivery is critical to ensuring the national well-being and stimulation of economic development. This is because on daily basis governments carry out several regulated and unregulated activities to provide citizens with services and at the same time guarantee that these services are provided in accordance to the rule of law (Kaunda 2005; Nandain 2006; Wamukoya 1995).

Ngoepe (2008) asserts that better service delivery always begins with records management practices. This is because government departments can only take

appropriate action and make correct decisions if they have sufficient information at their finger tips. Proper records management supports efficiency and effectiveness in service delivery in a variety of ways. These include, among others, documentation of policies and procedure that inform service delivery such as; the type of services provided; who are to be responsible for carrying out the work; and what costs are involved.

Kemoni, Ngulube and Stilwell (2007) have also affirmed that proper records management is significant to governments' realization and achievement of their goals such as the rule of law, accountability, management of state resources, and protection of entitlements of its citizens as well as enhancing foreign relations. Nandain (2006) expands on Kemoni, Ngulube and Stilwell's (2007) argument and observes that "effective information and records management provides the foundation from accountability, protection of human rights and increases citizens' awareness to their rights." Thus it is imperative for government to continue improving their records management programmes in order to achieve greater service delivery, bearing in mind that the customers' socio-political and economical needs are diverse. The underlining point therefore is that proper records management facilitates planning, information decision making, supports continuity, consistency and effectiveness of public service delivery.

Public sector reform programmes in Africa focused on reforming the public service, by making it an effective tool for national development (Mutahaba and Kiragu 2002). Examples of African countries where public sector reform programmes concentrated on reforming the public service include Ghana, Kenya, Tanzania, Uganda and Zambia. The

reform programmes emphasised public service capacity building, planning, budgeting, performance improvement and human resource management.

Like in many other government departments worldwide, public service delivery in the public sector seems to be a problem due to the following factors:

- Lack of effective systems for opening, tracking and indexing files (Ngulube and Tafor, 2006);
- No records safety (Ngulube and Tafor 2006; Nengomasha, 2009);
- Lack of effective training, legal and regulatory tools for management of e-records (Nengomasha, 2003);
- No proper capturing and preservation of records (Wamukoya and Mutula, 2005);
- Lack of knowledge about the electronic records program's fundamental elements, which are skilled staff and necessary competencies in the electronic information system; electronic records management legal and administrative requirement; and accurately documented policies, standard operating procedures and formal methodologies for managing e-records (Wamukoya and Mutula, 2005);
- Missing files and documents that delay service to the public (Kemoni and Ngulube, 2008);
- Inadequate records keeping practices and difficulty to trace the movement of records (Kemoni and Ngulube, 2008);
- Lack of core competencies in records management (Nengomasha, 2009);
- No budget dedicated specifically for records management (Nengomasha, 2009);
- No plans for managing e-records (Nengomasha, 2009);

- No security and confidentiality to records (Nengomasha, 2009);

According to Ngoepe (2004) sound records management is the heart of good public management since government services are dependent on access to information. This is because every single activity in government service requires accountability and transparency for proper governance. The State Records New South Wales (2004) emphasises that records are used to prove 'what happened, why and by whom'. Records serve as a tool for easy accountability and are necessary to meet legal, financial and accountability requirements.

Records provide a reliable, legally verifiable source of evidence of decisions and actions. They document compliance or non-compliance with laws, rules, and procedures. Governments can no longer justify taking action with little or no reference to past performance or future goals. Nor can they justify parallel or duplicate services when they can combine services and reduce costs. Client service, quality performance of tasks, and measurable outcomes are increasingly important responsibilities, and these aspirations all depend on accessible and usable records.

1.4 Statement of the Problem

In many countries around the world including Uganda, record keeping systems are unable to cope with the growing mass of unmanaged records. This is true in countries with limited financial or administrative resources or where records managers lack training or

professional development opportunities. Administrators find it more difficult to retrieve the information they need to formulate, implement, and monitor policy and to manage key personnel and financial resources. This situation impedes the capacity to carry out economic and administrative reform programs aimed at achieving efficiency, accountability, and enhanced services to citizens (Abouda, 2011). The decline and in some cases total collapse, of record keeping systems makes it impossible to determine responsibility for actions and to hold individuals accountable.

Abouda also adds that the loss of control of records has consequences for all citizens, especially for the poorest who are least able to defend themselves. Relevant and accurate public records are essential to preserving the rule of law and demonstrating fair, equal, and consistent treatment of citizens. Without access to records, the public does not have the evidence needed to hold officials accountable or to insist on the prosecution of corruption and fraud. Especially in all aspects of public services, including health, education, pensions, land, and judicial rights, which depend upon well-kept and well-managed administrative records. Records are vital for every aspect of the governance process. The effectiveness and efficiency of the public service across the range of government functions depends upon the availability of and access to information held in records.

Service delivery in Kabarole district may be viewed by citizens as inefficient, unreliable and unable to meet their stated objectives due to lack of proper record keeping. Many citizens will complain of poor services especially pensioners. The poor services emanate

mainly from lack of proper administrative records management, corruption and malpractices by the local authority employees. The various services provided by Kabarole district include: community based services (CBS), health services, agricultural services, roads, engineering and water services, natural resources services, production and marketing services, finance, Education, planning and administrative services.

Badly managed records may adversely affect the broad scope of public service reforms, and development projects will often be difficult to implement and sustain effectively in the absence of well managed records. Due to poor records management, user departments in Kabarole district may fail to avail records of contract implementation and management such as implementation plans, site minutes, progress reports, delivery notes and payments vouchers. This may affect the citizens due to poor service delivery caused by lack of proper records management such as accounting records, procurement records, tax records, customs records, electoral registers, policy files, case files, pension records, social security records, land registration records and the like, giving room to malpractices that leads to poor services to the citizens.

The areas where records can be used in service provision in Kabarole district and cause problems in providing services may include: approval of building plans, accounting, business licenses, collection of taxes, plus protection of entitlements, for example pension, social security, land registration among others. The state of records management in general and administrative records in particular in Kabarole district may cause a problem due to lack of standardized practices and procedures; administrative files would

not be kept well due to lack of space causing congestion of files in the shelves hence files would get torn and information get lost; storage rooms would be crowded and poor, tracking system of files will result to massive accumulation of administrative records occupying a lot of office space; delays in promotion, payment of salaries, delays in payment of employee's benefits such as gratuity, pension, insurance and other benefits; personnel files would get lost which is directly linked to poor records management thus causing persistent corruption and fraud. Kabarole district may have not integrated ICT in records management especially in the designing of administrative records system leading to slow retrieval of information. This study set to investigate the role of administrative records in support of quality services delivery in Kabarole district with a view to suggesting strategies for improvement.

1.5 Aim and Objectives of the Study

1.5.1 Aim of the Study

The aim of the study was to investigate the role of administrative records in support of quality services delivery in Kabarole district with a view to suggesting strategies for improvement.

1.5.2 Objectives of the Study

The specific objectives of the study were to:

1. Establish the various services provided by Kabarole district which require the use of administrative records.

2. Examine the contribution of administrative records to quality service delivery in Kabarole district.
3. Establish the extent of integration of ICT in records management in the district and its contribution to quality service delivery.
4. Identify the challenges faced in the management of administrative records in the district in service delivery.
5. Propose strategies to align administrative records management with quality service delivery in Kabarole district.

1.6 Research Questions

1. What are the services provided by Kabarole district that require the support of administrative records?
2. How are administrative records used in service delivery in Kabarole District?
3. To what extent is ICT integrated in administrative records management in service delivery?
4. What are the challenges encountered in management and use of administrative records in support of quality service delivery in the district?
5. What strategies can be suggested to improve administrative records management for quality service delivery in Kabarole district?

1.7 Assumptions of the Study

- Kabarole District has not effectively utilized records management in provision of quality services because it has not practiced proper records management as a tool to providing better service delivery.
- The establishment of an appropriate administrative records management will lead to quality services in Kabarole district.

1.8 Significance of the Study

The study findings are expected to assist the staff to improve the management of records and service delivery in Kabarole district.

The findings of the study are expected to contribute to the body of knowledge on administrative records management and service delivery; and likely to serve as a basis for further research in areas of public service delivery and records management.

The findings of the study are expected to help the district and the government of Uganda to come up with well defined policies and procedures with regard to management of administrative records to support efficient and effective management of human and financial resources; delivery of services to citizens and protect the rights and entitlements of employees.

1.9 Scope and Limitation of the Study

1.9.1 Scope

The study area covered the management of administrative records in Kabarole district and not confined to the Municipality. It primarily focused on the various departments of Kabarole district at the headquarters. Associate bodies of the district and services outside the headquarters were excluded as they are deemed part of Kabarole district already represented.

1.9.2 Limitation of the Study

Local governments are deemed sensitive because of the prevalence of corruption. As a result any mention of records tends to make local government officials reluctant to release any information to members of the public. However, the researcher managed to collect good data though at first the respondents were reluctant but after explanations and assurance that the data was for academic purposes they opened up.

1.10 Definition of Terms

1.10.1 Administrative Records

Administrative records are documents that relate to housekeeping functions such as management of facilities; finances; personnel and to agreements; contracts; meetings; legal actions and many others. Administrative records are records that relate to budget, personnel / payroll, purchasing, legal, financial and similar operational functions common to agency offices (on-line business dictionary).

According to the researcher, administrative records are documents that facilitate the district in performing their executive duties. They furnish or tender the District officers with prescribed regulations of doing their work. They may include laws, regulations, circulars, directives, and court orders among others.

1.10.2 Local Government

A local government is an administrative body for a small geographical area, such as a city, town, county, or state; a local government will typically only have control over their specific geographical region, and cannot pass or enforce laws that will affect a wider area. Local governments can elect officials, enact taxes, and do many other things that a national government would do, just on a smaller scale (On-line business dictionary).

1.10.3 Records

Records are documents regardless of form or medium created, received, maintained, and used by an organisation (public or private) or an individual in pursuance of legal obligations or in the transaction of business, of which it forms a part or provides evidence (World Bank, 2000b).

1.10.4 Records Appraisal

Records appraisal is the process used to determine the value of records, which is a disposal plan before the government body decides on / plans the need to preserve “each records or series of records” (National Archives and Records Service of South Africa, 2006).

1.10.5 Records Disposal

Records disposal is the process whereby the organisation, through its records manager, destroys / erases ephemeral records or transfers archival valued records to an archival institution for permanent safe keeping; records disposal refers to “the action of either destroying / deleting a record or transferring it into archival custody” (National Archives and Records Service of South Africa, 2006).

1.10.6 Records Management

Records management is a field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records (ISO 15489-1:2001).

1.10.7 Records Retention

Records retention is the length of time set for retaining records before disposal by the government body; records retention is the records disposal (destruction or transfer to archive custody) time frame set by the organisation. The records manager sets the period for keeping different types of its records, based on different records values or use such as administrative, legal, research, historic and financial values (National Archives and Records Service of South Africa, 2006).

1.10.8 Service Delivery

Service delivery is the overall name for every activity performed to render quick and satisfying service, and to respond and resolve community or citizen problems; service

delivery refers to the services delivered or that needs to be delivered by the government to its citizens with the aim of meeting their living needs, right demands or expectations. An example of services delivered by government includes, but is not limited, to health / medical, water, roads, education and social services (Mdluli, 2008).

1.11 Chapter Summary

The chapter has introduced the study by discussing background information to the study and the problem which the study intended to investigate. The background of Kabarole district, records management in local governments, Service delivery and records management in general. Aim, objectives, research questions, assumptions, significance, limitations and scope of the study have also been discussed. The chapter has also defined the key terms thus providing a clear understanding to the study.

CHAPTER TWO

LITERATURE REVIEW

2.0 Introduction

This chapter reviews the literature relating to this study. Marshall and Rossman (2006) explain that a literature review is a “thoughtful and logical discussion of related literature which builds a logical framework for the research and locates it within a tradition of enquiry and context of related studies”. The literature review covers related studies in records management with reference to the purpose of administrative records management in Kabarole district. It also relates proper records management to the improvement of service delivery since proper records keeping improves business administration in any organisation. It discusses the theoretical framework upon which the study is based namely the records continuum model. The literature review themes covered in this chapter include: administrative records; management of administrative records; challenges of managing administrative records in local governments; ICT in records management; records management and quality service delivery; public sector reforms and service delivery; records management and service delivery in Uganda; the benefit of proper administrative records management in the public sector; administrative records and accountability; easy retrieval and access; prevention and tracking of fraud and corruption; administrative governance; administrative records and human rights; administrative records and human resource management; administrative records and financial management; administrative records and payroll management; administrative records and private sector investments; problem-solving and decision-making; protecting

organisations against legal charges / claims and ensuring professional administration, accountability and compliance with pieces of legislation.

2.1 Theoretical Framework

Barifaijo, Basheka and Oonyu (2010) define a theoretical framework as a logically developed, described and elaborated network of associations among concepts of variables deemed relevant to the problem situation. A framework enables a researcher to distinguish concepts from variables. The theoretical framework brings out variables that are testable. According to Kombo and Tromp (2006) a theoretical framework is a collection of interrelated ideas based on theories. It is a reasoned set of prepositions which are derived from and supported by data and evidence.

2.1.1 Theories in Records Management

According to Kemoni (2008) many theories have been proposed by different authors on the management of records in both public and private sectors in the world. The most commonly used theories in records management are the Records Life Cycle Concept and the Records Continuum Model.

2.1.2 Records Life Cycle Concept

The records life cycle is the core concept in the field of records management (Chachage and Ngulube 2006). It illustrates and discusses the life span of any records in any format, whether it is paper based or electronic, from creation to disposal. According to the National Archives and Records Service of South Africa (2004), a records life cycle has three major steps as illustrated by Figure one.

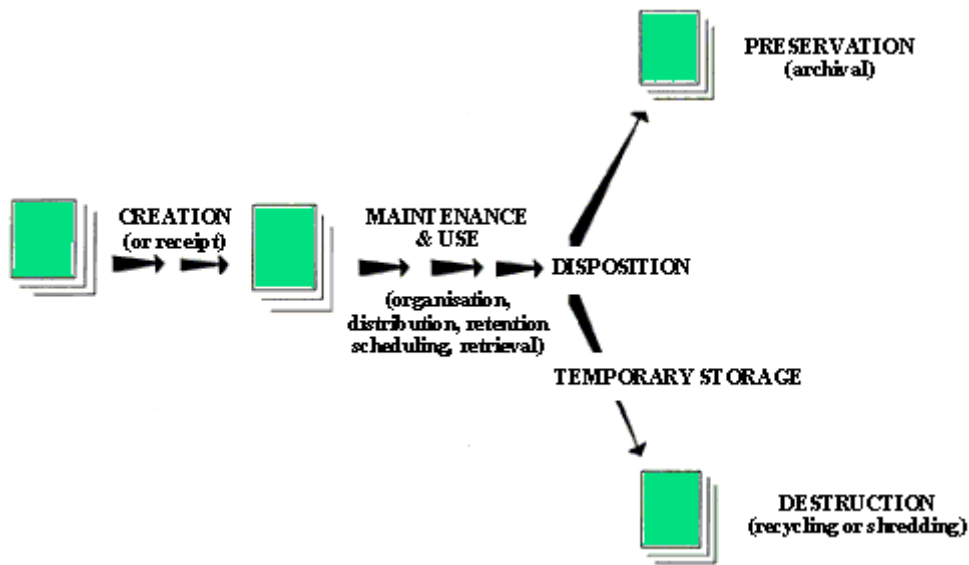


Figure 1: Life Cycle of records by Government of South Australia (2009)

Creation and receiving: This is the first stage of the records life cycle. It is the stage during which the records are born in the process of business administration and received by the family of the records management unit. In this stage organisational business administration officers or employees create records in different formats during their daily business activities. This process of creating records happens when officials discharge their daily administrative duties. Records management officers or employees eventually receive records to properly manage them (National Archives and Records Service of South Africa 2004; National Archives and Records Service of South Africa 2007, Marutha 2011). For example, administrative records are created during meetings, workshops, seminars, reports among others. Eventually, records are received by the district records management unit from the different departments, (Counties and sub-counties) for proper keeping.

Maintenance and use: The next phase of the life cycle is the maintenance and use of the record. It is the stage in which records are maintained by the records manager and records management clerks. Records are also used by government officials and stakeholders at this stage (National Archives and Records Service of South Africa 2004; National Archives and Records Service of South Africa 2007, Matharu, 2011). For example, reports, circulars, bank statements, Minutes etc received by the records management unit will be requested for consultation when making decisions. Administrative records assist the organisation with reliable and legal evidence of decisions and actions and evidence of accountability and transparency of business to the stakeholders” The administrators and employees will use the file and return it to the records management unit for filing and maintenance. The file will be maintained by filing it in the right storage place and shelf as classified for easy future retrieval. It will also be protected against exposure to dangerous hazards like water, fire, rough handling, dust, ultraviolet rays, humid temperature, insects, rodents, vandalism and theft. This will ensure that the quality of the records is maintained throughout its lifespan until such time as it has to be disposed off.

Disposition: Disposal is the third step in a record’s life cycle in which the life of the record is leading towards its end. At this stage, records are appraised to determine their retention value using records disposal schedules. This leads to either the preservation or destruction of the record, depending on the value of the record (National Archives and Records Service of South Africa 2004; National Archives and Records Service of South Africa 2007, Matharu, 2011). For example, the District will decide which records should be kept permanently and which ones would be kept for short period. The decision normally depends on the type of record value, such as administrative, legal, and financial

and research values. Usually, legal and research values are permanent values, whereas finance and administrative values are for short-term preservation of records. Furthermore, records with a permanent value to the institution are transferred to the archives for permanent archiving, preservation and use. Records with short-term value are destroyed within a certain period as per the disposal plan. Nevertheless, it is worth noting that both the records continuum model and records life cycle model are significant and applicable to the management of records to be created for the process of e-administrative service.

The Government of South Australia (2009) has criticized the life cycle model for failure to take into account the existence of those records with continuing values as archives. It goes on to state that the records continuum model is now recognized as a broader model than the life cycle which only describes records. Further criticism of the life cycle model has been advanced by Shepherd and Yeo (2003); Yusof and Chell (2000); McKemmish (1998) and Atherton (1985) who noted that the records life-cycle theory created a distinction between the roles of records managers and archivists during the records life – cycle therefore ignoring the many ways in which records and archives operations are interrelated. Another criticism is its failure in application in the management of electronic records. The authors' point out that the records life-cycle concept would not be used in managing electronic records and needed to be replaced by a model that takes into consideration the aspect of electronic records. The concept of the life-cycle be replaced by a records continuum (Yusof and Chell 2002; Komen, 2012).

The life cycle theory cannot be used as theoretical framework for this study because of its inadequacy to capture all the aspects of recordkeeping such as electronic records management. Thus the concept of the records continuum has been promoted in the world of records management as it addresses the management of both paper and electronic records.

2.1.3 The Records Continuum Model

The records continuum model entails all activities involved in administration and the management of records throughout their lifespan, from creation to disposal during the business transaction and communication. According to Makhura (2005); Bantin (2009); Chachage and Ngulube (2006); Yusof and Chell (2000), the records continuum model is about continuous management of records, from the moment records are created and maintained until they are disposed. It is about the “continuous process” of records management as the business processes continue. This happens as a result of records documenting information about the business process or activities. Therefore, records are created during the business process. The continuum model also gives guidance on relevant vital records to be captured for a certain function or activity, the system and procedure. It helps to ensure proper capturing and maintenance of records for effective and efficient preservation and easy access to records. It also gives guidance on the process before the creation of records when the records keeping system is designed or created. It is adding value to the records life cycle with the ICT concept, which is about electronic records management. This can also be applicable to local government

administrative records for effective management, easier and quicker access to records when rendering administrative services to citizens.

According to An (2002) and as defined in Australian Standard 4390, records continuum is "...a consistent and coherent regime of management process from the time the creation of records (and before creation, in the design of recordkeeping system) through to the preservation and use of records as archives. " This definition suggests idea integration for documents, records, and archives management.

The earliest view of the continuum concept came from Australian national archivist Ian Maclean in the 1950s. He said records managers were the true archivist, and that archival science should be directed toward studying the characteristics of recorded information, recordkeeping systems, and classification processes. His view promoted the search for continuity between archives and records management (McKemish, 1998).

The word "continuum" was not widely used in Australia until Canadian archivist Joy Atherton made it explicit at the annual Association of Canadian Archivists conference in 1985. According to Atherton (1985) all stages of records are interrelated, forming a continuum in which both records managers and archivists are involved, to varying degrees, in the ongoing management of recorded information. She explained how the lifecycle stages that records supposedly underwent were in fact a series of recurring and reverberating activities within both archives and records management. The underlying unifying or linking factor in the continuum was the service function to the records'

creators and all users. Atherton's view pointed out the weakness of separating records management and archives administration under the lifecycle model.

The records continuum as a model concept was formulated in the 1990s by Australian archival theorist Frank Upward based on four principles (Upward, 1998):

1. A concept of "record" inclusive of records of continuing value (archives) stresses their uses for transactional, evidentiary, and memory purposes, and unifies approaches to archiving/ recordkeeping, whether records are kept for a split second or a millennium.
2. There is a focus on records as logical rather than physical entities, regardless of whether they are in paper or electronic form.
3. Institutionalization of the recordkeeping profession's role requires a particular emphasis on the need to integrate recordkeeping into business and societal processes and purposes.
4. Archival science is the foundation for organizing knowledge about recordkeeping. Such knowledge is revisable but can be structured and explored in terms of the operation of principles for action in the past, the present, and the future.

In her book *Yesterday, Today and Tomorrow: A Continuum Responsibility*, McKemmish (1998) writes: "The model provides a graphical tool for framing issues about the relationship between records managers and archivists, past, present, and future, and for thinking strategically about working collaboratively and building partnerships with other stakeholders."

Kennedy and Schauder (1998), explain the four dimensions that Upward used in his concept of the continuum model as follows:

1. At level one, the model identifies accountable acts and creates reliable evidence of such acts by capturing records of related/supporting transactions. Records of business activities are created as part of business communication processes within the organization (e.g., through e mail, document management software, or other software applications).
2. At level two, recordkeeping systems manage “families” of transactions and records series documenting processes at the work-unit or single function scope of complexity. Records that have been created or received in an organization are tagged with metadata, including how they link to other records.
3. At level three, a seamless recordkeeping scheme embraces the multiple systems and families of records that serve the entire documentary needs (i.e., business, regulatory, and cultural / educational / historical) of a single entity. Records become part of a formal system of storage and retrieval that constitutes the organization’s corporate memory.
4. At level four, a collaborative recordkeeping establishment under the guidance of a suitably empowered public recordkeeping authority serves the needs of the total society, its constituent functions, and the entities that carry them out. The recordkeeping establishment serves the documentary needs of many entities within its jurisdiction and ensures the accountability and the cultural memory of the society as a whole. Records required for purposes of societal accountability

(e.g., by corporate law) or other forms of collective memory become part of wider archival systems that comprise records from a range of organizations.

In the article “The Records Continuum Model in Context and Its Implications for Archival Practice,” Flynn (2001) explains that the records continuum model is significant because it:

- Broadens the interpretation of records and recordkeeping systems offered by the lifecycle model. Such broadening is helpful, given the variety of contexts in which archivists and records managers operate and in which archives and records are used.
- Reminds us that records (including archives) are created and maintained for use as a result of business and administrative functions and processes, rather than as ends in themselves.
- Emphasizes cooperation beyond the walls of repositories, especially between the closely related, if occasionally estranged, professions of archives administration and records management – a cooperation that is more important than ever in the contemporary climate of outsourcing and cross-sectoral working.

2.1.4 Comparing the Lifecycle and Continuum Models

The best – practice mechanisms behind the records continuum model may be explored by comparing the records continuum model and the lifecycle model. The records continuum model differs from the lifecycle model in the following:

- origins of the model

- elements of records definition
- major concerns in records management
- records movement patterns
- recordkeeping perspectives
- recordkeeping process
- criteria for selecting archives
- time of appraisal
- role of recordkeeping managers
- undertaking records management tasks

The juxtaposition of the records continuum and lifecycle models shows that the records continuum model's advantages outweigh the lifecycle models, particularly in electronic records management.

The records continuum's primary focus is the multiple purposes of records. It aims for the development of recordkeeping systems that capture, manage, and maintain records with sound evidential characteristics for as long as the records are of value to the organization, any successor, or society. It promotes the integration of recordkeeping into the organizations' business systems and processes (Marchall, 2000).

The best-practice mechanism behind the records continuum model uses an integrated approach for managing records and archives (McKemmish, 2003). Records managers and archivists are brought together under an integrated recordkeeping framework with the same goal: to guarantee the reliability, authenticity, and completeness of records. The framework provides common understanding, consistent standards, unified best-practice criteria, and interdisciplinary approaches and collaborations in recordkeeping and archiving processes for both paper and digital worlds. It provides sustainable recordkeeping to connect the past to the present and the present to the future. It can coherently exist in a broader dynamic, changeable context that can be influenced by legal, political, administrative, social, commercial, technological, cultural, and historical variables across time and space.

The integrated recordkeeping framework would:

- facilitate provenance
- underpin accountability
- constitute memory
- construct identity
- provide authoritative sources of value-added information.

The continuum's purpose-oriented, systems approach to records management fundamentally changes the role of recordkeeping. Instead of being reactive, managing records after they have been created, recordkeeping becomes proactive (Upward 2000, 2004, 2005a, 2005b). In partnership with other stakeholders, identifying records of

organization activities that need to be retained, then implementing business systems designed with built-in recordkeeping capability ensures capturing records of evidential quality as they are created. Built-in capture and assessment mean that records of value are created in the first place whenever electronic systems are used for business transactions. With appropriate metadata to ensure that they are accurate, complete, reliable, and usable, these records have the necessary attributes of content, context, and structure to act as evidence of business activity. And, Marchall (2000) notes, knowing from the outset which electronic records must be kept for the longer term means such records can be migrated across systems as hardware and software upgrades occur. The lifecycle model uses a birth-to death analogy to describe records as passing through a series of stages. It provides a fragmented framework for recordkeeping by:

- artificially dividing the mission of records and archives management
- dismantling the responsibilities of records managers and archivists into divided roles
- limiting ways of thinking about custody through narrow selection criteria
- viewing records as tangible physical objects in a paper world and static environment

The lifecycle model regards electronic records as different media similar to film, recordings, and microfiche that only need special handling requirements. Viewing a record as a physical entity with distinct and separate phases of usage is difficult with electronic records, as the nature and volatility of these records negates this approach. Electronic records must be located where the hardware and software systems that provide

their “living” environment are located, thus defying the lifecycle model’s traditional repository and custodial orientation.

According to Marchall (2000) the actual location of the systems that store records is irrelevant in terms of accessibility and use in the networked world.

The mechanisms of best practice behind the records continuum model are ideal for integrating records and archives management because the records continuum focuses on:

1. similarities rather than differences
2. qualities and quantities rather than quantities alone
3. positive and cohesive ways of thinking rather than disparate or passive ways
4. integrated policy making rather than fragmented frameworks
5. integrated control of policy implementation rather than separate control
6. integrated rather than disparate approaches to problem solving
7. meeting customers’ needs through collaboration rather than by duplication and overlap.

These arguments highlight the records continuum model’s importance as a best-practice model for managing electronic records when the aim is to improve responsiveness, increase efficiency, and satisfy users’ requirements (An, 2001).

2.1.5 A Best-Practice Framework for Managing Electronic Records

The records continuum model's ideal of integration can be viewed as a best-practice framework for managing records within a broader context of archival science to connect the past to the present and the present to the future, particularly for electronic records.

The best- practice framework consists of three components:

1. integrated frameworks that provide levels of integration for best practice
2. integrated approaches that provide positive ways of thinking about archival concepts
3. integrated control that provides a set of unified criteria for measuring models and methods.

An Integrated Framework

An integrated framework sees the management of records as an archival business geared toward customer-satisfaction, service, cost-effective management, and best value. It should be customer driven and integrated into records management through work processes to produce quality information.

Five levels of integration should be built into the management of recordkeeping processes (An, 2002):

1. Common culture – common understandings and expectations among creators, users, custodians, and administrators on the values and functionality of documents, records, and archives.

2. Common standards – consistent terminology and procedures to make the records continuum routine easier to maintain and interface with throughout the recordkeeping process.
3. Information sharing – use of best-practice criteria, policies, and standards in the business management processes.
4. Coordination – negotiation and exchange of records management policies permitting separate, but interdependent, management to respond to each other's needs and limitations.
5. Collaboration – partnerships of creators, users, custodians, and administrators in implementing integrated frameworks and policies, as well as in accountability for society.

An Integrated Approach: The goal of an integrated approach is to develop collaborative ways of thinking in order to guarantee a reliable, authentic, and integrated memory for the organization and society, provide consistent and sustainable recordkeeping services to meet societal needs, and promote professional commitments and value-added contributions for best practice.

Such an integrated approach should employ three tools of integration as a basis for dealing with electronic and digital issues (An, 2002, 2001):

1. Client-led marketing strategy: the needs of creators and users are priorities for the recordkeeping service's mission and such needs should be met effectively.
2. Post-modern archival thinking: considers archiving a key feature of society's communication processes in shaping reality rather than just documenting it; it views archivists as co-creators of knowledge, culture, and society rather than just

passive recipients, merely guarding and retrieving records and knowledge created entirely by others. In his presentation, “Post-Modern Archives: the Changing Intellectual Place of Archives,” Tom Nesmith said studying archives is a vital aspect in the pursuit of human understanding. The study of archives is no longer just for archivists who want to be effective on the job, valuable as that is. It is for creators who want to be accountable to society and for users who want to receive the best value of archives service as well. Post-modern archival thinking should result in front-end control and the integrated control of records and archives management, and it should enable a collaborative approach for recordkeeping across borders, institutions, and disciplines.

3. Records continuum regime model: the internationally recommended records–continuum best-practice model applied as an approach for managing documents, records, and archives. Such a model employs an interdisciplinary approach to develop integrated frameworks and integrated control through documents management, records and archives management, and business management throughout the records’ life to ensure their accuracy, authenticity, reliability, and integrity.

2.1.6 An Integrated Control

According to An (2002, 2001) the records continuum regime model is an integrated control, meaning that the control of product, process, and service should be integrated into the management processes of recordkeeping. Integrated control is a means for bringing together the contribution of each participant with something to offer. It is a

means of increasing total contribution and completeness of records delivery, improving collaboration among creators, users, archival administrators, and custodians for better quality of service. Integrated control provides criteria for measuring three aspects of best practice: product control, recordkeeping management process control, and client-oriented service control. Product control measures the quality and quantity of a records and archives management program's output. Indicators for quality are accuracy, authenticity, and reliability; indicators of quantity are completeness and integrity. Process control uses integrated frameworks to measure the process of records and archives management. Indicators are effectiveness, economy, and efficiency. Service control measures the delivery of service by the sustainability and consistency of service to the satisfaction of the clients. The indicators are records' availability, accessibility, and readability.

The evolution of the records continuum concept shows records management and archives management moving toward integration. The advantages of the records continuum model over the lifecycle model demonstrate that the mechanism behind the continuum's best practice is an ideal of integration for the management of documents, records, and archives. The idea of integration can be developed toward a best-practice framework for records and archives management. Integrated approaches, integrated control, and integrated framework are components of a best-practice framework and should provide positive ways of thinking, integrated requirements, and unified criteria leading toward best practice.

The best practice can be measured by client-satisfaction service, cost-effective management process, and best-value records.

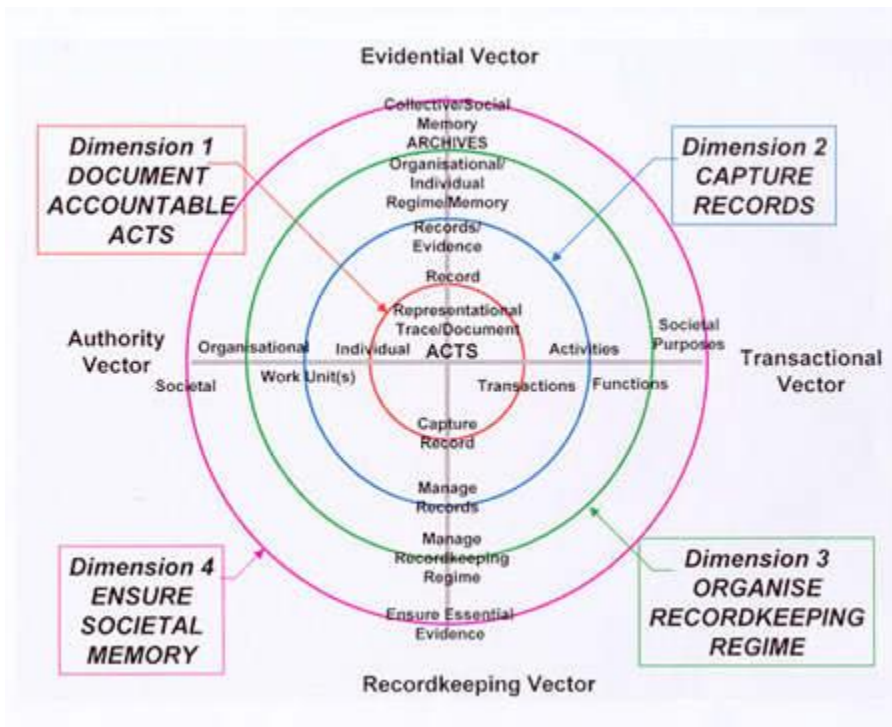


Figure 2: Records Continuum Model

Source: Frank Upward, Senior Lecturer Monash University.

2.1.7 Theoretical Approach to quality service

The service Quality Gap: Service quality is a concept that has aroused considerable interest and debate in the research literature because of the difficulties in both defining it and measuring it with no overall consensus emerging on either (Wisniewski, 2001). There are a number of different “definitions” as to what is meant by service quality. One that is commonly used defines service quality as the extent to which a service meets

customers' needs or expectations (Wisniewski and Donnelly, 2001). Service quality can thus be defined as the difference between customer expectations of service and perceived service.

Mode of Service Quality Gaps: The model is an extension of Parasuraman et al. (1985). According to Luk and Layton (2002) the three important gaps, which are more associated with the external customers are Gap 1, Gap 5 and Gap 6, since they have a direct relationship with customers. The service quality gaps outlined by this model are as outlined below:

Gap 1: Customers' expectations versus management perceptions: as a result of the lack of a marketing research orientation, inadequate upward communication and too many layers of management.

Gap 2: Management perceptions versus service specifications: as a result of inadequate commitment to service quality, a perception of unfeasibility, inadequate task standardization and an absence of goal setting.

Gap 3: Service specifications versus service delivery: as a result of role ambiguity and conflict, poor employee-job fit and poor technology-job fit, inappropriate supervisory control systems, lack of perceived control and lack of teamwork.

Gap 4: Service delivery versus external communication: as a result of inadequate horizontal communication and propensity to over-promise.

Gap 5: The discrepancy between customer expectations and their perceptions of the service delivered: as a result of the influences exerted from the customer side and the shortfalls (gaps) on the part of the service provider. In this case, customer expectations

are influenced by the extent of personal needs, word of mouth, recommendation and past service experiences.

Gap 6: The discrepancy between customer expectations and employees' perceptions: as a result of the differences in the understanding of customer expectations by front-line service providers.

Gap 7: The discrepancy between employees' perceptions and management perceptions: as a result of the differences in the understanding of customer expectations between managers and service providers.

According to Brown and Bond (1995) "the gap model is one of the best received and most heuristically valuable contributions to the service literature". The model identifies seven key discrepancies or gaps relating to managerial perceptions of service quality, and tasks associated with service delivery to customers. The first six gaps (Gap 1, Gap 2, Gap 3, Gap 4, Gap 6, and Gap 7) are identified as functions of the way in which service is delivered, whereas Gap 5 pertains to the customer and as such is considered to be the true measure of service quality. The Gap which the SERVQUAL (service quality) methodology has influence is Gap 5. The SERVQUAL instrument has been the predominant method used to measure consumers' perceptions of service quality. It has five generic dimensions or factors and are stated as follows (Van Iwaarden et al., 2003):

- Tangibles: Physical facilities, equipment and appearance of personnel.
- Reliability: Ability to perform the promised service dependably and accurately.
- Responsiveness: Willingness to help customers and provide prompt service.
- Assurance (including competence, courtesy, credibility and security): Knowledge and courtesy of employees and their ability to inspire trust and confidence.

- Empathy (including access, communication, understanding the customer): Caring and individualized attention that the organisation provides to its customers.

2.1.8 Relevance of Records Continuum and Service Quality Gaps Models to the Study

The study has adapted the records continuum theoretical model. This is because most of administrative records in Kabarole local government are being managed manually and there is an element of creating and managing these records in a continuum form. This is because, within the view of the continuum concept, an archival document can be retrieved and returned to a current status just as a newly created record can be archived immediately after use. This view is more practical in local government service delivery, where archival records can be returned back to current use, for example, review of reports / minutes of closed project to provide business evidence if it was efficient and effective. The reviewed reports are usually used to improve planning, decision – making, retrieval, access and tracking of records and implementation of new projects. This approach is very close to the first and second objectives of the study. The continuum also emphasizes heavily on electronic records which have become a major component of records in organizations today, Kabarole district inclusive. The study emphasizes the computerization of administrative records to enhance retrieval and speedy decision making. The capturing of administrative records in electronic form in the local governments supports the reasons for adapting Records Continuum Model to this study.

In terms of quality service delivery, the model of service quality gaps in conjunction with SERVQUAL is considered the best approach to the concept of quality for this study. It points out clearly that a particular area need to be addressed insofar as improvement in service quality is concerned, and it has a mechanism that can be used to evaluate the extent to which the approach taken in addressing the identified service quality gap meets the expectations. This model is able to address both issues at the same time. It provides a mechanism through which areas of weakness can be easily identified (the seven gaps) and a mechanism through which any measure taken to bridge the gaps can be evaluated for its effectiveness (SERVQUAL).

In addition to this advantage, the model is applicable to practically any organization or institutional setting. This attribute makes it to fit quite easily with the current study because the citizens who are main clients in Kabarole local government always have expectations which the district strive to meet. The employees too (staff), in the process of delivering services, have standards that they often seek to achieve. This means that first, there is need to acknowledge that there is a gap to be filled and secondly, in the process of filling the gap, there has to be a yardstick which measures the processes of filling the gap. The model of service quality gaps in conjunction with SERVQUAL fortunately address both concerns and is thus considered the best services quality model for this study.

2.2 Review of related Literature

2.2.1 Administrative Records

Administrative records are documents that relates to housekeeping functions such as management of facilities, finances, and personnel, and to agreements, contracts, meetings, legal actions and many others. According to the researcher administrative records also relate to budget, personnel / payroll, purchasing, legal, financial and similar operational functions common to agency offices. There are documents that facilitate the district in performing their executive duties. They furnish or tender the district officers with prescribed regulations of doing their work. They may include laws, regulations, circulars, directives, court orders, and many others.

According to Shepherd and Yeo (2003) Organisations use administrative records in the conduct of current business to enable decisions to be made and actions to be taken. Administrative records may be required for business purposes whenever there is a need to recall or prove what was done or decided in the past. Administrative records provide access to precedents or previous work and thus save time and money by eliminating the need to create resources afresh. Administrative records are also kept to guard against fraud and to enable organisations to protect their rights and assets at law. Organisations also use administrative records to support accountability, when they need to prove that they have met their obligations or complied with best practice. Organisations are accountable in many ways: they must meet legal, regulatory and fiscal requirements, and undergo audits and inspections of various kinds; and they must be able to provide

explanations for decisions made or actions taken. The use of administrative records is the primary means by which organizations can defend their actions if they are called to account for their conduct.

In addition, Shepherd and Yeo point out that such external accountability is particularly important to public bodies, which are responsible for their actions both to governments and to the wider public. Companies are responsible to their shareholders, besides having a level of responsibility to the wider community. Every organisation is liable to be called to account by legislators, regulators or auditors. Organisations use their administrative records to respond to challenges made against them, whether in a court of law or elsewhere, and to justify their actions and decisions in response to enquiries or in the public arena. Within organisations, administrative records support internal accountability. Those working at lower levels are responsible to their senior for the work they perform, and administrative records are used to prove or assess performance. Organisations may also use them for cultural purposes, both for research and to promote awareness and understanding of corporate history. Outside the organisation, the wider community also has expectations that records should be kept. When administrative records are used for purposes of accountability they are not merely supporting organisational needs for compliance or self-defence; they also meet the requirements of society for transparency and the protection of rights. Other organisations and individuals may use administrative records for historical, demographic, sociological, medical or scientific research. Administrative records kept for cultural purposes also serve the values of society and its need for collective memory.

2.2.2 Management of Administrative Records

Administrative records management is a process of ensuring the proper creation, maintenance, use and disposal of records to achieve efficient, transparent and accountable governance. Sound administrative records management implies that records are managed in terms of an organisational records management programme governed by an organisational records management policy. A sound records management programme is advantageous because: a well-organised file plan enables an organisation to find information easily. Records that are correctly filed and stored are easily accessible, and this facilitates transparency, accountability and democracy; the orderly and efficient flow of information enables the organisation to perform its functions successfully and efficiently; authoritative and reliable records are created and maintained in an accessible, intelligent and usable manner to support the business and accountability requirements of the organisation; efficiency and economy are ensured by eliminating unnecessary duplication of records; a retention and disposal programme ensures that the organisation maintains only those records it really needs for functional purposes; and controls are exercised to ensure that only authorized persons have access to the information, thus preventing information and / or administrative records themselves from being stolen or damaged. This ensures the protection of privacy and confidentiality, and prevents the inappropriate disclosure of information that could harm the organisation or infringe the privacy rights of individuals (Shepherd and Yeo, 2003).

Government bodies can only be effective and efficient if records management is considered a business process designed to support business objectives. Records are

considered a resource and are utilised fully and cost effectively to realize business objectives. Each governmental body creates and maintains a culture which will promote effective and efficient records management to facilitate efficient and timely decision-making. In Uganda local government relies on elected councilors and appointed officers. With good governance comes credibility and confidence in public services. The function of governance is ensuring local authorities and other governmental organisations connected in partnership to fulfill purposes and achievements of intended outcomes for citizens and services, user operations and ineffective, efficient, economic and ethical manner. This concept guides all governance activity which leads to good management, good performance, and good stewardship of public money, good public engagement and ultimately good outcomes for citizens and services to the users.

2.2.3 Challenges of Managing Administrative Records in Local Governments

The international Council on Archives (ICA) (1997), in proposal on the management of public sector records states that records are geared towards improving organizational competence and fostering greater professional development of those civil service administrators in charge of records and information. It stressed on the need to build upon and develop existing structures, in particular the national archives administrations, empowering them and their staff to take a major role in planning and managing government information and record systems, which are increasingly electronically based. It also stressed the importance of archives in making governments accountable and in guaranteeing individual rights in the long-term. Government staff agencies need to

manage information resources on varied formats that include desktops, files and computer systems which they interact with. Further, they need to determine which information resources are records and how much of that information is subject to open records laws.

Very few local governments have adopted uniform implementation of records management tasks and even devoted staff on full time basis on records management work. The task of records management has been driven to other meanings rather than the systematic control, management and usage of information and knowledge of the local authorities. As budgets tightened with more application of technologies such as e-mails, electronic applications, databases and web portals, this happened without proper guidance of records managers (Cronin, 2003). Electronic records management must include systems of planning, implementation and observation of immediacy of creation as the organisation classifies information for further usage. This classification is vital for the application of corresponding electronic controls to ensure the effective maintenance and disposition of records (Shepherd and Yeo, 2003).

Local governments should recognize their responsibility to the public by implementing and maintaining sound records management practices to ensure that records management receives the attention it deserves.

Heads of local governments should also ensure that a budget for records management is in place and the necessary financial, human and technological resources are available to

support records management. Public organisations are riddled with major problems such as (Mnjama, 2003):

- Lack of accountable records management goals.
- Incompetent qualified staff in records management and archives.
- Poor storage facilities.
- No training in records management and archives.
- No financial and administrative support in records management.
- Low emphasis on introduction of ICT's at expense of paper based records management systems. These could lead to:
 - Loss of control over creation and use of records.
 - Loss of control over access to records.
 - Fragmentation of official records.
 - Existence of different versions of the same information or duplication of records.
 - Loss of contextual information such as the original and date of creation.
 - Ease of manipulation of electronic records.
 - Difficulties in retrieval of records.
 - Misuse of records such as unauthorized access or alteration of records.

2.3 ICT in Records Management

According to (IRMT, 2009) and Kalusopa (2011) e-records permit for information to be accessed and used by a number of people at the same time, even if they are in different places. In instances where resources are scarce or distances are greater, the ability to

provide access to information without the boundaries of time or space can significantly improve service, increase information sharing and enhance public operations. Thus it can be said without hesitation that ICTs enable a government to deliver its programmes and public services more effectively and efficiently in what has come to be termed e-government (Wamukoya & Mutula, 2005).

According to Kemoni and Ngulube (2008), the adoption of an e-government strategy holds a number of benefits for the government and its citizen such as improved delivery of government services; improved interaction with businesses and empowerment of citizens through access to information. For instance e-governance has been embraced in India as one of the innovations required to build a more responsive and accessible government to its citizens. The delivery of public services such as the railway bookings are no longer the troublesome process they once were, as they are now available online (Tshandu & Kariuki, 2010).

Moloi and Mutula (2007) also pointed out that in Britain the Public Records Office has a functional strategy for providing guidance and standards for the management and prevention of electronic records. It has also been noted that Britain is at the fore front of e-government usage for the development of health care infrastructure with electronic health records being funded through National Health Services (NHS) (Chikuni, 2008).

Similarly, the United States government has shifted the provision of its services towards the use of ICTs and as a result e-records are generated in large volumes (Moloi & Mutula 2007). According to Wamukoya & Mutula (2005), e-records in the United States are

becoming “the basis for confirming pension rights; enabling collection of taxes, supporting financial” amongst many. Furthermore, the government has made it a requirement that all telecommunications and computer systems procurement conform to open systems functionality to enhance compatible and connectivity (Moloi & Mutula, 2007). In addition, the authors have expressed that effective utilization of ICTs in the least developed countries has the potential to improve the economy and provide solutions to all deeply entrenched problems such as corruption, and lack of transparency in the public sector administration.

Thus, ESARBICA countries such as South Africa, Kenya, Namibia, Botswana and Zimbabwe have been rated as top economies in exploiting, global ICT developments by the Africa competitiveness Report of 2006 of the World Economic Forum’s Global Information, (Luyombya, 2010).

In corroboration to the above mentioned report, the Vice President of Botswana Lt Gen Mompoti Merafhe, during the official opening of the 6th Annual Commonwealth Telecommunications Organizations Forum on E- Government and Extraordinary Council held in March 2012, pointed out that the government of Botswana has initiated measures to expand access to the benefits of e-government in education, health legislation and other areas (Mogapi, 2012).

Information and communication technologies (ICTs) provide the opportunity for governments throughout the world to improve the delivery of information and services to citizens and business, to streamline public sector functions, and to increase participation

in government. In some instances, this is just a matter of providing electronic access to existing information. In others, electronic services, such as land searches or submission of tax returns, are being delivered on-line. Electronic government has the potential to transcend constraints imposed by distance and increase the speed of service delivery. However it also poses a number of challenges for accountability, the rule of law and the maintenance of organisational memory.

Duranti (1999) asserts that the adoption of electronic records systems and particularly ICTs has its pros and cons. Particular is the adoption without proper forecasting and planning for the consequences of hybrid record systems, digital environments that facilitate manipulation of data, media and digital obsolescence and the proprietary of idiosyncratic nature of applications already witnessed in governments and organizations. Durranti adds that the challenge is to have proper creation, maintenance or reliable records that preserve their over time identities. It is therefore worthy developing strategies that adopt professionalism and standards capable of meeting the challenge presented by creation and maintenance of reliable records and preservation of authentic records.

As more citizens / state interactions occur in electronic form, it is vital to ensure that electronic systems support evidentiary record keeping. Citizens will expect that their rights are as well protected and documented in an electronic environment as in a paper-based one. This can only be achieved if the records generated through electronic government are carefully managed through systems providing constant intellectual and

physical control. The aim must be to preserve the combination of content, context and structure which give electronic records meaning over time, to protect the fragile media from degradation, and to ensure efficient access.

There are several solutions to deal with e-records challenges and problems. One of the key solutions is that government should have rules that indicate what types of records qualified to be kept in the system, responsibility for capturing and retrieval of records in the system, records usage, retention period and method (Tafor, 2003). People must have effective plans to manage electronic records. This will assist in avoiding duplications and breaches on security or access control, which ensures that records are not deleted or accessed without authority. All these challenges can be addressed or prevented through the establishment and implementation of an effective records management policy (King 1997).

A proper records management programme is guided by policies, rules and procedures to ensure an environment that is conducive to proper records management (Chinyemba and Ngulube 2005). Singapore is a good example of success; since 1990 the country has been enjoying the end products of electronic filing systems, such as readily accessible information and records to handle the court cases (Thurston 2005). This situation and requirements are also applicable to local Government records.

2.4 Records Management and Quality Service Delivery

According to Thurston (2005) there is a link between good records management and service delivery. As a key component of public service reforms good recordkeeping has contributed towards efficiency and effectiveness especially in those countries where as part of public service reforms there was a component on records management improvement. Thurston further observes that the state of many African countries remain far from satisfactory because officials suffer embarrassment on daily basis, they find themselves unable to take action where necessary due to lack of requisite information.

2.4.1 Public Sector Reforms and Service Delivery

Wamukoya and Mutula (2005) describe public service reforms as interventions that affect the organisation, performance and working conditions of employees paid from central or state government budgets. Pathak et al. (2010) define public service reforms in a “restricted sense as the reorganization of public service management”, or broadly as “the human dimension of administrative reorganisation to deliver public service more efficiently and effectively”.

The ultimate goal of public service reforms is to raise the quality of public services delivered to the population and to enhance the capacity to carry out core government functions. Public service reforms are essential to promoting sustained economic and social development (Osman, 1994). The other importance of public service reforms is to improve efficiency and performance of the civil service and to make certain that it is sustainable in the long run. The general functions of public service reforms is to improve upon the core

functions of a government such as revenue generation, financial management, personnel management and policy formulation for instance (Wescott, 1999).

Wescott (1999) adds that in a large number of post colonial states in Africa, public services are plagued by corruption and other misallocation of resources, ineffective service delivery, sub-minimum wage and the employment and promotion of unqualified staff. Shah (2005) is of the same opinion that, politicians and bureaucrats in developing countries are more interested in enriching themselves than in providing services needed by their citizens; and as such performance in delivering services to citizens' preferences has been considered weak. The resulting effect of this situation has been lack of rule of law; transparency and accountability which in turn allows bureaucracy elites to continue with these practice and go unpunished. Kemon (2007) noted that developed countries such as the United States, Canada and Singapore have introduced public service reforms designed at making their governments more responsive to their citizens. These include introduction of "new management techniques, organisational management that put greater emphasis on client service". Some of the significant changes in these countries were the merging of government departments in order to facilitate the development and co-ordination of policies within their public services and the introduction of ICTs which radically altered the internal operations of the public service and enhanced service delivery.

Though a number of countries in Africa are increasingly reforming their public sector, to make them "less greedy of scarce public resource; more efficient; competitive and customers focused" governments neglect to incorporate records management in their

strategic planning (Chittoo, Ramphul & Nowbutsing, 2009). Sicalwe, Ngulube and Stilwell (2011) are of the view that the reforms cannot be successful without proper, reliable and readily available records; indicating that the management of public sector records is a “critical aspect of the Public Sector Reform Programme (PSRP).

In Kenya, Kemoni and Ngulube (2008) noted that the public service has been characterized by mismanagement, wastage of resources and delays resulting in poor service delivery. To combat these mishaps the government enacted a number of measures to reform the public service in order to make it customer focused. For example, a Public Sector Reform Secretariat (PSRS) was established. Furthermore the Kenya government also introduced the e-government strategy with the purpose of enhancing public service delivery.

A study seeking to analyze the primary emerging constraints to public sector management in Botswana carried out by Hope (1995) indicated that the public service plays an essential role in the running of national affairs. This was owing to the temperament of the financial system occasioned by sustained national growth and the well-organized channeling on mineral revenues into public programmes aimed at creating employment, and facilitating the expansion and diversification of the economy. Be that as it may, concerns have been raised regarding poor service delivery in Botswana. Sebusang & Moeti (2005) also carried out a survey that established that public service was not customer oriented; productivity improvement schemes have not reached their objective. The outcome of the survey indicated that 92.5% of the correspondents indicated that the public service needs to be more customer-focused and 80.2% said they very much concurred with the need for

customer focus initiatives. The results gave a strong affirmation of the lack of service – oriented, customer- focused service delivery ethos in the public sector. Sebusang & Moeti also posit that these results may spell disaster for the country’s national development strategies and vision.

Furthermore, the President of the Republic of Botswana in his State of the Nation Address in 2010 stressed the government’s commitment to the public service. He highlighted that the government has invested in appropriate infrastructures such as public service colleges and in training policies for the development of public servants. The government has to be commended for this initiative as a number of records management personnel in the public service have benefited from the training initiative in particular. This underscores Ngulube (2000) sentiments that “individuals who manage records through their entire life cycle must have some specialized knowledge attained through training”

2.4.2 Records Management and Service Delivery in Uganda

Records, as defined by the National Records and Archives Act are: “Captured information resources regardless of form or medium created, received and maintained by an institution or individual under its legal obligation or in the transaction of its business and providing evidence of the performance of those obligations or that business” (Government of Uganda, 2001).

Regarding Uganda's situation there are several Acts, Regulations and policy documents, which provide the framework for the creation, management and usage of data, records and information (Okello-Obura 2008). Legislative and regulatory compliance often feature in organizational objectives and act as part of the environmental and strategic framework for records management. These laws provide the legal framework for records and archives management to operate. Some of the relevant laws in place include: National Records and Archives Act 2001. Uganda did not have law relating directly to records until 2001. According to this law, all records with historical, administrative, legal, fiscal, informative, research and educational value must be deposited with the National Archives.

The law also demands the surrender of memorabilia, maps, cartographic drawings and blue prints of important national buildings. In general the Act is divided into seven parts (National Records and Archives Act, 2001):

- Part I- gives the Preliminary (Short title, interpretation and reckoning of time).
- Part II- gives the functions of a National Records and Archives Agency and how it should be established.
- Part III - gives the responsibilities of the creators of public records for their proper management.
- Part IV- Outlines the responsibilities of the Director of the National Records and Archives Agency for the management of public records and archives.
- Part V – Local government records and access to archives

- Part VI – gives financial provisions
- Part VII – gives general issues regarding annual report, regulations, power of Minister to amend Schedules and repeal.

The National Records and Archives Act, 2001 provides for the rationalisation of the management of all government and other public records and archives under the supervision of one single body that is the Agency. The Local Government Act, 1997 (with Amendment Act 2001), this act provides for the governance of district local entities. For purposes of accountability, the Ministry of Local Government expects the Councils to keep records of activities and transactions and the Act requires that councils keep proper books of accounts and other related records.

Access to Information Act 2005: Experts agree that the lack of public information fosters systemic corruption (Chimbambo, 2003). The public can only get to know of the information when the records are managed properly. Citizens who cannot substantiate claims of inefficiency and corruption in the delivery of public services are in a weakened position to express their dissatisfaction and demand better response from their public institutions (Palmer, 2000).

Dramatic growth is widely anticipated in records management due to changes in legislation and other compliance regimes. These translate into a number of identifiable business drivers that continue to raise the profile of the records sector. The Access to Information Act (2005) provides among others for a Code of Practice on records

management for public sector organizations; Manual of functions and index of records of a public body; access to information and records; disclosure and automatic availability of certain records; access to health or other records and preservation of records.

In a research conducted to assess the contribution of records management in the running of the justice administration in Uganda, it was established that legal records were in a pathetic state, which had led to delays in administering justice (Mukembo, 2008). The study identified lack of effective records management practices as key factors that were affecting service delivery in Uganda. The records management situation in Uganda is reported to be such that at times work is brought to standstill because of missing or lost files.

Furthermore the study showed that inadequate records accommodation facilities have resulted in police officers keeping vital records in sacks for instance. Due to these conditions, corruption amongst public officers continues to reach new heights. Mukembo (2008) cites a case in which court staff including a magistrate were arrested due to missing files. In another incident Mukembo noted that missing helicopter files purchased by the ministry of justice and constitutional affairs which were required for the investigation of purchase of 'junk' helicopters by the Ministry of Defence went missing). Furthermore the study underscored the fact that the lack of computerized filing systems in courts and the justice systems had fueled corruption to highest levels. In addition, Mukembo noted that there is hope for a turnaround in the records management situation

in Uganda as lawyers have appealed to the government to upgrade registries by computerizing records in order to save the registries from total collapse.

A case study undertaken by Akotia (2000) in the Ministry of Finance in Uganda on the management of financial records in government established that throughout the government of Uganda, ICT was considered an indispensable tool for enhancing productivity, yet little attention was paid to the information management issues and to understanding the forces of change that affect the form and integrity of the record created within an IT environment.

Akotia further noted that the Ministry had no capacity for managing the basic elements of an electronic records programme including: staff who understood the functional requirements for record keeping and had the competencies and skills required to manage electronic information delivery systems; legal and administrative requirements for managing electronic records; and accurately documented policies, standard operating procedures and formal methodologies for managing e-records.

Article 176 (2) (e) of the Constitution of the Republic of Uganda (1995) provides for appropriate means to be taken by a local government like a sub-county to plan, initiate and execute policies in respect of all matters affecting the people within their jurisdiction. Article 178(1) (d) also allows sub-counties to make rules, regulations and bye-laws in relation to functions assigned to them. Many sub-counties have not built enough capacity to out these roles. Since the Local Government Act establishes sub counties as institutions of local governments with a corporate status, they are mandated to deliver

services that bring about development in those areas. Makara (1998) noted that Local Council III executives have not been able to effect major development changes. They instead connive with sub-county chiefs to misappropriate available funds for personal gain.

Within the present structure of Uganda local governance, organised government stops at the sub-county level (service delivery is only at the district and sub-county level), which is far removed from people's immediate concerns such as water, dispensaries, farming, etc. During colonial days up to 1966, the parish was a focal point for such laws as those relating to springs and wells, and by-laws concerning latrines, granaries, the planting of trees, the prevention of venereal diseases and many others (Mulira, 2006). Some of these laws can be modified by parliament, adopted by the districts, and implemented at both the sub-county and the parish levels. In the same way records emanating from all these activities would be nearer to the people that use them.

2.4.3 The Benefit of Proper Administrative Records Management in the Public

Sector

Organisations that manage their records properly are rewarded with several benefits. These benefits include, but are not limited to, easy retrieval and access to records, ability to prevent and track fraud and corruption, ease to follow informed problem solving and decision-making and the protection of organisations against legal charges/claims (litigations). The organisation is also able to comply with pieces of legislation as well as professional administration and accountability (Thurston, 2005).

According to Piggot (2002), there are several reasons why Governments need to manage and maintain records properly:

- To demonstrate accountability to its citizens, a government relies upon policy files, budget papers, accounting records, procurement records, personnel records, tax records, election registers, property and fixed asset registers.
- The protection of entitlements depends upon pension records, social security records, land records and birth/death records.
- Governments rely upon legislative records, court records, police and prison records to preserve the rule of law.
- In providing services for its citizens, a government needs hospital records, school records, and environmental protection monitoring records.
- In documenting its relationship with other countries, government needs foreign relations and international obligations, treaties, correspondence with national and international bodies, loan agreements and many others.
- Without adequate records, the effectiveness of development projects must suffer. There will be no means of verifying that the development projects falls within acceptable legal, financial and cultural boundaries of a client government. There will be no means to verify that funds for development are used as intended.
- Lack of records management is directly linked to the persistence of corruption and fraud. Experts in financial management control recognize that well managed

records systems are vital to the success of most anticorruption strategies. Records provide verifiable evidence to fraud that can lead to investigators to the root of corruption. Well-managed records can act as a cost effective restraint. On the whole prevention is much cheaper than prosecution.

- The loss of control of records has consequences for all citizens, especially for the poorest who are least able to defend themselves. Relevant accurate public records must exist if governments are to preserve the rule of law and to demonstrate fair, equal, and consistent treatment of citizens.

2.5 Administrative Records and Accountability

Government accountability is an initiative that needs to be supported by an availability of reliable and accessible information. It is with proper, effective and efficient records management in the public sector that the government body is able to properly account as informed by available and accessible records, such as: accounting records, procurement records, tax records, customs records, electoral registers, policy files and case files. This is because if records are properly managed, accessibility also becomes easy and on time for the accounting officer to prepare and be ready to account (Bhana, 2008).

Cox and Wallace (2002) state that records are not mute observers and recordings of activities. Records, rather, often actively constitute an activity in them and are frequently struggled over as subjects of many formations. Accountability is critical to a responsible government. The foundation of accountability is a well run records management

programme. Records allow employees to account to their managers on matters concerning their decisions and actions. Well managed records ensure integrity and authenticity through time. Good records management permit managers to account to their heads of government department / sections and thus help heads to account to elected officials like Local councillors in a district who represent the society.

2.5.1 Easy Retrieval and Access

Reliable, timely and accessible records should make available information about administrative actions, such as resources received, committed or spent resources, which facilitate and simplify accountability. Properly managed records are filed according to the filing plan or system. Retrieval is a matter of minutes, instead of hours. This is because records are easily identified by the file/reference number on the filing plan and then retrieved from the filing cabinets/shelves as there will be no misfiling if properly managed. Properly managed e-records with no capturing errors can simply be searched on the e-records management system. This can be done by punching the reference number, subject, keyword or any other options of the record required as programmed and created by the system, on the keyboard and then accessing the e-document on the screen (Thurston, 2005). For example, when an accountant is preparing monthly salaries for workers, he / she will need to review many records to check the previous months. In order to save time, she / he must have quick access to the records to avoid delays in payment.

In addition Thurston states that ineffective records management leads to files being piled in different offices and corridors, as a result of dumping difficult personnel to the records management unit and lack of continuous training, lack of policies and procedures and standards. Ngoepe (2004) stressed that good record keeping saves time since there is no hassle when searching for information. Records alteration and access are easily traced through an audit trail and records are easily disposed off as per relevant legislative framework, such as National Archives Act.

2.5.2 Prevention and Tracking of Fraud and Corruption

Marutha (2011) noted that an anticorruption effort is one of the initiatives introduced to enhance economic performance, increase accountability and strengthen civil society which depends on proper records keeping. Fraud and corruption can jeopardise the bright future of many organisations and weaken service delivery in most government departments. One of the key tools in preventing and tracking fraud and corruption is proper records management. If properly managed, records can be used to investigate and prove fraud and corruption, and to carry out meaningful audits and review government actions. It is mostly with reliable, authentic and accurate records that an organisation or government entity can track and charge a person responsible for activities considered as fraud and corruption. However, without complete records, everything might be considered allegations which are difficult to prove. Poor records management creates an opportunity to commit fraud and corruption (Bhana 2008; Thurston 2005; Kemoni and Ngulube 2008). Sound records management is therefore necessary to “root out corruptions and malpractices” (Wamukoya and Mutula 2005b). For example, records

must be able to tell how many people applied for micro Credit scheme loan (ENTANDIKWA) in the sub-countries, when, who distributed the money and other details or the money can be disbursed basing on friendship and ability to bribe.

According to Maina (2013) control of financial records is a tool that can contribute to the campaigns against fraud. Deliberate loss of control of financial records thus leads to loss of revenue that impedes fiscal planning. It makes it difficult and impossible at times to preserve an audit trail of decisions, actions and transactions. The consequences are matters to do with procurement of goods and works. Palmer (2000) noted that a good records system is a deterrent effect which is preventive, cost –effective alternative to prosecution. The existence of a record system provides an instrument for deterring malfeasance and exposing corruption and fraud. A good records management system gives controls on access to records, tracks the movement of records through organisation and provides reliable and authentic audit trails which demonstrate unambiguous link between an authorization, an individual's actions and a date. Records also provide evidence on abuse and misuse of resources.

It identifies lack of compliance with financial matters and laws and regulations. Without well managed records anti- corruption strategies are impaired. For example, in the audit report of Kabarole Local government for the year 2010/2011, the procurement and disposal unit (PDU) failed to produce contract management records which were subjected to inspection by the Authority. For almost all the files reviewed it was noted that some vital information pertaining to submission for contract committee approval of

procurement method, bidding document and evaluation committee approvals were not on file. The user departments also failed to avail records of contract implementation and management such as implementation plans, site minutes, progress reports, delivery notes and payments vouchers.

2.5.3 Administrative Governance

Mazebe and Sebina (2003) define governance as a process, the function and power of government. It is the exercise of the executive, legislative and judicial power for the public and state leadership by the political elective and administrative statutory organs / bodies. Good governance is depended on a set of norms and values based on democracy. Information is a key for the organisation to effectively manage its business since it provides guidance for decision-making and accountability. This is because records provide a corporate memory to depend on. Introduction and proper practice of proper records management will ensure sustainable and good governance of the organisation since it documents decisions and organisational activities (Ngoepe 2004; Man 2005). Records are also kept for administrative, historic and archival values of certain records (Chachage and Ngulube 2006). The organisation also needs to come up with a mechanism to check its compliance with policies and procedures for better administration. This mechanism should cover the records management system audit to hold non-complying members accountable (Chinyemba and Ngulube 2005). “Sound information and records management demonstrates compliance with rules” (Willis 2005).

Proper records management also makes administrative governance in the organisation very easy. This is because it is with the availability of records that monitoring and evaluation of performance in different units of the organisation becomes easy and possible. It makes it easy for the leaders and management to identify mistakes, poor performance, good performance and improved performance of the past administrative activities. This may eventually lead to possible corrections and improvement. For example, the district chairperson (LC 5) can monitor if the projects such as roads or rural water supply have been implemented as planned throughout the district by checking construction records, correspondences, budget papers, accounting records, procurement records and many others.

Dikopoulou and Mihiotis (2010) consider the role of records management in governance as follows:

- Serving the right of access to information deriving from records and archives that all citizens and all businesses have in an organized society. As far as the public records are concerned this right usually is argued in the official legislative documents of a country such as its Constitution, the Public Administration Act, the Civil Code, the Penal Code, the FoI Act and the National Records Management Policy.
- Serving the administrative, operational and informational needs of all public agencies (executive, judicial and legislative ones). Organisations keep records as part of their business, to enable decisions to be made and actions to be taken and to protect their rights and assets, or to support accountability internally (proving

performance) or externally (fulfilling legal, fiscal compliance with established rules, conducting audits and meeting society expectations), or for research and cultural purposes (capturing and understanding of corporate memory).

- Serving the research and educational needs of the scientific and academic society.
- Serving the social need of preserving and developing the collective memory and cultural heritage in national and international level.

Citizens are reliant upon the accuracy, timeliness quality and relevance of information released to custodians in particular government. Except in repressive regimes, it is generally accepted that a free flow of information and dialogue benefits both government and society. United Nations development Programme (UNDP) advocates two way communications in programmes to eradicate poverty, create good governance and delivery of human rights. It says transparency and accountability in administration can reduce opportunities for corruption.

2.5.4 Administrative records and Human Rights

Local governments have obligations to protect the rights of citizens and improvement of citizen government interactions. Administrative records carry the rights and entitlements of citizens and the ability of the governments to continue to respect these rights as entitlements. In an electronic environment, where information is held in a fragile format, this is more difficult to achieve than usually realize. Records management is a key in underpinning strategic planning, decision making and operational activities. Records management in the context of human rights provides information by which governments

and organizations can meet and discharge their obligations to citizens and communities (World Bank 2000b).

Smith (2007) noted that in delivery of services records management plays an important role in documenting policies and statutes carried out, services provided, who carries the work and how much it costs and in the longer term an organization's accomplishment. The following are roles of records management in protecting human rights.

- **Supporting administration:** by providing information for the direction, control, decision – making and coordination of business.
- **Documenting rights and responsibilities:** an organisation needs to provide evidence of the scope of its terms of reference, evidence of what it owns and evidence of its obligations.
- **Legal documentation:** many records comprise formal legal documents, regulations, local orders, etc or institutions.
- **Evidence of the work of public authorities:** an organisation needs to document the decisions, actions and obligations that it undertakes, and in this way provide accountability measures.
- **Future research:** some of the records of organisations will be preserved and will form the contents of archival establishments, providing important historical information on political, social, economical and other issues.

Records are therefore created or received in the conduct of business activities and provide evidence and information about those activities.

2.5.5 Administrative Records and Human Resource Management

Cain and Thurston (1998) noted that records provide means of competency and accountability to the employer and employee. The ability to retrieve information about personnel is a key factor in successful human resource management.

According to World Bank (2000b) many countries local governments' paper based files are incomplete and difficult to access. The public sector reforms that are normally undertaken include significant staff reductions and most of local authorities are unable to find basic information needed in accomplishing such tasks. Issues of incorrect numbers of staff, wrong details of their grades, dates of appointments and qualifications reports are given out by these local authorities. The local authorities are unable to improve incentive structure to its staff and lack of accurate and complete records is very rampant. The true picture of human resource in these councils is generally unclear and does not support good services. Therefore a reliable human resource records system is necessary to meet the goals of these local authorities.

2.5.6 Administrative Records and Financial Management

Good record keeping is essential to clear and accountable financial management. Lack of accurate administrative records of actual expenditure impairs the process of preparation of meaningful budgets. Poor record keeping affects the entire accounting function with the result that reporting and auditing become virtually impossible. Without accurate

administrative records it is hard to detect fraud and debt management is difficult to undertake because records of borrowing may be held by different government offices. Prudent financial management relies upon more efficient use of information and only when sound financial records management is practiced. Therefore good administrative record management is an essential foundation for accountable financial management (Word Bank 2000b).

Barata, Piers and Routledge (2001) noted that record keeping is a fundamental activity of any public administration and is essential for financial management. They further assert that records provide evidence on resource receipt, commitment expenditure acquisition, disposal and government liabilities. Certain financial records provide a basis for preparation of financial statements. Effective financial management systems provide decision makers and public sector managers with the means to ensure resources are matched to objectives strengthen accountability and minimize the risks of implementing unsustainable policies. Therefore financial management requires records as an input and an output.

Article 194 (4) of The Republic of Uganda Constitution, 1995, creates and spells out the functions of the Local Government Finance Commission as being: to advise the President on all matters concerning the distribution of revenue between the central government and local governments. In this case, the allocation of money to each local government out of the consolidated fund as well as the amount to be allocated as equalisation and conditional grants. The Local Government Finance Commission constituted working

groups to come up with practical findings towards fulfilling its responsibilities and addressing the complaints about the inability of some local governments to provide services to an average standard. The work methods of these groups included the study of the performance of existing grants, study tours to some counties where equalisation schemes are practiced, a review of relevant literature on international practices, field surveys, analysis and synthesis of findings.

2.5.7 Administrative Records and Payroll Management

In the summary report carried out in the personnel records in the Public sector in Ghana, Uganda and Zimbabwe, Cain and Thurston (1997), point out that the paper-based personnel records held in registries tend to be so disorganized and incomplete. In the absence of complete personnel files, the “ghost workers” problem cannot be addressed in a sustainable manner over and above the often substantial direct cost to the government’s budget of salaries fraudulently claimed, there is a cost in terms of the inability to carry out manpower planning because there reliable statistics of how many staff exist on each particular grade are not available (World Bank 2000b).

Johnston and Bowen (2005) in support of Electronic Document and Records Management Systems (EDRMS) state that EDRMS is an information system that includes recordkeeping functionality, management of document of informational nature amongst other major benefits. On part of organizations, Johnston and Bowen (2005) add that work is done more quickly, completion of tasks requirements with less effort, quality of processes improve and outcomes improve greatly. Compliance of laws and regulations

is achieved and demonstrated. The management of the payroll note here includes the ability to view pay slips as records and subsequent to data stored in series of tablets, expected data extracted according to relationships defined among tables and queries therein. So EDRMS here acts as a store that supports systems with databases used in processing transactions like the payroll hence use of records in generation and utilization of the payroll and allied tasks.

The government of Kenya has designed a personnel information system referred to as an Integrated Payroll and Personnel Database (IPPD) system. It is a computerized system conceived to replace the manual and semi- manual system, which was cumbersome, causing salary delays, inaccuracy in determining staffing levels and leading to bad governance poor accountability of funds. The Integrated Payroll and Personnel Database (IPPD) initiative was proposed to help address the challenges of manual payroll administration (Ministry of State for Public Service, 2005).

The IPPD system was designed in 1996 / 97 by the Kenya Government officers from the Ministry of State for Public Service and other departments. It was prototyped and tested in seven pilot sites (Ministries departments) in 1997 / 98, including user training in basic computer skills. System testing was accomplished using the trained staff and the IPPD prototype to capture the 1997/98 headcount data in their respective Ministries / departments. The IPPD was found to be workable and thereafter extended to all other Government establishments.

The objective of the System is to strengthen control and arrest payroll fraud. The IPPD System is intended to:

- Minimize irregular payments.
- Introduce on-line data capture facilities to minimize delays in updating personnel records.
- Generate timely and accurate reports in formats suitable for managers and decision makers; and
- Link the payroll to the budget and financial expenditure information systems.
- To maintain accurate and consistent personnel data in the Public Service to bring about uniformity in the management of personnel records in the ministries / departments by capturing identity card numbers, educational qualifications, and full dates of appointments and dates of birth.
- To address the challenges in manual complement control, payroll, and personnel registries, skill Inventories and budgeting of Personal Emoluments posed by manual payroll administration and thereby do away with salary delays, promote accurate data capture on staffing levels.
- Create an efficient computer –based system for gathering, storing and processing information for management decision making in such aspects as recruitment , training, postings, transfers, seniority lists, promotions and retirements, salary

related issues, enforcing statutory deductions, processing of request for loans, advances and ensuring their recovery.

- To minimize wastage that used to be incurred through bulky printing of paper whenever personnel related query was raised.
- Make it possible to use data for purposes of expediting decision making on such matters as discipline, assessments of liabilities for calculation of pension and processing and payment of gratuities (Ministry of State for Public Services, 2005).

IPPD System is now running in all Government Ministries. Integrated computerized payroll and personnel systems provide a means of improving the quality and availability of personnel and payroll information. However, for the foreseeable future these systems must be complemented by paper records. This is particularly important in rural areas where infrastructure and resource constraints can make the sustainability of automate solutions problematic (World Bank, 2000a).

A case study carried out by the World Bank and IRMT (2002) in personnel and payroll records and Information Systems in Tanzania found out that good governance and accountability for the payroll and human resource management functions in most government ministries are compromised because the system is overwhelmed by huge volumes of unmanaged paper. Personnel files are used to verify data on IPPD and its introduction provides an opportunity for strengthening the usefulness and reliability of

paper-based personnel records for them to be used for accountability purposes and good governance.

2.5.8 Administrative Records and Private Sector Investments

Chronic weaknesses in government record keeping can adversely affect private sector investment. For example, overseas firms may hesitate to invest in a country if they feel its courts do not handle civil cases (especially commercial cases) efficiently. Likewise, large-scale infrastructure investments, such as the construction of gas pipelines, may be delayed or may incur significant additional costs if government land registries cannot provide complete and definitive statements of titles to property. More generally, poor record keeping can contribute to a lowering of the general standard of service offered to businesses. For example, there may be delays in replies to written inquiries about the registration of businesses, the issue of licensing, and other matters necessary for companies to pursue their business (World Bank 2000b).

Poor administrative records management adversely affects private sector investments. Large scale infrastructural investments such as the housing sector may be delayed or might incur significant additional costs if land registries do not provide complete and definable statements of title to properties. Poor records management can contribute to lowering of general standards of services offered to businesses. Examples are delays in replies to written inquiries on registration of properties, businesses, issuance of licenses and other matters necessary for companies to do business (Wamukoya and Mutula 2005).

2.6 Problem-Solving and Decision-Making

The major reason for effective administrative records management is to ensure successful problem solving and decision-making. Management of an organisation or government department can use information contained in records to solve certain specific problems and make an informed decision. This can only be successful if records are properly managed for easy retrieval and accessibility.

Ngoepe (2004) and Thurston (2005) state that in the absence of functional records management, decisions are made without full information since decision-makers would be lacking the required details for an informed decision. This opens opportunities for corruption or collusion between organisational staff. For example, decisions made in meetings about agricultural modernization in a local government need to be recorded and properly preserved for future reference and assessment. State Records of South Australia (2003) show that official government records from the past enable decision-making for the government as “interested parties are able to learn what has happened in the past”.

2.7 Protecting Organisations against Legal Charges/Claims (Litigations)

Ngoepe (2004) underscores that a government body creates and keeps records to prove, in future that their administrative action to citizens was lawful, fair and reasonable and thus avoid blame or litigation. When the organisation is litigated with allegations of poor service delivery, which negatively affected members of the public, it is mostly through records that the government body gives account and is protected against the charges.

If proper records management were practiced in that government body, records about the service rendered may be retrieved and used as evidence about the steps followed in rendering alleged service. Clear and accurate administrative records are a vital tool as a legal document to respond to forthcoming litigations. For example, one of the employees may sue the local government of embezzling rural water supply project money. The major proof to protect the institution or prove allegations wrong or right are the authentic administrative records such as accounting records, procurement records, minutes of meetings etc. This is only possible if records are properly managed. State Records of South Australia (2003) noted that official records contain and keep the legal obligations of the government agencies, and policy implementation actions taken by the agencies.

2.8 Ensuring Professional Administration, Accountability and Compliance with Pieces of Legislation

The major reason for keeping administrative records is to use them as “evidence of accountability and transparency of business to the stakeholders” (Chachage and Ngulube 2006) because sound records management is important and necessary for any organisation (Willis 2005; Wamukoya and Mutula 2005b). Good public service management is the end product of a sound records management, because government administration and decision-making depends much on access to information (Ngoepe 2004). This is because the government bodies always opt to make an informed decision for effective administration to easily account for such administrative actions.

Administrative records assist the organisation with reliable and legal evidence of decisions and actions (Bhana 2008). “Sound information and records management is demanded by numerous statutory and common law requirements” (Willis 2005). Chachage and Ngulube (2006) argue that one of the major reasons for the business to keep records as they generate them during their daily business operations is to comply with legal requirements as well as to protect the stakeholders’ rights.

2.9 Chapter Summary

This chapter has reviewed literature on the role of sound administrative records management in support of quality service delivery. Records management supports business activities and service delivery in organisations. The literature reviewed has discussed the theoretical frame work where by Frank Upward records continuum model was adopted to inform the study. The frame work provides common understanding, consistent standards, unified best-practices criteria, and interdisciplinary approaches and collaboration in recordkeeping processes for both paper and electronic records. The chapter has also presented some literature related to how records are managed under different themes and how they affect service delivery.

The literature reviewed confirmed that, better service delivery always begins with records management practices; ineffective records management practices can impact negatively, not only in service delivery but equally in all core business of a given organisation. Analysis of this literature reveals a research gap on the role of administrative records management and its impact on service delivery in the district. Almost nothing has been

written on how sound administrative records management can help the district perform better in making policies, regulating service delivery, formulating development plans, receiving, raising and managing district resources; and there is no literature on how ICTs have been integrated in administrative records in the district. This study attempted to bridge this gap.

The literature review shaped the research methodology adopted in the study, while the aspects discussed in the chapter provided a basis for formulation of the research design which is discussed in chapter three.

CHAPTER THREE

RESEARCH METHODOLOGY

3.0 Introduction

This chapter discusses the methodology adopted by the study in carrying out the research. The chapter is divided into the following sections: research design, case study, study population, sampling techniques, sample size, data collections methods, data collection procedures, data validity and reliability, data analysis procedures and ethical issues.

3.1 Research design

A research design is a “blueprint” that enables the investigator to come up with solutions to the research problem and guides in the various stages of the research such as for collection, measurement and analysis of data (Birifaijo, Basheka and Oonyu, 2010). In this study the research approach was qualitative with some aspect of quantitative techniques in investigation of the role of sound administrative records in support of quality service delivery in Kabarole district. Qualitative research is concerned with life as it is lived, things as they happen, and situations as they are constructed in the day-to-day moment (Jwan and Ong’ondo, 2011). Qualitative study approach was used because of the following: it focuses on processes and verbal descriptions, seeks the insight of the topic in the study rather than generalization. The advantage of a qualitative approach is that it provides rich data about real life situation and is able to make sense of behaviour in context.

3.1.1 Case study

The study employed a case study research design. This enabled the researcher to solely focus on Kabarole district, so as to investigate the role of sound administrative records in support of quality service delivery. Case study approach gave the researcher ample room to conduct an in-depth investigation of Kabarole district. That provides a great amount of description and detail about the state of affairs insofar as administrative records management in the district is concerned. It also offered more opportunities for the researcher to gather adequate information that assisted to make accurate inferences at the end of the study and also help to set the groundwork for future studies (Orodho, 2008). Since the aim of the study was to link administrative records management to service delivery a case study approach was the most suitable research strategy to probe deeper into the application of records management in the district.

3.2 Study population

The population was derived from the following departments; management and support services department, production and marketing services department, health department, education department, community based services department, roads, engineering and water services department, natural resources services department, finance department, planning department, internal audit department and central registry. This kind of selection ensured greater diversity in the sample used and a fair representation of the whole population.

Table 1: Departmental composition of the study population

Respondents	Departmental staff	Percentage
District management	6	4.7
Heads of department	11	8.6
Human Resource Management Officers	8	6.3
Records management officers/records staff	4	3.1
Secretaries	18	14.1
Finance	9	7.0
Community Based Services	36	28.1
Production department	24	18.8
Natural resources	12	9.3
Total Population	128	100

Source: Kabarole district (2014)

3.3 Sampling techniques

There are two types of sampling techniques, namely probability and non-probability sampling techniques (Birifaijo, Basheka and Oonyu, 2010). In probability / random sampling, there are simple random sampling, systematic sampling, stratified random sampling, cluster sampling, among others. In this study the researcher used stratified random sampling technique in which the stratification was based on departments. The goal of stratified random sampling is to achieve desired representation from various subgroups in the population. This enabled the researcher to capture data from different

departments enabling her to get the views of her respondents on the role of sound administrative records in support of quality service delivery in Kabarole district.

3.3.1 Sample size

The overall study population was 128 of which 90 respondents were selected and all were drawn from Kabarole district. A total number of 6 management staff, 11 heads of department, 8 human resource management officers, 4 records management officers, 18 secretaries, 9 in the Finance department, 36 community based services, 24 Production and Marketing department and 12 in natural resources department. The researcher used stratified random sampling technique to achieve desired representation from various departments.

Table 2 Sample size (n=90)

Respondents	Staff	Sample	Percentage Sample %
District management	6	6	100
Heads of department	11	11	100
Human Resource Management Officers	8	8	100
Records staff (officers)	4	4	100
Secretaries	18	9	50
Finance	9	9	100
Community Based Services	36	19	53
Production department	24	12	50
Natural resources	12	12	100
Total Population	128	90	71

Source: Kabarole district documents (2014)

3.4 Data collection methods

Data was collected from both primary and secondary sources of Kabarole district. Primary data is that which are collected afresh and for the first time and happen to be original in character. The researcher used a combination of semi-structured face-to-face interviews, observation and questionnaires to collect data. The nature of the study was to carry out an in depth enquiry and a combination of these instruments led to a comprehensive data hence providing better results. The multiple instruments provide precise and adequate data relevant to the objectives of the study and helped to overcome the limitations that would arise if only one method was used.

3.4.1 Interviews

An interview is a social interaction between two people and therefore subjected to all influences that occur in interpersonal communication. It is a method of collecting data that involves presentation of oral verbal stimuli and reply in terms of oral verbal responses (Oso and Onen, 2005). Interviews is one of the most widely used methods of data collection in the social sciences and represent a communication between people for the purpose of obtaining or exchanging information on some subject. Semi structured interviewing is the main data collection method selected, which although time consuming has worked well in other similar researches (Shepherd and Stevenson, 2008). It is a very good way of accessing people's perceptions, meanings, and definitions of situations and construction of reality.

The schedules consisted of open ended approach so that the researcher was able to get a complete and detailed description of the issue under investigation. The interview schedules ensured uniformity and consistency in asking questions as they were already outlined. The researcher interviewed management staff, heads of departments, human resource officers, records management officers / records staff, secretaries and obtained primary data.

3.4.2 Observation

Observation method gives more valid results and enables the researcher to see things which might otherwise be unconsciously missed, to discover things which participants might not freely talk about in interview situations and therefore to move beyond perception based data and to access personal knowledge (Birifaijo, Basheka and Oonyu, 2010).

The main advantages of using observation method include the following.

- Subject bias is eliminated; this is because one observes features, events, objects etc. as they are. There is no chance for another person to tell the situation differently.
- Observation is free of respondent interferences while answering questions.
- The method suits best in situations where the subjects are busy and may not have time to go through all the questions which may be presented in a questionnaire or in an interview. The researcher observes and at the same time records.

The researcher used non-participant observation with the use of observation guide so as to remain focused and to give equal attention to issues to be observed in the study (see appendix 3). Observation was used to assess the physical environment, facilities where records are kept and the tools used in the management of records. Observation checklist aimed at standardizing the observation process and helped the researcher to observe issues that were explicit. It was done concurrently with interviews to complement it. Primary data collected was used to compare and contrast data collected from interviews and questionnaires. It proved the correctness of the information provided by respondents.

3.4.3 Questionnaires

The researcher used questionnaires because they are best used for collecting factual data, an appropriate questionnaire is essential to ensure that the researcher obtains valid responses to the questions. The questionnaire motivates the respondents to give accurate and complete information and provides reliable and relevant primary data. The questionnaire contained open-ended questions which permitted free responses to be recorded in the respondents' own words. Such questions were useful for obtaining in-depth information: facts with which the researcher is not very familiar; opinions, attitudes and suggestions of informants, or sensitive issues. Open ended questions stimulate a person to think about their feelings or motives and to express what to be considered to be most important and also allow the respondents to give their views without the interference from the researcher. In this study questionnaires were administered to the records users (staff) in selected departments (Finance, Community Based Services, Production and Marketing, Natural resources department). The questionnaires were hand

delivered and collected later from the respondents since all of them were within the district premises.

3.5 Data collection procedure

The researcher obtained an introductory letter from the head of department and another from the principal personnel officer in Kabarole district. After getting the letters, the researcher visited the various offices and departments identified for the study and explained to the respondents that the research was for academic purpose. The respondents were informed that their participation was voluntary and on the basis of informed consent and their identity and data will be anonymised. For interviews schedules were drafted by the researcher and the answer given by the respondent were noted down and taped with the help of a research assistant and thereafter, incorporated in the study. The respondents were asked questions following the protocol and this enabled the researcher to get in-depth data, and also due to their flexibility more information was obtained (Kothari, 2004). The researcher also used non-participant observation with the use of observation guide in the study so as to give equal attention to issues to be observed. It was used to assess the physical environment, facilities where records are kept and the tools used in the management of records.

3.6 Validity and Reliability of Research Instruments

3.6.1 Validity

Validity is the degree to which results obtained from the analysis of the data actually represent the phenomenon under study. Validity therefore, has to do with how accurately the data obtained in the study represents the variables of the study (Birifaijo, Basheka and Oonyu, 2010). Validity was tested by making sure that interview questions are related to the role of sound administrative records management in support of quality service delivery in Kabarole district. The responses were carefully checked with the respondents to ensure correctness of the data collected.

3.6.2 Reliability

Reliability is the consistency of your measurement, or the degree to which an instrument measures the same way each time it is used under the same condition with the same subjects. In short, it is the repeatability of your measurement (Birifaijo, Basheka and Oonyu, 2010). The researcher carried out a pilot study to test reliability. The pilot study was conducted on staff of Mountains of the Moon University to enable the researcher to find out if the selected questions are measuring what they are intended to measure, if wording is clear and if all questions are interpreted the same way by respondents. After the pilot study the research instruments were revised to reflect the changes.

3.6.3 Pre-testing data collection instruments

The main reason of carrying out a pre-test of the research instruments is to check on two main issues; reliability and validity of the research instruments. In order to ensure the reliability and validity of the research instruments, a pilot study was carried out using a group of 17 members of Mountains of the Moon University. The population involved in the pilot study was handling records in different departments of the University. A checklist with 11 questions was used to test the questionnaire on:

- Ambiguity and clarity of research questions
- Grammatical mistakes
- The length of the interview schedules and questionnaire
- Language usage
- Technical terms and,
- Suggestions to improve the interview schedules and questionnaire

All the interview schedule / questionnaires distributed during the pilot study were completed and returned to the researcher translating to 17 (100 %) return rate. The pilot study revealed that the interview schedules and questionnaires were too long and had some grammatical problems. This enabled the researcher to correct and improve the research instruments. It also made it possible to consider some important comments and suggestions from the respondents that enabled the researcher to improve the overall efficiency of the research instruments.

3.7 Data analysis

This was a qualitative study which involved qualitative data analysis approaches. It was carried out by identifying common descriptive words and phrases describing the role of administrative records in support of quality service delivery in Kabarole district, as well as quantitative data. In addition, data analysis was aligned to the objectives and research questions of the study with an aim of bringing order, structure and meaning to the collected data. Yin (2004) says that analyzing qualitative data can be both manual and computerized. The processes of coding the textual data and interpreting them can be done manually. Therefore; the researcher used the method of coding by content (content analysis); writing and coding the textual data into descriptive summaries of what participants said.

3.8 Ethical issues

The researcher observed important ethical issues before embarking on the research process by obtaining an introductory letter from the school of information sciences at Moi University and another introductory letter from the Principal Personnel officer Kabarole district. The researcher explained the purpose of the study and how the findings would be used. The respondents were assured of confidentiality of information they gave and they were remained anonymous by not indicating their names or titles in the questionnaires. The researcher avoided copying or using other people's work in her research without acknowledging the owner in form of in text citation and references. No falsification of data has been done in this particular research; the integrity of the data collected has been upheld in the final report.

3.9 Chapter summary

This chapter has discussed key issues in research methodology that were used in investigating the role of sound administrative records management in support of quality service delivery in Kabarole district. It discussed the research design, a clear insight of research approach that is, qualitative and some aspect of quantitative. It has also discussed the study population and sampling techniques, sample size, data collection methods and instruments; the importance of validity and reliability of data collection instruments, and the pretesting of data collection instruments; data analysis and finally highlighted the ethical considerations touching on this particular study.

CHAPTER FOUR

DATA PRESENTATION, ANALYSIS AND INTERPRETATION

4.0 Introduction

This chapter analyses and interprets the findings of the study. The chapter presents the results generated from qualitative study which employed semi-structured interviews, observation and questionnaires to collect data. The presentation of data has been done according to the way the questions were structured on the interview and questionnaire schedules following the study objectives and as per respondents' categories.

With respect to descriptive results, in situations where all or two tools were used, the results from the interview and observations are presented first followed by those from questionnaires. In a few cases the results from the interview and questionnaires are combined for convenience of their presentation.

4.1 Characteristics of respondents

4.1.1 Distribution of respondents by gender

The table 3 gives a summary of respondents' distribution by gender.

Table 3: Distribution of respondents by gender (N= 90)

Respondents	Male	Female	%
District management	5	1	6.6
Heads of department	11	0	12.2
HR Mgt Officers	6	2	8.8
Records staff (officers)	1	3	4.4
Secretaries	1	8	10
Finance	4	5	10
Community Based Services	9	10	21.1
Production & Marketing Department	9	3	13.3
Natural Resources Department	10	2	13.3
Total	56	34	100

From the table above, it can be seen that some departments were dominated by male while others were female dominated. And this reveals that female staff members were reasonably well presented though not balanced in every department apart from Community Based Services.

4.1.2 Respondent's academic qualifications

The table 4 gives a summary of respondents' academic qualifications.

Table 4: Respondent's academic qualifications (N = 90)

Level of education	Number of respondents	%
Diploma	19	21.1
Degree	37	41.1
Postgraduate	31	34.4
Others (Certificate)	3	3.3
Total	90	100

From the table above, it is clear that; Kabarole district had qualified personnel able to run the district. And it also established that the academic qualifications of most respondents were not directly related to records management. Only two records management officers out of 37 employees had undertaken a degree course in records management and another two out of 19 employees had diplomas in record keeping; none of respondents had a degree at the postgraduate level and certificate level.

4.1.3 Respondent's work experience

The table 5 gives a summary of respondents work experience

Table 5: Respondent's work experience (N=90)

Number of years	Number of respondents	%
0-2 years	9	10
3-6 years	37	41.1
7-9 years	7	7.7
Over 10 years	37	41.1
Total	90	100

The table reveals that most staff members had less than 10 years working experience, and it appeared that majority of the staff had worked for 3 years and above in the civil service. This suggests that most of the staff were well acquainted with the management of administrative records due to their long stay in service.

4.2 The Various services provided by Kabarole district which require the use of administrative records

The first objective of the study was to find out the various services provided by Kabarole district which require the use of administrative records. Respondents views varied as indicated below:

4.2.1 Data from District Management

The six district management team interviewed revealed that various services provided by Kabarole district require the use of administrative records. The 6 (100 %) respondents pointed out the importance of administrative records through the following activities:

- making policies, monitoring and coordinating activities of the municipal and town councils of the lower government & administrative units in the district;
- coordinating and monitoring government functions between the district and the government;
- safeguarding the constitution, the district laws and other laws of Uganda and promoting the welfare of the citizens in the district ;
- making reports to the council on the state of affairs of the district;
- legislating policies for district local council, monitoring government programmes and performance;
- coordinating the planning, local council, sub-counties and town councils; and
- accounting for public funds, recording and keeping minutes of the district executive committee, mobilizing and sensitizing community, appraising staff from sub- counties among others.

From the data above, it is evident that the district management has a crucial role to play in supporting administrative records management in their continuum. Without well managed records from creation to disposition the management would fail to provide better services to clients.

4.2.1.1 Data from Heads of Department

Eleven respondents were interviewed during the study about the various services provided by Kabarole district which require the use of administrative records constituting 11 (100 %) of the entire heads of department sample size. The following were cited by respondents as activities which require the use of administrative records:

- planning and implementing work plans;
- approving requisitions and release of funds;
- collecting revenues and making budgets;
- decision making, legitimacy, accountability and transparency;
- proper utilization of public resources, internal controls and resource management;
- supervision of work plans and reporting.

From the data collected from heads of department it is evident that there are many activities taking place and producing a lot of records, but the creation or receipt, use, maintenance and disposal is not directed by proper records management programme. Consequently, staff members are likely to face the challenge of misplacement and missing records.

4.2.1.2 Data from Human Resource Management Officers

All the eight human resource management officers were interviewed on various services provided by the district which require the use of administrative records. The services that required the use of administrative records included among others:

- supervising staff, payroll management, performance management, human resource planning, recruitment and selection;

- managing staff leave, training, planning human resource development and management of retirements;
- grievance and conflict handling, performance appraisal for staff, handling and keeping personnel records; and
- preparing submissions to the ministry of public service, attending meetings, workshops, writing reports, supervision in the field among others.

From the data collected from human resource management officers above it is clearly shown that the services offered generate a lot of records; and with the manual system records are likely to be misplaced or lost; delays in retrieval and congestion is expected.

4.2.1.3 Data from Records Management Officers

The interview responses regarding the various services provided by Kabarole district which require the use of administrative records undertaken by the four records managers include:

- planning and managing the registry system;
- supervising staff and auditing departmental registries;
- handling secret mails, classifying mails, opening and closing files;
- receiving and filing correspondence;
- retrieving and issuing files, compiling and circulating running files, tracking files;
- dispatching and disposing of files, maintaining equipment; and
- maintaining the record centre.

The data collected from records management officers above shows clearly that the services they offer are in line with records management and can help the district to create, use, maintain accurate records and provide better services if well performed as indicated; but practically were not followed and done as expected for example the records centre is not functioning.

4.2.1.4 Data from Secretaries

The respondents pointed out the importance of administrative records through the following activities:

- receiving and dispatching mails;
- typing correspondences and office work;
- receiving and guiding clients;
- recording and filing records;
- collecting Health Management Information System data; and
- data entry of Health Management Information System into the district health management information system (DHMIS).

The researcher observed how the staff members were handling and creating records, their actions showed that they lacked professional training in the area of records management. Registry staff though trained lacked skills in handling records and could not help other staff members in the departments; the registry was untidy; records were scattered all over; some were on the floor while shelves are empty (see appendix 6). From the data above it is clear that secretaries faced the challenge of creating and managing records properly due to lack of training in records management; those collecting and entering

data into the national health management information system were only taught to feed the computer with information they get and the system was controlled at the national level.

4.2.1.5 Responses of Staff Members from Community Based Services Department

All the nineteen respondents were requested to state the activities that required administrative records. The following activities were mentioned:

- recording cases handled through incoming clients and through field visits;
- record child neglect related cases and domestic cases in the case management book and registration of staff in the attendance book;
- handling people with disability and elderly register and filing records;
- preparing and coordinating work plans and budgets;
- collecting, analyzing and storing data for information;
- collecting data on education, health, adult literacy program, UNICEF programs and water hygiene and sanitation.

4.2.1.6 Responses of Staff Members from Natural Resources Department

The questionnaire responses regarding various services provided by the district which require the use of administrative records for each of the 12 (100%) natural resource's staff members are as follows.

- Raising public awareness on law, policy and matters relating to natural resource management. Supporting community in planning for natural resources in their localities; supporting community based initiative on environment and natural resources management, supervising sector heads of the department and planning for the department and reporting on activities mentioned above.

- Issuance of forest produce movement permits, licenses and penalty fines; handling revenue returns, incoming and outgoing letters, announcements, posters, reports and minutes of meetings.
- Recording plotted jobs by giving block and plot number; updating, compiling, analyzing, filing and retrieving records.
- Retrieving and compiling land records, filing them properly and updating them.
- Issuing instructions to survey and receiving job record jackets (JRJ).

4.2.1.7 Responses of Staff Members from Finance Department

All the nine staff members of finance department filled the questionnaire on the same question on the various services provided by the district which require the use of administrative records. The activities cited provided include the following:

- receipting revenues and filing accounts reports;
- filing of revenues and receipts, recording daily transactions in the cash books and balancing them; filing vouchers;
- preparing budgets, collecting revenues, accounting for public funds, making quarterly reports and annual finance accounts;
- establishing internal controls and proper utilization of resources;

4.2.1.8 Responses of Staff Members from Production and Marketing Department

All the twelve respondents filled the questionnaire on various services provided by the district which require the use of administrative records. The 12 (100%) of the respondents cited the following activities:

- preparing budgets and developing work plans for agricultural sub-sector activities; monitoring and prioritizing agricultural sub – sector activities;
- report writing, explaining policy issues and monitoring staff and disease surveillance;
- records on training farmers and carrying out demonstration in modern agronomic practices, records on pest diseases and control measures;
- preparing training programmes, recording field activities and letter writing;
- animal movement records, market surveys, minutes of meetings, budgets and work plans.

4.3 The contribution of administrative records to quality service delivery in

Kabarole district

The study sought to examine the contribution of administrative records to quality service delivery. Respondents' views were as reported below.

4.3.1 Data from District Management

According to the 6 district management team, administrative records contribute a lot towards quality service delivery. They pointed out the following:

- Administrative records are used on a daily basis in council meetings, construction work, bills of quantities, during payment, planning, budgeting, evaluation and monitoring, report writing, committee meetings, references cases, implementing council resolutions, communication purposes to the central government, among others.

- Administrative records ensure coordination and give direction in planning, monitoring and evaluation they are a point of reference for policy decisions.
- Administrative records contribute highly to service delivery because without records it's difficult to report on anything. They also help in making informed decisions.
- Administrative records ensure transparency and accountability, help to compare the past and the present, and give a basis for action plan. The district relies on records to implement programmes and make decisions on where to put emphasis.

From the data collected above, the management team confirms the value of administrative records towards quality service delivery. It also shows that staff members are involved in the creation, maintenance and use of administrative records and therefore very important to what the district does.

4.3.1.1 Data from Heads of Departments

When asked about the contribution of administrative records towards quality service delivery, the respondents' views were as follows:

- Administrative records contribute a lot in following up activities and programmes; interacting with different groups such as children (child protection); solving family wrangles; birth and death registration; in courts of law; in immunization programmes for example, among others.
- Help in sharing information, guiding on where to invest, giving work instructions; making decisions; promoting efficiency and effectiveness.

- Records are necessary for providing the required information for construction works, ensuring transparency and accountability, helping to compare the past and the present.
- It contributes highly to service delivery through enrollment and recruitment of workers. Administrative records are also used in registration of NGOs and application for grants.
- Records are used in hospitals and health centers, in planning and budgeting, monitoring and evaluation, and report writing.
- Records play a supporting role in utilization of funds and transactions with the banks and even on salary issues.

From the data above, it is evident that the heads of depart know the value of records which clearly indicates that Kabarole district needs a change from manual system to electronic system in order to manage their records efficiently for better service delivery.

4.3.1.2 Data from Human Resource Management Officers

When the respondents were asked to examine the contribution of administrative records towards quality service delivery, their responses are as reported below:

- Easily remind officers of their duties, responsibilities and show what they have achieved and what has not been done.
- Help in planning for pensioners to easily access their benefits. Properly managed records also help in recruitment and selection of new staff and making informed decisions.

- Record help in auditing, updating public and other stakeholders to keep abreast of current information at all times.
- Give a basis for planning and budgeting ensures transparency and accountability of what is done and not done, by whom, when, and where; and compares the past with the present.
- Records are very vital because without them there would be no reference materials. They are used in times of staff confirmation, promotion and appraisal, salary payments, retirement and management of payroll.

The researcher observed that the Principal Personnel's Office had not put in place mechanisms to ensure prompt payment of salaries to employee's due to constant complaints, though receipt and registration of incoming and outgoing mails were properly handled with the help of a registration book. All these were caused because of lack of sound management of administrative roads.

The data collected from Human resource management officers above shows that records contribute highly to quality service delivery but policies, regulations and procedures to ensure proper management of administrative records are not in place to direct the creation and disposal of records.

4.3.1.3 Data from Records Management Officers

When records managers were asked to examine the contribution of administrative records towards quality service delivery, they cited the following.

- Keeping information and helping in decision making, planning, monitoring and evaluation.
- Promote timely and quick access to information: records are a foundation for transparency and accountability.
- Records serve as evidence that a particular work such as road construction was done and shows who was involved. They capture and maintain authentic information for future reference, for audit, and for purposes of litigation and information analysis and research.
- They have a financial, administrative and historical value to the district.
- They provide evidence of the activities done by the district or not done thus promoting efficiency and effectiveness and minimizing the dangers of corruption.
- Records contain information that can be used in courts of law to convict corrupt leaders and justify a reason for actions taken.
- Used for implementation of government programmes especially projects.

According to the 4 (100%) records management officers the existing records management practices support quality service delivery and good governance. Two of the respondents cited the example of corruption where employees can be held accountable for their actions through evidence of business transactions in the form of records if they are well managed. They further responded that “*existing practices in the district assist the action officers to act promptly and thus leading to improved service delivery.*”

The data above can be interpreted to imply that administrative records are valuable resource because of the information they contain. The management of administrative

records affects the district positively or negatively depending on the quality of records management practices in place.

4.3.1.4 Data from Secretaries

When asked how administrative records were used in service delivery, their responses were as follows.

- Most of the respondents cited that the management of administrative records supports easy retrieval of records when required and also facilitate decision making and development of the district.
- They are used to get loans and protect the rights and entitlement of employees and citizens.
- They help the district to prove its rights and to protect its assets.
- Used for planning, budgeting, monitoring and evaluation.
- Administrative records are used to confirm employees after probation period and retired staff to get their gratuity and pension.

It was observed that the district adopted the records classification scheme which is basically numerical, records tracking systems (an out carding system is used to control file issues); file Pass-on-slip and file bring up system; but they were not effectively organised and used. In some offices, these records management tools were not available. Generally, there was no proper security for the physical records since they were kept overly in open offices with no lockable facilities. However, the offices had a few

cupboards, open shelves, file cabinets where they kept records, but others were kept on the floor or in sacks and boxes (see appendix 6 and 7).

The data collected from the secretaries indicate clearly that though records contribute a lot towards quality service delivery, they were not properly managed in their continuum. Records manager neglected their work; which lead to inefficiency and effectiveness in service delivery.

4.3.1.5 Responses of Staff Members from Community Based Services Department

According to the 19 (100%) community based services staff, administrative records contribute a lot towards quality service delivery. They pointed out the following.

- They help to identify the gaps in service delivery and also to identify best practices.
- They also help to track ghost workers, and tracking one's documents which were delivered during appointment.
- Records document decisions, actions and government activities and provide a corporate memory to depend on for its services to the people and making follow – ups on cases.
- Records ensure successful problem solving and decision making, the district can use information contained in records to solve certain specific problems and make an informed decision, for example in resource allocation.

- Records contribute towards service provision by supporting and managing work. They record why, when, where, in what capacity and by whom, and what actions were carried out.
- They are a basis for planning and budgeting at all levels of local government; they provide evidence of work done against resource expenditure promoting transparency, accountability and reporting (programmes implemented and those left out).
- They make service provision easy and fast. Records ease decision making, planning, monitoring and evaluation.
- Proper records management enhances flow of information and records act as reference sources.

4.3.1.6 Responses of Staff Members form Natural Resources Department

When staff members were asked the contribution of administrative records towards quality service delivery, the respondents' views were as reported below.

- Records act as information bank and baseline for service provision and people get services quickly if records are kept properly; less time wastage thus contributing to good service delivery.
- Help to make references both on past and present situations; helps make informed decisions; enhances information accessibility and improves tracking, planning, monitoring and accountability.
- Help deliver proper and good services to the public for example, “ *if a land was surveyed in 1972 and a dispute arise , records can be used to solve the problem*”.

- Records are a key to quality service delivery for example, the district relies on records to plan and implement programmes.

4.3.1.7 Response of Staff Members from Finance Department

When finance officers were asked to examine the contribution of administrative records towards quality service delivery, their responses were as reported below.

- Provide information that helps to know income and expenditure from various sources and on various projects respectively.
- Provide relevant information that is useful in making decision on budgets, planning, monitoring and evaluation.
- They provide evidence of what is done in the district through transparency and accountability.

4.3.1.8 Responses of staff members form Production and Marketing department

According to the 12 (100%) production and marketing staff members, administrative records contribute a lot towards quality service delivery. They pointed out the following.

- They help in planning and management activities, making decisions, implementing programmes and in monitoring and evaluation.
- They help identify areas where farmers need help, provide information of work done and not done, provide evidence through reports and minutes of meetings, and help in planning basing on old records.
- Help by keeping the district informed and makes it easy to track progress, challenges and following up issues.
- Help in pest and disease control / surveillance.

From the data collected above from staff members in all the departments on the contribution of administrative records towards quality service delivery, it is evident that Kabarole district has a crucial role to play in managing records in their offices starting with top management, heads of department, human resource management officers, records managers, secretaries and all the departments. Consequently, there is need to streamline responsibilities and the provision of records management infrastructure / resources. Examination of the overall responses showed that records management plays a central role in providing quality service delivery.

4.4 The integration of ICT in records management in the district and its contribution to quality service delivery

The study sought to find out how ICT is integrated with services and administrative records management. Respondents from various categories gave their views regarding the role ICT plays in the management of administrative records in Kabarole district as discussed below.

4.4.1 Data from District Management

When interviewed, 6 (100%) district management team pointed out that application of ICT in records management in the district is not yet fully implemented. Documents and records were manually managed. However, an integrated financial management system was being installed by the time of conducting the study. It was meant to manage processes and records in finance department.

Four respondents 4 (66.7%) noted that ICT had been applied in the management of personnel records in the Principal Personnel's Office through the capturing of information regarding personal numbers, designation and the names of employees in the computer system. Other details kept in the individual files were not captured. Two respondents 2 (33.3%) stated that the district is connected to internet where e- mails and SMS are commonly used by many to share information but the level of ICT use is still low especially among political leaders.

Regarding the district management role in facilitating and improving the management of administrative records in supporting quality service delivery, their responses were as follows:

- ICT assists in providing relevant, complete, accurate and timely information extracted from administrative records leading to enhanced decision making and prompt service delivery to clients.
- Facilitate and improve storage, and timely delivery of information, easy retrieval of records, dissemination of information and serve as backing facilities.

The data collected above from the district management team indicates that application of ICT in records management lacks support from the top management in terms of hardware and software to integrate it with services and administrative records in support of quality service delivery.

4.4.1.1 Data from Heads of Department

The eleven heads of department appreciated the use of ICT in providing accurate, timely and reliable administrative information for timely decision making thus enhancing efficiency and effectiveness, which leads to improvement of service delivery.

Seven respondents 7 (63.6%) revealed that ICT has been applied partially in the management of personnel records in the principal personnel's office. They further stated that, it is also applied in the management of environmental records; forestry records are digitized but land records are still manual. Four respondents 4 (36.4%) revealed that ICT is partially applied in finance department though print outs, ledger cash books, all assets books, bank statements are manual and an integrated financial management system was being installed by the time of conducting the study. Other departments are using the manual system.

About the role of ICT in facilitating and improving the management of administrative records in support of quality service delivery, their responses were as follows:

- ICTs facilitate in report writing, in the management of human resource and salary payment issues, data processing, and identify gaps in service delivery and simplify source delivery.
- Helps in computerization of administrative records thus reduces work on filing and storage.
- Makes communication first and easy, reduce paper work and produce well maintained files. Records can be easily accessed within a shorter time and action taken.

The data collected from the heads of department above indicate clearly that though ICT is partially applied in the management of personnel records and in a few departments it is evident that the district needs to establish efficient and effective systems for controlling and managing records.

4.4.1.2 Data from Human Resource Management Officers

Human resource management officers were also interviewed on the integration of ICT in records management in the district and its contribution to quality service delivery. They reported as follows.

- Application of ICT in records management in the district is not yet up to the standard required but something is being done. There is computerized database for all employees (3000 in number). In some offices there are computers to manage data in place and records are always kept in both hard and soft copies.
- In offices like finance department there is a plan of implementing the integrated financial management system and facilities are being installed.
- For some departments, ICT is applied in the management of environmental records; forestry records are digitized at departmental level.
- ICT is applied for traceability and follow up on progress made. It is also used in writing reports and sending e-mails.

Regarding ICTs role in facilitating and improving the management of administrative records in support of quality service delivery, human resource management officers revealed the following.

- Promote and improve efficiency and effectiveness in administrative records management.
- Facilitate and improve storage and retrieval leading to timely services and sharing of information with clients.
- Minimize loss or theft; wear and tear; and uses little space to store huge amount of information.
- Improve and reduce delays in processing tasks such as appointments, promotions and retirements caused by gaps in the paper files.
- With computerization of administrative records there will be faster accessibility of information, no misfiling, files can be traced and retrieval of information is easy.

Observation made by the researcher revealed that most of the human resource management officers were computer literate and used computers to do their official duties such as writing letters, reports, and memos among others.

4.4.1.3 Data from Records Management Officers

The study revealed the following from 4 (100%) records management officers when they were interviewed. The officers admitted that ICT was not integrated with services and administrative records management in the district due to lack of funds and support from the top management.

The registry uses the manual system which was adopted from the ministry of public service through the ministry of local government. They also reported that the records centre was not functioning. When asked why, *“they pointed out that the district shifted three times before getting its own premises. At first it was well arranged but all the*

records were pulled down from the shelves by unknown people without 'our' consent and put on the floor during transition and up to now no support has been give to set up a record Centre in the new premises."

The study further revealed that, the registry was not purposively built for housing records and records manager were not involved in planning. The basic procedures manual, classification scheme manual, records and information management manual are from the national level and some were not well adopted and implemented. On the side of the records centre there was nothing good on the ground. Record were in a sorry state tied up and damped on the floor in a big room labeled Records Centre (see photo in the appendix 5). When asked why they have neglected their work they pointed out that, *"a proposal was made and the management refused to approve it, records management is not a priority. We no longer have morale in our work due to lack of support from the top management."*

Regarding ICTs role in facilitating and improving the management of administrative records in support of quality service delivery, their responses were as follows.

- When administrative records are computerized, faster retrieval of records especially staff records and others would be realized; and errors minimized.
- ICT helps set up a good records centre for all records and improve storage.
- Staff will access personal information and entitlements faster.
- Up-to-date information on employees would be provided faster.

- ICTs provide good data backup and reliable security by use of passwords, access levels, audit trails, encryption and installation of the right antivirus software.
- ICT facilitates proper maintenance of records thus enhancing efficiency and effectiveness in decision making and service delivery to clients.

The researcher observed that, storage facilities are old and records are not secure because of dust and other environmental hazards. The room housing the records was not purposively built to house records and it was never modified. In addition, there no preservation measures taken to protect records. Therefore, ICT will help to solve some of these problems.

The data collected above from records management staff indicates that there is little support from the top management in terms of funding to run records management activities. It is also noted that, the records management staff are not involved in planning and therefore, have lost morale in performing their duties. The basic procedures manual, classification scheme manual, records and information management manual were made at the national level and staff members were not involved therefore not owned by Kabarole district staff members and implementation was poor.

4.4.1.4 Data from Secretaries

All the secretaries 9 (100%) pointed out that ICT was not integrated with services and administrative records management apart from storing records on the hard disks, CDs, DVDs, flash disks, and using internet for information sharing by a few departments.

Five respondents 5 (55.6%) stated that when administrative records are computerized, it will save time and space since computers tend to store a lot of information and solves the problems of congestion, misfiling, and poor maintained files. Four respondents 4(44.4%) noted that ICT play an important role in computerization of administrative records because this would lead to faster tracking of records and retrieval, guaranteed security in terms of passwords and back-up systems thus leading to good service delivery to clients and staff members.

Observation made by the researcher revealed that the secretaries handling administrative records were trained before the computer age , therefore, they lacked the required skills as far as application of ICT in the management of administrative records is concerned and records are exposed to dust; physical and mechanical factors; biological factors such as rodents; and other environmental hazards. In all the eleven departments records were mishandled; either kept in boxes, sacks, on top of cabinets, tables or down on the floor and yet the space was enough to accommodate shelves / cabinets. File reference numbers were given to all the departments; register for incoming and outgoing mails were also in place.

From the data above it is evident that records can be damaged or destroyed; people can destroy documents on purpose and irreplaceable records can get lost through theft / wear and tear due to abuse and mishandling by the staff members.

4.4.1.5 Responses of Staff Members from Community Based Services Department

The study revealed the following from 19 (100%) Community Based Services staff members.

- They reported that ICT was not integrated with services and administrative records management in the district as expected. The 99% percent of work is manual.
- In some offices there are computers to manage data in place and records are kept in both hard and soft copies.
- Finance department has a plan of implementing the integrated financial management system and facilities are being installed.
- ICT is applied mainly in writing reports and sending e-mails. Though internet is to share information, much of the work done is manual.

About the role of ICT in facilitating and improving the management of administrative records in support of quality service delivery, their responses were as follows.

- Nine respondents (47.3%) revealed that ICT reduce paper work and provide well maintained files; records can be easily stored and accessed within a shorter time.
- Six respondents (31.6%) noted that ICTs facilitate report writing, communication and data processing. ICT can help identify gaps in service delivery and simplify work.
- Four respondents (21.1%) revealed that ICTs can help in computerization of administrative records thus reduces work on filing and storage. It also offers

timely delivery of information to service points and efficient handling of service to clients and public.

4.4.1.6 Responses of Staff Members from Natural Resources Department

A total of twelve natural resources staff members answered the questionnaire on the role of ICT in records management in the district and its contribution to quality service delivery. Their responses were as follows.

- Four respondents (33.3%) revealed that ICT has been applied partially in the management of personnel records in the principal personnel's office. They further stated that an integrated financial management system was being installed by the time of conducting the study and other departments are using the manual system.
- Eight respondents (66.7%) state that, ICT is applied in writing reports and sending e-mails. Internet services are used to share information. In addition, though some records are kept on hard disks, CDs and flash disks most of the work done is still manual.

Regarding ICTs role in facilitating and improving the management of administrative records in support of quality service delivery, Natural resource's Staff members revealed the following.

- Improve storage and retrieval leading to timely services and sharing of information to clients.
- Minimize loss or theft; wear and tear; and uses little space to store huge amount of information / data.

- Improve and reduce delays in implementing programmes, writing reports, making announcements and making posters.
- Issuing instructions to surveys.

4.4.1.7 Responses of Staff Members from Finance Department

The Finance staff 9 (100%) pointed out that ICT was not integrated with services and administrative records management but there is a plan of implementing the integrated financial management system and facilities are being installed and training in process. ICT is used in storing information on the hard disks, CDs, DVDs and flash disks.

Regarding ICTs role in facilitating and improving the management of administrative records in support of quality service delivery, staff members revealed the following.

- Four respondents (44.4%) stated that ICT will facilitate proper maintenance of records thus enhancing efficiency and effectiveness in decision making and service delivery to clients.
- Two respondents (22.2%) revealed that ICT will improve storage and retrieval leading to timely services and sharing of information to clients.
- Two respondents (22.2%) stated that ICT will promote and improve efficiency and effectiveness in administrative records management by computerizing all the records.
- One respondent (11.1%) noted that, ICT will minimize theft of records; tear and wear; misfiling and records can be easily accessed within a shorter time.

The data collected from finance staff members above indicate that, the implementation of an integrated financial management system will provide accurate, timely and reliable administrative records for prompt decision making thus enhancing efficiency and effectiveness, which leads to improvement of service delivery.

4.4.1.8 Responses of Staff Members from Production and Marketing Department

The study revealed the following from 12 (100%) production and marketing staff members.

- Seven respondents (58.3%) revealed that, ICT was not integrated with services and administrative records management in the district, the manual system is used by all departments / sections and finance department is in the process of implementing an integrated financial management system to help ease the work load.
- Three respondents (25%) stated that, ICT through internet is applied in sending e-mails and sharing of information and reports.
- Two respondents (16.7%) revealed that there is a database for all employees in the personnel's office accessed by a few individuals other departments are using the manual system.

About the role of ICT in facilitating and improving the management of administrative records in support of quality service delivery, their responses were as follows.

- ICT facilitates data processing in pest and disease control, backing up information on computers and making communication faster to the farmers.

- Facilitates efficiency in storage and retrieval of records.
- Facilitates timely delivery of information to service points promoting efficiency and effectiveness in service delivery.
- ICT facilities and improve report writing and management of human resource and salary payment issues.

With regard to integration of ICT with services and administrative records management the data above can be interpreted to imply that ICT has not been integrated with services and administrative records management in the district. Kabarole district staff members have seen the role ICTs play in managing administrative records and service delivery. However, there is lack of required infrastructure and a records management programme in place. It also shows that there is inefficiency and ineffectiveness in service delivery in the district due to the manual system being used. ICTs can enable records to be created and managed according to the required standards and practices ensuring security in management of records.

4.5 Challenges faced in the management of administrative records in the district in service delivery

Respondents were asked to state the challenges they faced in the management and use of administrative records in service delivery.

4.5.1 Data from District Management

When asked to state the challenges they encounter in management and use of administrative records, the district management interviewed 6 (100%) cited the following.

- After the re-structuring process, the district lacked enough and qualified staff in the management of administrative records, no filing of records in their proper files, loss of records, alteration of records due to lack of confidentiality; one councilor gave an example of a situation whereby I quote:” *the tender of water gravity flow minutes were changed by the secretary to favour his friends.*”
- Records were stolen or destroyed easily and sometimes difficult to trace.
- Delays in service delivery because of manual system, lack of capacity, sometimes viruses corrupt computers causing loss of important information, hacking and alteration of records for those departments using computers.
- Some records disappear due to being manually handled and there is no clear structure for information flow to the public.
- Delays in retrieval, it takes time to trace letters and other documents.
- Some heads of department are computer illiterate which sometimes affects information sharing.

The district management team agreed by emphasizing that these challenges affect the use of administrative records through; delays in retrieval of information which leads to delays in implementation of projects and other programmes, delay in information sharing and inefficiency in service provided to clients; loss of vital information affects the quality of

decisions, wrong and contradicting decisions; clients are denied their rights and they lose trust and confidence in the district. For example, I quote: “*loss of records leads to failure to track the history of patients, pupils, students and professionals. While some records go to wrong user departments and fail to be used.*”

When asked how they cope up with these challenges, they responded as follows.

- By going back to the source (creator) / keeping personal copies which can be used for reference in case of displacement or loss.
- By going back on legal provisions which relate to the law when making decisions.
- Training staff on job and compiling the reports on their behalf, and by trying to improve the manual system by training staff; “*we are yet to go ICT but still struggling*”.

The researcher observed that, there was lack of proper procedures for timely retrieval and distribution of records and yet records retrieval and mail circulation are the key procedures in accessing and using records. Furthermore, every office has file folders or box files for keeping records; some offices have issue trays for incoming and outgoing mails, some are used and others are kept on top of file cabinets covered by dust.

The data above can be interpreted to imply that district management has an important role to play in determining resource requirements. Consequently, Kabarole district management team need to support administrative records management by determining financial resources, human resources and equipment among others, which will help to implement a records management programme for the above challenges.

4.5.1.1 Data from Heads of Department

The above officers cited the following challenges faced in the management and use of administrative records.

- Lack of skills in records management due to absence of records managers in their departments.
- Loss of records due to records being managed by manual system resulting into a lot of paper work.
- Lack of modern equipments and inadequate facilities such as computers, phones cabinets among others.
- Lack of ICT policy, skills and proper maintenance of ICT facilities. High costs of hardware and software.
- Lack of enough stationary and cabinets.

When asked how these challenges affect the use of administrative records in service delivery, the responses were as follows.

- Lack of trained staff in records management affects service delivery through poor record keeping practices, leading to delay in decision making and in timely service delivery. Clients are denied their rights and entitlements.
- Lack of original documents, alteration of records providing false information and limited access to information.
- Computer illiterate staff cannot access records through ICT such as e-mails, for example, sub-county chiefs.

- Lack of enough stationary leads to poor services to clients. Records get tone due to poor storage.

4.5.1.2 Data from Human Resource Management Officers

The challenges cited by human resource management officers were:

- Lack of records management skills required lead to misplacement and manipulation of records by some individuals.
- Records are not yet computerized.
- The district shifted three times (from Mucwa to Boma and then to Kitumba) leading to loss of records, others are damped in a room or store and others got damaged.
- Breakdown of equipments (computers, photocopier machines, printers etc) brought by irregular servicing.
- Missing records in files and fading inks, misplacement of records poor filing.
- Lack of appropriate software for managing administrative records especially personnel records. Though some records had been entered into the database much still needed to be done to ensure that all the relevant information about staff was captured, stored and protected.

All the interviewed human resource officers 8 (100%) were in agreement that the above challenges affect the use of administrative thus affecting decision making and service delivery.

When asked how to cope up with these challenges, the responses were as follows.

- Four (50%) stated that there was need to computerize administrative records for better service delivery.
- Three (37.5%) recommended training and re-training of all district staff through courses and seminars in record keeping by expertise; recruiting adequate and qualified records assistants to man administrative records at departmental and / or section level.
- One respondent (12.5%) recommended the provision of modern storage equipment such as moveable filing racks and emphasized the use of file movement registers in all departments / sections.

Observation made by the researcher revealed that most of the Human Resource Officers had file movement registers, pass-on-slips, which were not used. From the data above it is apparent that the environment under which records are managed affects service delivery in the district, but it can be improved. This can be achieved if staff members are trained and re-trained, and if administrative records are computerized and modern storage equipments provided.

4.5.1.3 Data from Records Management Officers

When respondents were asked to state the challenges faced in managing administrative records, the following were mentioned.

- Lack of support from top management resulting from poor perception of the management team on the role played by the records managers in the district.

- In addition there was low awareness of the role of records management in support of quality service delivery.
- Lack of enough funds allocated to records section resulting to lack of necessary equipment and manpower to do a recommendable work. Without money for purchasing records storage facilities, computers and electronic records systems and training of staff just to mention a few, there would be no proper management of administrative record, especially setting the records centre.
- Lack of good systems, policies and procedures to ensure that records are well organized and accessible from the point of creation, means that action officers face continual problems in attempting to locate the records required to carrying out their day to day duties.
- Most secretaries who handle records at departmental level acknowledged that they have no skills in records management. *The two secretaries working in the Principal Personnel's office have no records management qualifications and are counted as part of the team of records section because they handle personnel records.*
- They also mentioned that some challenges were attributed to misfiling leading to difficulty in accessing records for use.
- Lack of appropriate software for managing administrative records; though personnel records have been entered into the database much still needed to be done to ensure that all administrative record were captured and stored in the system.

- Other respondents noted that tracking the movement of administrative records is time consuming causing delay in decision making thus affecting service delivery to the clients and the district local government at all levels.

Asked to propose solutions to the stated challenges, the following were mentioned.

- There is need to computerize administrative records for better service delivery.
- Training and re-training of all district staff through courses and seminars in record keeping by expertise.
- Purchasing required equipments e.g. computers, software, cabinet, shelves etc.
- Recruiting adequate and qualified records assistants to man administrative records at departmental and / or section level.
- Increased funding for records department.
- Sensitizing staff on policies and procedures; adopting and implementing them.
- Need support from the top management; they should change their attitude towards records management.

Observation made revealed that policies and procedures for managing records at the district level are well documented by the ministry of public service through the ministry of local government at the national level, but the district failed to adopt and implement them thus causing ineffectiveness and inefficiency in managing the records. The researcher also observed that storage space at the district headquarters is enough but not well planned and utilized. Preservation measures are poor there is a lot of dust. Some staff members eat in the registry room. The physical and environmental protection of records is still lacking. The arrangement in the registry is poor, some records are down on the floor due to negligence of the staff and all records are scattered. There was

shortage of good shelves and cabinets, and as a result staff morale was low. Records retention and disposal schedules to facilitate preservation or destruction of records are not developed and records are not disposed. Vital records are not kept separate from other record as required. Policies such as records management policy, access policy, preservation policy among others are not adopted and documented as indicated in the National Records and Archives Act, 2001.

From the data collected above it is clear that records managers faced various challenges in spite of the fact that policies and procedures for managing administrative records are well documented by the Ministry of Public Service. However, Kabarole district did not implement them and has no records management programme. This explains why there are many challenges in records management and there is need to integrate record keeping into district businesses and processes. It is advisable to develop classification scheme and retention schedule (review of standards and procedures).

4.5.1.4 Data from Secretaries

Secretaries pointed out the challenges faced in the management of administrative records and noted the following.

- Lack of computerization of administrative records leads to slow retrieval process and tracking the movement of administrative records is time consuming causing delay in decision making and service delivery.
- Some respondents mention that “action officers put letters in wrong files leading to loss of information” (Poor filing).

- Most secretaries who handle records at departmental level acknowledged that they have no skills in records management.
- Lack of storage equipment to safely keep administrative records thus records are placed on floors or even in sacks and some on top of cabinets therefore getting exposed to dust.
- Most of the secretaries acknowledged having little knowledge on registry procedural guidelines thus making controls impractical and the system open to abuses.

When asked if they were trained in record keeping, their responses were: *“we are trained in secretarial work but not record keeping and we have never got a course or seminar in record keeping.”*

From the data above it is clear that secretaries faced challenges due to lack of training in record management procedures and practices leading to poor service delivery.

4.5.1.5 Responses of Staff Members from Community Based Services Department

When asked to state the challenges they encountered in management and use of administrative records, the staff cited the following.

- Some files are always misplaced because some staff members lack skills in records management.
- There is bureaucracy in information flow and poor storage of information. For example, files are very dusty.

- Records management is still a big problem since most departments use old methods of filing rather than adopting advanced technology.
- Too many records and it is difficult to access personal records because of congestion leading to hard copy susceptible to risks.
- Some people deliberately refuse to give information about their departments and records management at some level is inefficient.

4.5.1.6 Responses of Staff Members from Natural Resources Department

The above staff faced the following challenges in the management and use of administrative records.

- Absence of the officer concerned; a lot of bureaucracy with various officers and missing records in the files.
- There is misplacement of files by surveyors and lack of timely retrieval.
- Lack of multiple and simultaneous access to information by surveyors.
- Lack of a record keeping system to manage all the required information.
- Poor filing of records by staff members due lack of skills.

4.5.1.7 Responses of Staff Members from Finance Department

The challenges cited by staff members were:

- Records misplacement due to lack of file cabinets that can accommodate all the files because of the nature of financial records.
- A lot of paper work due to manual system and lack of space to keep records (poor record keeping practices).

- Misplacement of specific records from files; misfiling of records, loss of records and dust.

The data collected from finance staff members above shows that Kabarole district must be losing a lot of money through misplacement of specific records and through loss of important records due to poor management of administrative records.

4.5.1.8 Responses of Staff Members from Production and Marketing Department

The staff members pointed out the challenges faced in the management of administrative records as follows.

- Filing system is not good and documents get lost. Staff member are not willing to share departmental information.
- Delays in accessing files due to manual system; misfiled records, congestion of files and records are stored in hard copies susceptible to risks such as rats.
- Misplacement of records from files because most staff lack skills in records management.
- Qualified staffs are available at the district headquarters but inadequate in lower local government.
- Records of recent years can be easily traced but those which are more than 10 years are hard to find.
- Staff tends to make almost all records so confidential, and records are not put in one central place.
- Lack of good ICT equipments for records management.

Through the data collected above by staff members from various departments it is clear that Kabarole district need to computerize its administrative records in support of quality service delivery. This implies that there is need to acquire and implement electronic records management system (ERMS) or electronic document records management system (EDRMS) for the above challenges to be addressed.

4.6 Strategies to align administrative records management with quality service delivery in Kabarole district.

The respondents were asked to propose strategies to align administrative records management with quality service delivery. Their responses are reported below.

4.6.1 Strategies from District Management

The management team gave their recommendations on how to enhance the management of administrative records as follows.

- More support and funding for records management especially acquisition of ICT equipment and developing tailored software to manage records.
- More qualified staff personnel to manage records and making partnership with public and private organisations.
- Use of ICT so that records are electronically stored, retrieved and managed.
- Training staff in electronic records management.
- Regular orientations of staff and trainings in records management
- Adequate resource allocation and implementation of policies and procedures to enhance records management.
- Properly identifying where to store the records of 1980s (non-current records).

- All heads of department should be trained in records management skills because records management determines the quality of decisions and planning which occur in every department.

4.6.1.1 Strategies from Heads of Department

The eleven heads of department gave their recommendation on how to enhance the management of administrative records in support of quality service delivery as cited below:

- More supervision in keeping records in all departments.
- To in- cooperate ICT in storage of key records that have been generated over time.
- Creating a records centre and archives for the district to house records kept in the offices and having somebody to manage records at departmental level.
- There is need to adopt and implement policies on records management (documented policies).
- Moving more to ICT by computerization of records and developing tailored software.
- Records arrangement should be improved and all staff members (especially secretaries) should be trained in record keeping.
- Recruiting qualified records officers and purchasing equipments such as computers, cabinets, shelves for keeping records.
- Training records staff at departmental level and recruiting ICT specialists.

- Motivation of staff and retraining of staff in service delivery through courses and seminars.
- The records management personnel should always update departments on issues of records management.
- Regular training (seminars and course) for the records staff and opportunity for career development for the records department.

4.6.1.2 Strategies from Human Resource Management Officers (HRMOs)

The above officers proposed the following:

- Training staff regularly to equip them with new skills and providing more computers for staff members working in the records function.
- Recruit more staff and records assistants for every department.
- Acquisition of storage facilities and equipment for managing records and installation of internet services and tailored software to foster record keeping.
- Training and retraining all staff especially secretaries involved in keeping records and tightening the supervision and monitoring of staff.
- Computerization of records to allow easy tracking of files and access to information;
- Implementing policies and procedures at department level and sections.
- Records should be decentralised to relevant sub-counties and town councils to ease service delivery to the community.
- Induction programmes for new staff and refresher courses and seminars for old staff in records management.

4.6.1.3 Strategies from Records Management Officers

The records management officers made the following recommendations:

- The district management should consider re-setting up a records centre and staff should be hired to help organise the records centre documents which are thrown on the floor.
- Recruiting records assistants for every department to manage records and training all staff members in records management for better service delivery.
- Allocation of enough funds to facilitate records management programmes such as seminars, workshops, training, and purchase of equipments and computerization of all district records to facilitate decision making and service delivery.
- To adopt and implement records management policy.
- Induction programmes for new staff members and there is need to boost the morale and motivate the records staff by providing them with necessary support in terms of finance and manpower to carry out records management functions.
- Adoption of records management procedures manual at departmental level and sections to assist in providing guidance on the management of records in the district.
- Disposal of non-current records should be carried out regularly to create room for the active records.

4.6.1.4 Strategies from Secretaries

The secretaries made their recommendation as follows:

- Training all staff in records management and service delivery and purchasing equipment such as cabinets, computers and shelves for keeping records.
- Recruiting records assistants in every department and adopting records management policies.
- Transforming manual system to computerized system to facilitate storage and easy retrieval of information and to compete with the modern technology.
- There is need to sensitize and create awareness to all staff members in the district on the importance of proper management of administrative records.
- The need to be computer literate especially those staff working in records department in order to enhance effectiveness and easy access to records.

4.6.1.5 Strategies of Staff Members from Community Based Services Department

Community Based Services staff members made the following recommendations:

- Need for records managers at all levels / departments especially in the lower local governments; in the lower local government structure the district need to create a position of a records manager to address the poor records management problems.
- There is need to have a well qualified records managers in the office of the principle personnel officer to address the constant complaints.
- Intensive training should be conducted among the district based and all lower local government staff; budgetary provisions should be made prioritizing training of lower local government workers in records management.

- Introducing electronic records management to ease work (change manual system into electronic system) and improve on service delivery; training the records staff in electronic records management and provision of computers, cabinet and shelves to the departments.
- There is need to adopt and own national policies and procedures of records management at all levels and to implement them.
- Records managers should be more supported in terms of funding and training staff members to improve records management.
- Training secretaries in all departments to manage records (paper and electronic),

4.6.1.6 Strategies of Staff Members from Natural Resources Department

The twelve members of staff from Natural Resources Department proposed the following:

- Records officers to organise training for district staff in records management and compliance checks by records officer in departments.
- Other records to be stored just like the staff personal files are kept basing on the reference list for Kabarole district.
- Computerization of records from manual to electronic in the district and employing competent and efficient workers;
- Training all staff in records management at all levels and equipping offices with computers, cabinets and shelves for keeping records; availing more space for records.

- The records management staff should always update other departments on issues concerning records management, for example, policies and procedures.
- Private surveyors should do their work properly by providing correct records; control measures should be in place to monitor private surveyors to avoid incorrect records.
- Training records assistants for every department and secretaries handling records in offices should also be trained in records management, thus records arrangement should be improved for better service delivery.

4.6.1.7 Strategies of Staff Members from Finance Department

The staff members from Finance Department made the following recommendations:

- Increase on funding of government departments especially the department of records.
- Training other staff how to handle records, files and information contained in them appropriately for easy tracking when needed, and time management by staff should be improved for attending to customers.
- Computerizing all the records to improve service delivery.
- Qualified records managers are required in the office of the principal personnel officer to address the many complaints on financial matters.
- There is need for recruiting more records assistants for proper arrangement of a records centre; especially for those records kept on the floor.
- Provision of cabinets, shelves, computers and other equipments; and induction training for new staff members.

4.6.1.8 Strategies of Staff Members from Production and Marketing Department

Recommendations by staff members were:

- Computerization of records to ease work and improve on service delivery; training the records staff in electronic records management and provision of computers and tailored software.
- Training staff at all levels in recordkeeping and training secretaries in every office to manage both paper and electronic records.
- Adopting records management national policies and procedures and implementing them at all levels.
- Service delivery need to be improved by facilitating staff adequately and all government staff should be given a basic training in records management to improve the system and for better planning.

4.7 Discussion of the findings

4.7.1 The various services provided by Kabarole district which require the use of administrative records

The findings of this study on services provided by Kabarole district confirm that various services generate and utilize administrative records. The management staff pointed out services such as making policies, monitoring and coordinating activities of the municipal and town councils of the lower government and administrative units in the district, monitoring government programmes and performance. Records are also used in accounting for public funds, recording and keeping minutes of the district executive committee, mobilizing and sensitizing community, appraising staff, safeguarding the

constitution, the district laws and other laws of Uganda and promoting the welfare of the citizens in the district, making reports to the council on the state of affairs of the district. The heads of department and human resource management officers mentioned planning and implementing work plans, approving requisitions and release of funds, collecting revenues and making budgets; decision making, legitimacy, accountability and transparency; proper utilization of public resources, internal controls and resource management; supervision of staff, work plans and reporting; payroll management; Performance management, human resource planning, recruitment and selection; Managing staff leave, training, planning HR development and management of retirements among others.

The records managers and secretaries pointed out; planning and managing the registry system, auditing departmental registries, handling secret mails, classifying mails, opening and closing files, receiving and filing correspondence, retrieving and issuing files, compiling and circulating running files, tracking files, dispatching and disposing of files, maintaining equipment, maintaining the record centre; receiving & dispatching mails, typing correspondences and office work, receiving & guiding clients; recording and filing records; collecting Health Mgt Information System data and entering of data from HMIS into district health information system (DHMIS). The community based services, natural resources, finance, production and marketing departments all pointed out various activities that generate and utilize administrative records for provision of services in the entire district.

The findings show clearly that the services offered by Kabarole district generate a lot of records which cannot be managed by the manual system thus leading to the following challenges: delays in information retrieval and implementation of projects and other programmes, congestion, loss of vital information and clients are denied their rights, inadequate storage facilities, and lack of capacity among others.

The results of this study point out that all services that Kabarole district provide generate and utilize records. Administrative records impact directly on service delivery which has a direct link with good governance of the district. The findings concur with the views of Wamukoya, (2007) and Musembi, (2005) who stated that there exist a very close relationship between service delivery, good governance and record keeping. Well managed records are essential tools for quality service delivery and governance. They facilitate transparency and accountability in public administration which depend upon complete, accurate and legally verifiable records. Poorly managed administrative records directly undermine efforts to achieve quality service delivery and good governance in the district.

4.7.2 The contribution of administrative records to quality service delivery in Kabarole district

The findings revealed that administrative records management impact directly on quality service delivery. It was established that administrative records are valuable resource because of the information they contain. They are essential in providing evidence in decision making, planning, monitoring and evaluation; protect the rights and entitlement

of employees and citizens. The study further established that all the staff members are involved in one way or another in day to day management of administrative records and therefore very important to what the district does.

Record managers stated that the management of administrative records improve efficiency and effectiveness and minimizes the dangers of corruption. It promotes timely and quick access to the records required to make informed decisions thus enhancing the district performance and providing evidence of business transactions. They also noted that, “they capture and maintain authentic information for future reference, for audit, and for purposes of litigation and information analysis and research”. And one respondent added that, “they have a financial, administrative and historical value to the district.” These indicate that administrative records contribute a lot towards quality service delivery and good governance of the district.

The staff members responses in all the departments (Community Based Services, Natural Resource, Finance, Production and Marketing) pointed out that administrative records contribute a lot towards quality service delivery. It is in this respect that administrative records are considered a valuable government asset. And therefore a business asset because they provide the means by which the district can demand their rights and entitlements. It is also through the same records that the district can be held accountable for their actions and / or decisions, with administrative records providing a documentary evidence or proof. In other words, administrative records identify people, services and goods in the process of documenting business transactions.

The findings revealed that records contribute highly to quality service delivery in Kabarole district, by supporting and managing work while recording why, when, where and what capacity and by whom, and what actions were carried out; but mechanisms put in place to ensure proper management of administrative records were very poor. The basic procedures manual, classification scheme manual, records and information management manual which help in the arrangement were not effectively used by records managers and entire staff of the district, records were no properly managed in their continuum; in every department records were mishandled either kept in boxes, sacks, on top of cabinets, tables or down on the floor. They were constant complaints from employees on salary payments, delays in retrieval of records, misplacement and loss of records among others.

The findings agrees with other research that have been carried out such as (World Bank, 2000b), which pointed out that the rights and entitlements of citizens are based on records and the ability of the government to respect these rights and entitlements basing on based practices and standards. Without a records management infrastructure, governments are incapable of carrying out their obligations, and have no ability to use the experience of the past for guidance. Without records there is no transparency, accountability and no rule of law.

The findings also concur with the views of Mnjama and Wamukoya, (2007) who pointed out that there exist a very close relationship between service delivery, good governance and record keeping. Well managed records are essential tools for service delivery and

good governance. They facilitate transparency and accountability in public administration; which depend upon complete, accurate and legally verifiable records. Without reliable records, officials cannot be held accountable and fraud cannot be prosecuted.

The significance of these findings is that good service delivery cannot be achieved in an environment in which administrative records are poorly managed, and in situations where records are regularly missing or lost. In other words, staff and citizens will be denied their rights and entitlements, therefore there is need to ensure that administrative records are well managed in order to enhance good service delivery in the district which leads to good governance.

4.7.3 The integration of ICT in records management in the district and its contribution to quality service delivery

The study revealed that not much has been done to integrate ICT with services and administrative records management in the district. The records managers and staff pointed out that ICT had been applied partially in the management of personnel records in the Principal Personnel's Office through the capturing of information regarding personal numbers, designation and the names of employees in the computer system; but no software and there was no plan of identifying and purchasing the software. They further stated that, it is applied in the management of environmental records and forestry. However an integrated financial management system was being installed by the time of

conducting the study. This was meant to manage processes and records in finance department.

Regarding ICTs role in facilitating and improving the management of administrative records in support of quality service delivery, the findings clearly show that ICT can enable records to be created and managed according to the required standards and practices ensuring security in management of records. ICT will improve storage and retrieval leading to timely services and sharing of information to clients; hence promoting and improving efficiency and effectiveness in administrative records management leading to quality service delivery. The findings revealed that ICT will provide relevant, complete, accurate, and timely information extracted from administrative records leading to enhanced decision making and prompt service delivery to clients. Further findings revealed that with adoption of information communication technology, the district will be able to access staff records faster, without having to wait for paper files to be delivered and employees will access personal information about their work and entitlements faster. This agrees with the views of Kemoni, Ngulube & Stilwell (2007) who observed that records are required for developing and implementing policies, planning, keeping track of action, achieving consistency in decision making, providing effective service to citizens and achieving greater efficiency and effectiveness.

Shepherd and Yeo (2003) have emphasized the need for good recordkeeping towards supporting the organisation's activities and processes. Availability of information contained in records is critical for survival of any organisation. Thus, an organisation /

district need to establish efficient and effective systems for controlling and managing records.

4.7.4 Challenges faced in the management of administrative records in the district in service delivery

The findings revealed that, most respondents face challenges in the management of administrative records in support of quality service delivery. The district management, heads of department and human management officers pointed out challenges such as lack of enough and qualified staff, delays in service delivery due to manual system, lack of capacity, lack of computers, viruses, lack of skills and enough storage facilities; and poor recordkeeping practices. The records management officers and secretaries mentioned lack of support from top management, lack of enough funds and necessary equipment, lack of systems & adequate policies and procedural guidelines, lack of skills in records management and misfiling as some of the challenges faced in the management of administrative records.

Furthermore the study reveals that there are a number of challenges associated with the management of records in Kabarole district ranging from poorly implemented manual system, policies and procedures. Furthermore, only records of recent years can be easily traced but those which were more than 10 years old are hard to find; misplacement of specific records from files; congestion of files, staff tends to make almost all records so confidential; and records are not put in one central place; a lot of bureaucracy with

various officers and bureaucracy in information flow; poor storage of information and files are very dusty.

These and many others agree with the views of Kemoni (2007), Wamukoya and Mutula (2005), who pointed out in their various studies the problems faced in the management of records in the public sector as lack of support from the top officials, lack of training, records management units viewed as dumping ground for unproductive and indiscipline staff; lack of policies and procedural guidelines and inadequate storage facilities among others. For any institution to prevail there must be proper recordkeeping practices since all decisions are based on information from the records. Well managed records are essential tools for quality service delivery and good governance of the district.

4.8 Chapter summary

This chapter has presented, analyzes and interpreted the findings on the data collected from the various staff members of Kabarole district on the management of sound administrative records in support of quality service delivery. The data was collected by conducting interviews, administering questionnaires and by use of observation checklist to verify data obtained from the respondents.

According to the findings of the study, it was established that there were many challenges experienced in the management of sound administrative records in Kabarole district such as: delays in service delivery due to manual recordkeeping system; lack of necessary equipment and enough storage facilities; lack of enough and qualified staff;

poor recordkeeping practices; lack of support from top management; lack of enough funds; lack of systems, and poor implemented manual system with its policies and procedures; lack of a records centre; misplacement of specific records from files; a lot of bureaucracy with various officers and bureaucracy in information flow and dusty files. Finally, the staff made suggestions and / or recommendations for improving records management in support of quality service delivery.

CHAPTER FIVE

SUMMARY OF RESEARCH FINDINGS, CONCLUSION AND RECOMMENDATIONS

5.0 Introduction

This chapter provides a summary of the major findings, conclusion and recommendations. The summary of the research findings provided is based on the investigation of the role of administrative records in the delivery of quality services in Kabarole district and suggestions for strategies for improvement. This chapter finally provides suggestions for further research.

5.1 Summary of research findings

This section provides a summary of the research findings based on the research questions that were formulated in the study.

5.1.1 What are the services provided by Kabarole district that require the support of administrative records?

Research findings revealed that, all services that Kabarole district provide require the support of administrative records and they impact directly on service delivery which has a direct link with good governance. Without administrative records there can be no accountability, transparency and rule of law. The services that require administrative records include but not limited to: making policies, monitoring and coordinating activities, monitoring government programmes and performance; mobilizing and

sensitizing community; proper utilization of public resources; internal controls and resource management; safeguarding the constitutions, the district laws and other laws of Uganda and decision making.

The findings show clearly that the services offered by Kabarole district generate a lot of records and record keeping is a core activity with the help of the manual system thus leading to the following challenges: delays in information retrieval which leads to delays in implementation of projects and other programmes; delays in information sharing and inefficiency in services provision; congestion, loss of vital information affecting the quality of decisions, clients denied their rights, inadequate storage facilities; lack of capacity; lack of original documents due to alteration of records among others. There exists a very close relationship between service delivery and recordkeeping. Well managed records are essential tools for quality service delivery and good governance. Poorly managed administrative records directly undermine efforts to achieve quality service delivery and good governance in the district.

5.1.2 How are administrative records used in service delivery in Kabarole district?

The findings revealed that records contribute highly to quality service delivery in Kabarole district, by supporting and managing work while recording why, when, where and what capacity and by whom, and what actions were carried out. However, it was noted that mechanisms put in place to ensure proper management of administrative records were very poor. There were constant complaints from employees on salary payments due to missing salaries for some staff members. Because of the manual system

which could not manage records efficiently, delays in retrieval of records, misplacement and loss of record, poor filing system among others.

Classification scheme, records tracking systems such as: file Pass-on-slip, file bring up system; were not effectively organised and used. In some offices these records management tools were not available. Generally, there was no proper security for the physical records since they were kept overly in open offices with no lockable cabinets for records. Records were not managed properly in their continuum. For example, records were kept in boxes, sacks, on top of cabinets, tables or down on the floor and yet the space was enough even to accommodate shelves or cabinets. Records managers neglected their work thus leading to inefficiency and effectiveness in service delivery. The basic procedure manual, classification scheme manual, records and information management manual which help in the arrangement were not effectively used by records managers and entire staff of Kabarole district. Furthermore, policies and procedures for managing records were not implemented and followed promptly such as records retention / disposal schedules, environmental controls, records management policy, records access policy and preservation policy just to mention a few.

The findings also revealed that staff handling records in every department were not trained in records management. Additionally, records were exposed to environmental hazards, physical and mechanical factors, biological factors such as rodents among others. The study furthermore revealed that the registry was not purposively built for housing records and preservation measures for protecting records were not in place. The

records centre was not functioning and the records were in a sorry state and there is lack of support from the top management among others. Therefore there is need to ensure that administrative records are well managed in order to enhance good service delivery in the district which leads to good governance.

5.1.3 To what extent is ICT integrated in administrative records in service delivery?

Research findings revealed that not much has been done to integrate ICT with services and administrative records management in the district as indicated below:

- Application of ICT in records management in the district is not fully implemented. Records are manually managed. It has been partially applied in the management of personnel records, environmental and forestry records.
- ICT is used in storing information on the hard disks, CDs, DVDs, flash disks and the use of internet for information sharing by a few departments. The level of ICT use is very low among political leaders. However, an integrated financial management system was being installed by the time of conducting the study, which was meant to manage processes and records in finance department.

Regarding their role in facilitating and improving the management of administrative records in support of quality service delivery, the findings clearly show that ICTs can enable records to be created and managed according to the required standards and practices of records management. ICTs can facilitate but not limited to:

- Promoting and improving efficiency and effectiveness in administrative records management by computerizing all the records; thus providing

relevant, accurate and timely information leading to enhanced decision making and prompt service delivery to clients.

- Improving storage and retrieval by using little space to store huge amounts of information and minimizing loss and theft, wear and tear.
- Making communication fast and easy, reducing paper work and producing well maintained files and records can be easily accessed within a shorter time.

5.1.4 What are the challenges encountered in management and use of administrative records in support of quality service delivery in Kabarole district?

The findings revealed that there are a number of challenges associated with the management and use of administrative records in Kabarole district. Well managed records are essential tools for quality service delivery and good governance of the district. For any institution to prevail there must be proper recordkeeping practices since all decisions are based on information from records. The greatest challenge has been poorly implemented manual system, procedures and policies; delays in service delivery due to manual system, lack of enough and qualified staff in the management of administrative records leading to poor record keeping practices; lack of support from top management; lack of enough funds and necessary equipment; lack of a system to manage administrative records; high costs of hardware / software; a lot of bureaucracy in offices and in information flow; misplacement of specific records from files; loss of records, poor filing leading to inefficiency and effectiveness; low awareness of the role of records management in support of quality service delivery; inadequate storage facilities and lack of district premises.

5.2 Conclusion

It can be concluded that the existing manual records management system and practices are inadequate and do not support quality service delivery. Therefore, there is need for the district to analyze existing records management system, procedures and practices and improve them to guarantee that they adequately support quality service delivery.

Research findings revealed that, all services that Kabarole district provide require the support of administrative records and play an important role in service delivery. However, it was found that there were many challenges encountered in the management of administrative records such as: delays in information retrieval and information sharing; inefficiency in services provided to clients; loss of vital information; clients were denied their rights; inadequate storage facilities; lack of capacity building and original documents due to alteration of records among others. The study findings have established that Kabarole district has poor recordkeeping practices and it has no appropriate system whether manual or electronic for managing the administrative records hence service delivery and good governance is compromised.

The study also revealed that, administrative records contribute a lot towards quality service delivery. It is in this respect that administrative records are considered a valuable government asset. However, the mechanisms put in place to ensure proper management of administrative records were very poor thus leading to many challenges such as: the manual system could not manage records efficiently, delays in retrieval of records, misplacement and loss of record, poor filing system; classification scheme, records

tracking systems were not effectively organised and used; generally, there was no proper security for the physical records and were not managed properly in their continuum. The basic procedure manual, classification scheme manual, records and information management manual which help in the arrangement were not effectively used by records managers and entire staff of Kabarole district. Policies and procedures for managing records were not implemented and followed promptly such as records retention / disposal schedules, environmental controls, records management policy, records access policy and preservation policy among others.

The adaption of the records continuum theoretical model supported the study by accommodating the management of records in a mixed paper and electronic environment which is mainly practiced in Kabarole district. The continuum also emphasizes heavily on electronic records and the study has recommended the computerization of administrative records thus supports the reasons for adapting records continuum model to this study.

The findings revealed that not much has been done to integrate ICT with services and administrative records management in the district. Application of ICT in records management in the district is not fully implemented and records are manually managed. It has been partially applied in the management of personnel records, environmental and forestry records. It is also used in storing information on the hard disks, CDs, DVDs, flash disks and the use of internet for information sharing by a few departments. The level of ICT use is very low among political leaders. It can be concluded that

administrative records in Kabarole district are incomplete and fragmented little has been done to capture administrative records comprehensively due to lack of hardware and software. This has impacted negatively on good service delivery and good governance.

The study revealed that, there are a number of challenges associated with the management and use of administrative records in support of quality service delivery in district. Among the challenge noted by the researcher is the poorly implemented manual system, procedures and policies; delays in service delivery due to manual system, lack of enough and qualified staff in the management of administrative records leading to poor record keeping practices; lack of support from top management; lack of enough funds and necessary equipment; lack of a system to manage administrative records and high costs of hardware / software among others.

No literature has been written on how sound administrative records management can help Kabarole district perform better; this study has bridged this gap by providing strategies that could be used to ensure adequate records management in Kabarole district to support quality service delivery. The strategies will assist the district to develop a records management system that will ensure adequate records creation or receipt, distribution, use, storage, security as well as disposition. The strategies will also help to develop best practices by adopting best policies, methods, procedures, tools and processes that others have used to address records management challenges.

5.3 Recommendations

The study findings revealed that Kabarole district faced a lot of challenges in management of administrative records. Therefore, based on the findings and conclusions of the study, the following recommendations are made for Kabarole district to support quality service delivery for good governance.

5.3.1 Implementation of records management policy

Research findings revealed that, all services Kabarole district provide require the support of administrative records and they impact directly on service delivery. The findings also show clearly that record keeping is a core activity with the help of the manual system but with a lot of challenges. Therefore this study, recommends that the records manager Kabarole district in collaboration with the director of Records and Archives Management adopt and implement a records management policy to guide responsibilities, resource allocation and setting out of standards. The purpose of policies is to provide guidance in the management of records from creation to disposal; it includes the outline of records management programme and procedures that can help the district achieve its records management goals; facilitate standardization in the application of procedures and practices in records and archives management for quality service delivery in the district. The policy can also assists in pinning the management for allocation of resources among others.

5.3.2 Control of records, issue and tracking

From the findings of this study, it was revealed that records contribute highly to quality service delivery in Kabarole district but mechanisms put in place to ensure proper

management of administrative records were very poor; thus leading to a lot of challenges. It is therefore, recommended that the records officers should promote the effective use of the tools. Such tools including file out-card, file pass-on slip, file bring Up diaries, incoming and outgoing mail registers, index and others. This can be done by developing effective internal audit coverage and ongoing monitoring and supervision by records management staff. Managing records is much easier if the tools for controlling records are effectively utilized and these tools help to solve problems of misfiling, loss and misplacement of files just to mention a few. Effective utilization of the controlling tools will result into good records management and hence quality service delivery.

5.3.3 Hiring qualified staff

This study also recommends that the human resource officer in collaboration with the records manager should hire qualified staff to set up a records centre for the district. The few (four records officers) cannot cope with the workload. They should hire staff with records management professional training either at diploma, bachelor degree, and / or postgraduate levels.

According to IRM (1999) persons appointed to a post in the records management facility, whether or not they should possess a professional, paraprofessional or specialist qualification. Having qualified personnel in records management department within the Kabarole district local government will enable successful and effective records management programme.

5.3.4 Records retention and disposal schedule

Further, the study recommends the development of records retention and disposal schedule which will enable the district management to understand which records should be maintained permanently due to its value and those to be destroyed. Records managers directly involved in disposal of records should be acquainted with policies, procedures and guidelines for disposal as documented in the national records and archives Act, 2001.

5.3.5 Integration of ICT in records management

The study revealed that not much has been done to integrate ICT with services and administrative records management in the district. Therefore, ICT integration in records management is recommended through the use of computers. Manually processes are often associated with delays in the access and retrieval of information / records. ICT integration enhances retrieval, distribution, tracking and access of records. According to Robek, et al. (2002) information communication technology offers the following benefits:

- Provide a computer capability to establish total life cycle control over records on an enterprise-wide basis
- Greatly improves the performance of the recordkeeping system; enhance the accessibility of the information contained in the records, so that the goal of precise and timely retrieval can be archived.
- Provides significant benefits in work measurement, cost reduction, productivity improvement, and better service to customers and clients.
- Provides a means of upgrading the status of the records management function and those who work in it.

By providing relevant, complete, accurate and timely information to the clients and public sector will improve service delivery in the district through the use of ICTs.

5.3.6 Capacity building for staff members

The findings revealed that, there are a number of challenges associated with the management and use of administrative records in Kabarole district. The greatest challenge has been poorly implemented manual system, procedures and policies. There also delays in service delivery due to manual system among others. This study recommends that Kabarole district should ensure all the staff members are provided with necessary skills through training and retraining on records management courses. This can be done by conducting workshops / seminars which will help to build their competencies and as a result improve their performance in records management and quality service delivery. The training to be offered should address the issues of implementation of records management systems, policies and procedures for records creation or receipt, distribution, use, storage, security as well as disposition. Such training programmes should be part of the overall management strategy, and they should contain elements to support professional or career development for all members of staff regardless of their grades. Having adequate and trained personnel in records management in every department will enable efficiency and effectiveness in service delivery. Human resource officer should ensure that induction courses for newly employed staff are mandatory in order to provide them with proper understanding on the operations of records section for quality service delivery.

5.4 Proposed records management strategies for Kabarole district to support service delivery

This study proposes strategies that could be used to ensure adequate records management in Kabarole district to support quality service delivery. The strategies will assist Kabarole district to develop a records management system that ensures adequate records creation or receipt, distribution, use, storage, security as well as disposition. The strategies will also help to develop best practices by adopting best policies, methods, procedures, tools and processes that other have used to address records management challenges.

5.4.1 Determine resources requirements

It is vital to identify from the outset all the required resources to allow proper planning for records management resources such as: human resources, financial resources, accommodation and equipment. The resources should include among others, the following:

- Securing financial resources
- Identifying personnel requirements for the right staff to drive the process
- Identifying necessary equipment for records management
- Preparing and empowering trained staff to drive the processes

5.4.2 Review and implement records management policy

In order to ensure a smooth take off, there is need to review and implement the existing records management policy from the National level. Adopt policy, standards and procedures; develop retention and disposal schedules.

- The policy should clearly define the responsibilities for the Records Managers at all levels.
- Adopt and own the procedural manual as developed by the national level to guide records management staff in creation or receipt, distribution, use, storage, appraisal, disposition, classification, and arrangement.
- Consider standards and legal issues related to records management.
- Develop retention and disposal schedule in collaboration with the responsible personnel.

5.4.3 Staff training / development

Building the capacity of staff is the cornerstone of any organisation's ability to address issues pertaining to their core functions such as: value of records and its impact on service delivery through seminars, workshops and induction programmes.

- Workshops and seminars should be conducted for the entire staff members in order to enhance their skills in records management.
- Training the Records management Officers in records management courses at all levels will equip them with necessary skills to enable them to carry out their records management functions properly.
- All staff should be trained in records management policies, procedures, standards and skills used in the processes for creating, using, managing and preserving official records throughout their life time; while enhancing fast retrieval of records in response to the demands of the users and;
- The impact of records management on service delivery

5.4.4 Management of records during their continuum

This strategy refers to daily management of records in the organization based on the established programme, policies, standards and procedures from creation to disposition.

- It is the actual management of administrative records to serve the needs of the district, fostering operational efficiency and overall district service delivery.
- It enforces compliance of records management programme, policies, procedures and standards implemented above.
- Enforce compliance with international standards like ISO 15489:2001, professional ethics and legal issues in records management.

5.4.5 Develop and maintain a records centre

The absence of a records centre leads to congestion of semi-current records in the registry. Developing and maintaining a records center is one of the key functions of records management that facilitate quick information retrieval and access in records management. A records centre enables semi-current records to be transferred, accessed and preserved according to retention and disposal schedules and back-up storage facilities.

5.4.6 Appraisal of a records centre

Records are selected for permanent retention in archives, and the materials must serve the purpose for which the archives were created. This selection process is what is referred to as archival appraisal. It is the process of determining the value of records and their disposition based upon their current or future administrative, legal, fiscal, evidential and information research value or their relationship to other records. It involves:

- Appraisal of records and institution
- Transferring appraisal records to the national archives for permanent preservation or destroying the useless records in accordance to the disposition schedules and records management Act of the republic of Uganda.

5.4.7 Acquire and implement a record-keeping system

- Before acquiring and implementing the system, analyze the current paper record system.
- Acquire a system that meets the district strategies and the requirements of public records legislation. Establish interoperability; involve ICT and legal expertise, records management professionals and security expertise among others.
- Implement ERMS or EDRMS and ensure that the system supports administrative record keeping process.

5.4.8 Sustain the record-keeping system

This strategy analyses the monitoring and evaluation of the system, records management policies and procedures. Continuous monitoring of administrative records management in support of quality service delivery which requires the following:

- Regular review of the policies, procedures and legislations on administrative records in consultation with the National Archives to ensure that they remain relevant.
- Records management officers responsible for recordkeeping in the district should regularly monitor their compliance with these policies and procedures.

- Carrying out staff assessment in order to find out if they are conversant with the system and provide training where necessary.

5.5 Suggestions for further research

The study proposes the following areas for further research:

- A similar study should be carried out in the ministries of local government headquarters, Kampala; to establish the current state of the management of administrative records in support of quality service delivery; which will lead to enactment of best practices in the management of administrative records and improvement of service delivery.
- There is need for more extensive research to investigate the status of administrative records management in support of quality service delivery in the private sector.
- An extensive research should be conducted to investigate the status of administrative records management in support of good governance in the public sector.

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APPENDICES

**APPENDIX 1: INTERVIEW QUESTIONS FOR DISTRICT MANAGEMENT,
HOD’S, HRMO’S, RECORDS STAFF AND SECRETARIES**

PART 1

Interview Schedule for District management, HOD’s, and HRMO’s

SECTION A: BIODATA OF RESPONDENTS

Department-----

Designation-----

Date of interview-----

Level of educational attainment-----

Diploma [] Degree [] Post Graduate [] other [] specify

For how long have you worked with Kabarole District?

0 – 2 years [] 3-6 years [] Over 10 years []

Gender: Male [] Female []

SECTION B: QUESTIONS

1. What is your job description in the district?

.....
.....

2. What activities does your job entail?

.....
.....

Does your job involve the use or handling of records?

.....
.....

3. If yes, what specific type of records do you need for your work?

.....
.....

4. What is your assessment of the contribution of administrative records toward quality service delivery in the district?

.....
.....

5. Do you apply ICT in the management of administrative records in the district?

If Yes or No please explain.

.....
.....

6. In what ways can ICT facilitate and improve the management of administrative records in support of quality service delivery in the district?

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

7. Do you face any challenges in the management of administrative records in the district? If yes, mention a few.

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

8. How do these challenges affect the use of administrative records in support of quality service delivery in the district?

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

9. How do you cope with these challenges?

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

10. In your opinion, what recommendations can you provide to enhance the management of administrative records in support of quality service delivery in Kabarole district?

.....
.....

PART 11

Interview Schedule for Records management officers

SECTION A: BIODATA OF RESPONDENTS

Department-----

Designation-----

Date of interview-----

Level of educational attainment-----

Diploma [] Degree [] Post Graduate [] Other [] Specify.....

For how long have you worked with Kabarole District?

0 – 2 years [] 3-6 years [] Over 10 years []

Gender: Male [] Female []

SECTION B: QUESTIONS

1. What is your job description in the district?

.....
.....

2. What specific activities does your job entail?

.....
.....

3. How important are records to what the district does?

.....
.....

How do records contribute towards provision of services in the district?

.....
.....

4. Do you apply ICT in the management of administrative records in the district? If

Yes or No please explain.

.....
.....

5. In what ways can ICT facilitate and improve the management of administrative records in support of quality service delivery in the district?

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

6. Do you face any challenges in the management of administrative records in the district? If yes, mention a few.

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

7. How do you cope up with these challenges?

.....
.....

8. What are your suggestions and / or proposals for improving:

- Records management?

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

- Service delivery?

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

PART 111

Interview Schedule for secretaries

SECTION A: BIODATA OF RESPONDENTS

Department-----

Designation-----

Date of interview-----

Level of educational attainment-----

Diploma [] Degree [] Post Graduate [] Other [] Specify.....

For how long have you worked with Kabarole District?

0 – 2 years [] 3-6 years [] Over 10 years []

Gender: Male [] Female []

SECTION B: QUESTIONS

1. What is your job description in the district?

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

2. What specific activities does your job entail?

.....
.....

3. How important is the management of administrative records in Kabarole district?

.....
.....

4. Do you apply ICT in the management of administrative records in the district? If yes or no please explain.

.....
.....

5. Do you face challenges in the management of administrative records? If yes, mention a few.

.....
.....

6. What training do you have in records management?

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

7. What recommendations can you provide to enhance the management of administrative records in support of quality service delivery in Kabarole district?

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

**APPENDIX 2: QUESTIONNAIRE FOR RECORDS USERS FROM SELECTED
DEPARTMENTS (FINANCE, CBS, PRODUCTION AND
NATURAL RESOURCES)**

SECTION A: BIODATA OF RESPONDENTS

Department-----

Designation-----

Date of interview-----

Level of educational attainment-----

Diploma [] Degree [] Post Graduate [] Other [] Specify.....

For how long have you worked with Kabarole District?

0 – 2 years [] 3-6 years [] Over 10 years []

Gender: Male [] Female []

SECTION B: QUESTIONS

1. What is your job description in the district?

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

2. What daily activities related to records management do you undertake?

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

3. What is your assessment of the contribution of administrative records toward quality service delivery in the district?

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

4. Do you apply ICT in the management of records in the district? If yes or no, please explain.

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

5. In what ways can ICT facilitate and improve the management of records in support of quality service delivery in the district?

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

6. What challenges do you face when accessing records in Kabarole district?

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

7. What are your suggestions / proposals for improving

- Records management?

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

- Service delivery?

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

APPENDIX 3: OBSERVATION GUIDE

ITEMS TO BE OBSERVED	ISSUES TO OBSERVE	REMARKS
Records creation	Correspondence management Receipt& registration of incoming & outgoing mails Quality of file folders & paper The extent of computerization of administrative records	
Records management and controls	Records classification schemes Records tracking systems, Retrieval tools, Records access policy, records management policy, and records management procedures.	
The type of storage facilities	Space adequacy, appropriateness of equipment, security of records.	
Preservation and disposal	Physical location, records retention / disposal schedule, preservation policy, environmental controls, vital records identification.	
Others	How information is handled, number of staff manning administrative records, the attitudes of the staff working in the registry and offices who handle records etc.	

APPENDIX 4: PRE-TEST CHECKLIST

Margaret Katuutu

Banyatereza Sisters

P.O Box 370, Fort-Portal

Email: akatuutu2010@gmail.com

Dear Respondents,

I wish to thank you for participating in this pilot study which is an important part in this particular study. Please refer to the accompanying interview schedules / questionnaire and kindly answer the questions below which will help me in improving my data collection instruments.

The study aims at determining the *role of sound administrative records management in support of quality service delivery in Kabarole district, Uganda*

The study aims at fulfilling the following objectives:

- i. To establish the various services provided by Kabarole district which require the use of administrative records.
- ii. To examine the contribution of administrative records to quality service delivery in Kabarole district.
- iii. To establish the extent of integration of ICT in records management in the district and its contribution to quality service delivery.

- iv. To identify the challenges faced in the management of administrative records in the district in service delivery.
- v. To propose strategies to align administrative records management with quality service delivery in Kabarole district.

Pre-test checklist questions

1. Are there any grammatical mistakes you have encountered?

Yes No. if yes please indicate the questions affected

.....

.....

2. Are the questions in the interview schedules / questionnaire easy to understand / clear?

Yes. No.

3. If No to question 2 above, which questions are not clear? Please indicate

.....

.....

4. Is the sequence of questions logical?

Yes. No.

5. If No to question 4 above why?

.....

.....

Are the interview schedules / questionnaires too long?

Yes. No.

6. Is there any technical term which you are not able to understand?

Yes. [] No. []

7. If yes to question 7 above please indicate which ones

i.

ii.

iii.

iv.

8. Is the language used in the interview schedule / questionnaire acceptable to you?

Yes. [] No. []

9. If No to question 9 above, what do you think can be done to improve the language?

.....
.....

10. Can you please give suggestions to help improve the interview schedules / questionnaire?

i.

ii.

iii.

APPENDIX 5: RECORDS CENTRE



APPENDIX 6: REGISTRY SECTION



APPENDIX 7: OPEN SHELF IN NATURAL RESOURCES OFFICE



APPENDIX 8: INTRODUCTORY LETTER

Telephone: 0483-25050
E-mail kabarole@infocom.co.ug



Office of the Chief Administrative Officer
Kabarole District,
P.O. Box 38, Fort Portal.

IN CASE OF ANY CORRESPONDENCE ON THIS
SUBJECT PLEASE QUOTE REF: **CR/220/1**

Date: **21st October 2014**

Heads of Department

INTRODUCTORY LETTER

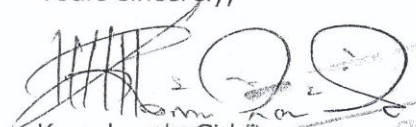

This serves to introduce to you Sr. Katuutu Margaret who is pursuing a Masters Degree in Information Science (Archives and Records Management) at Moi University, Eldoret, Kenya.

She is carrying out a research entitled "Role of Sound Administrative Records Management in support of Quality Service Delivery in Kabarole District"

The purpose of this communication is to request you allow her carry out research in your department. The information given will be treated with utmost confidentiality and will be used only for the purpose of research.

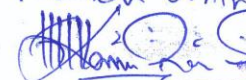

Any assistance rendered to her is highly appreciated.

Yours sincerely,

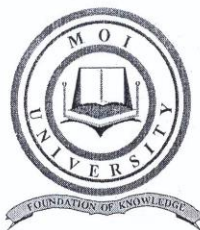

Kamuhanda Gideon


PRINCIPAL HUMAN RESOURCE OFFICER, KABAROLE.

All HROs 27th/1/2015

Please render Maximum Support to Sr. Katuutu Margaret to enable her complete her research with ease. Thank you.



APPENDIX 9: AUTHORIZATION LETTER FOR DATA COLLECTION



MOI UNIVERSITY

DEPARTMENT OF LIBRARY, RECORDS MANAGEMENT AND INFORMATION STUDIES

Tel: (053) 43231

Fax No. (053) 43292

Telex NO: 35047 MOIVASITY

E-Mail: hodlis@mu.ac.ke OR deanis@mu.ac.ke

P. O. Box 3900

Eldoret

Kenya.

REF: IS/MS/RAM/01/13

6th October, 2014

TO WHOM IT MAY CONCERN

Dear Sir/Madam,

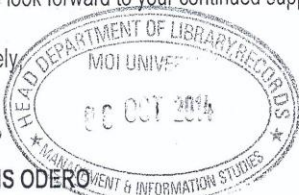
RE: DATA COLLECTION – MARGARET KATUUTU (IS/MS/RAM/01/13)

The above named is a postgraduate student in the Department of Library, Records Management and Information Studies, School of Information Sciences, Moi University pursuing a Master of Science Degree in Information Sciences (Records and Archives Management). She is carrying out a research programme entitled *"Role of Sound Administrative Records Management in Support of Quality Service Delivery in Kabarole District, Uganda"* under the supervision of Prof. Cephas Odini and Prof. Japhet Otike.

The purpose of writing is to request you to kindly allow Ms. Katuutu to conduct the research in your organization beginning October, 2014 and request your staff to assist her collect the necessary data. The information given will be treated with utmost confidentiality and will be used only for the purpose of the research. We look forward to your continued support and co-operation.

Yours sincerely,

Damaris



DR. DAMARIS ODERO
SENIOR LECTURER AND HEAD,
DEPARTMENT OF LIBRARY, RECORDS MANAGEMENT & INFORMATION STUDIES.

DO/mn

*Records officer
P'se help
Munih
21/10/2014*