

**A PROPOSED FRAMEWORK FOR ELECTRONIC DOCUMENT AND RECORDS
MANAGEMENT SYSTEM OF PRINT-BASED RECORDS OF JUDICIAL SERVICE
COMMISSION, UGANDA**

REBECCA KAIRE

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DECLARATION

I, **Rebecca Kaire**, hereby declare and confirm that this dissertation is my original work and that it has not been plagiarized, nor submitted to any other institution for any academic award.

.....
Rebecca Kaire

SUPERVISOR'S APPROVAL

I, Francis Ssekitto, hereby certify that I have reviewed this dissertation and I believe it meets the necessary standards and requirements.

Signed,

A handwritten signature in black ink, appearing to read 'Ssekitto', is centered within a light gray rectangular box.

FRANCIS SSEKITTO

Uganda Christian University

Date:

DEDICATION

This work is dedicated to my family, especially my husband and my mother, Maama Nalukwago Cathrine Menya, whose unwavering support, encouragement, and love have been my foundation throughout this journey. I also extend my gratitude to my parents for instilling in me the values of hard work and perseverance. To my employer, thank you for providing the opportunities and flexibility to pursue my academic ambitions. I am grateful to my colleagues at work, whose constant motivation kept me going, and to my mentors, whose guidance and wisdom inspired me to strive for excellence. This achievement belongs to all of you as much as it does to me.

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ACRONYMS

JSC:	Judicial Service Commission
EDRMS:	Electronic Document Records Management System
MDAs:	Ministry Departments and Agencies
MoPS:	Ministry of Public Service
JLOS:	Justice Law Order Sector
NARC:	National Archives and Records Centre
NITA-U:	National Information Technology Authority - Uganda
CIA:	Confidentiality, Integrity, and Authenticity
GoU:	Government of Uganda
IGG:	Inspectorate General of Government
LGs:	Local Governments
UCU:	Uganda Christian University, Mukono

ABSTRACT

This study was undertaken with the overall objective of coming up with framework on the electronic management system of print-based records of Judicial Service Commission of Uganda (JSC).

The objectives of the study were to review on the level of Records management and print based practice in the JSC of Uganda in analysing its security and accessibility, to design a framework for the implementation of EDRMS with an emphasis on security and accessibility in the JSC of Uganda, to identify key challenges to EDRMS implementation in the JSC of Uganda.

To make the above achievable, the study adopted case study research design for the study. The study involved twenty-four (24) participants where 12 participants were adopted to as the sample size for the study. The data collection techniques employed were questionnaires, semi structured interviews, observational and documentary. For the first objective, evidence show that the JSC registry kept records in the form of personnel and other non- personnel records which comprised letters and reports from the public and other ministries departments and agencies. On the second objective, records management practices were conducted in accordance with Basic Registry Procedures Manual from MoPS that provided an outline of the roles of the records officer. Concerning the third goal, efficient records management practices were established to reduce costs, enhance retention and familiarity of information, and protection of records. For the fourth objective, challenges to the maintenance and ensuring the best standards in records management in the JSC registry included: inadequate staffing, insufficient equipment, inadequate and

limited space, and negative attitudes. It was considered appropriate to determine that the practices related to record management of the JSC registry were satisfactory. The activities of MoPS complied with the general policies and procedures relating to record management, and there was already a process in place to actively digitize records. The data reveal that the challenges like the lack of equipment, a lack of enough staff, and other resource deficits were critical threats to records management at the JSC registry. The study therefore advocates for enhanced training and awareness of JSC Registry Staff on EDRMS, enhanced funding of the registry as well as recruitment of additional staff in the JSC registry.

CHAPTER ONE

INTRODUCTION

Background to the Study

Effective records management is central to the operational success and accountability of public sector institutions, particularly those in developing nations where its recognition as a strategic priority is growing (Henry & Njenga, 2021). The Judicial Service Commission of Uganda (JSC), as a critical governmental entity responsible for overseeing appointments, discipline, and administration of Judicial Officers like Judges, Registrars, Magistrates as well as Non-Judicial Staff of Judiciary, currently heavily depends on traditional, paper-based record-keeping systems. The increasing volume of records, congestion of space for physical storage facilities, and unnecessary manual work have made this a more difficult task. Such a system opens itself to a number of problems like peril in loss of records, risk of deterioration, issues with access retrieval, and increased likelihood of theft or alteration of the filed documents (JSCU, 2023). With these storage limitations, including susceptibility to damage from pests, natural disasters (dust, moisture, or mishandling). It slows down decision making processes and cuts down the effectiveness with which public services are provided to JSC clientele.

In the digital age it makes sense to move away from hard copies of records and migrate to using an Electronic Document and Records Management System (EDRMS) which improves security, provides easier storage, easier access, and better control over who can access the information. An EDRMS offers many advantages as it can lower the

demand for physical space, introduce new efficiencies to processes and reduce costs while ensuring record storage is secure and accurate and records are available when needed and by those authorized. Further, a properly implemented EDRMS can mirror itself to internationally recognized standards and policies on records management, enhance the visibility and conformity with legal demands, reduce information technology vices, and encourages users to participate in its formulation and governance mechanisms within justice sector in view (Aramide 2020).

Lappin (2019) defines records management as the utilization of professional and systematic means of controlling information needed for business operations. Record management, as specified by Saffady (2021) is defined as: “a field of management that concerns the efficient and systematic control of the processes for the creation, receipt, maintenance, use, and disposal of records, as well as the capturing and retaining of information and records, documentation of business activities and transactions.” This definition includes activities which include the formulation of policies/standards; the delegation of roles and responsibilities; the formulation and dissemination of procedures/policies; the design, implementation and administration of special systems for the management of records; and the incorporation of records management in the judicial service systems/service delivery. Consequently, records management within the judiciary is crucial in increasing legal system’s openness, integrity and for the safe guarding of the rights of the parties in the legal process (Keshta & Odeh, 2021; Abdulkareem 2022; Kumar 2023).

Appreciation of the issues related to the challenges of converting records management from print-based systems to the Electronic Document and Records Management Systems (EDRMS) is not just a process issue but a cardinal feature in delivering the rule of law and maintaining the confidence which stakeholders place in judicial systems. The general environment and nature of an EDRMS means that its introduction and adoption for the Judicial Service Commission (JSC) of Uganda requires consideration of numerous legal, operational, and security concerns. From a legal framework standpoint, the JSC is bound by the provisions of the National Records and Archives Act 2001, the Data Protection and Privacy Act 2019, and the Evidence Act, cap 6 (as amended) to facilitate records management processes as well as the safeguarding of sensitive data. Functionally, it has to interface with stakeholders, deal with the replacement of paper-based systems and systems integration to improve performance of the EDRMS. Nevertheless, proper security controls ought to be put in place to prevent external and internal unauthorized access and to facilitate data recovery, and access control, data encryption, and disaster recovery ought to be central to judicial records. However, evaluating these factors can enable the JSC to improve operational performance without jeopardizing the legal standards and risk sharing of information.

Comprehending the intricacies of shifting from print-based records administration to Electronic Document and Records administration institutions (EDRMS) is not solely a procedural issue but a fundamental aspect of sustaining the rule of law and preserving stakeholders' confidence in judicial institutions. Implementing an EDRMS for the Judicial Service Commission (JSC) of Uganda necessitates careful attention to various legal, operational, and security considerations.

In addition, during the COVID-19 pandemic, access to timely summons documents has made it difficult to resolve disputes, causing litigation costs and undermining litigants and public confidence in the judicial process (Baldwin 2020).

Background to the Judicial Service Commission of Uganda.

Uganda's Judicial Service Commission (JSC) was created under the Justice, Law and Order Sector (JLOS), a collaborative programme of the Government of Uganda aimed harmonizing institutions with co-related mandates in justice delivery, law enforcement and the protection of human rights. This is a sector-wide approach, which is intended to provide a common vision, policy framework, and aligned priorities at a medium term (Judicial Service Commission, 2018).

This constitutional provision was made under the article 146 of the constitution of the republic of Uganda as amended in 1995 under this overarching collective mandate, the JSC is a legal body responsible for efficiency and integrity within the judicial system. Mainly, the JSC main supply and demand concentration concerns the recruitment and disciplining of the Judicial Officers. The commission is made up of nine persons, all of them are expected to be of high moral character hence making the commission play a central role in determination of laws needed in the future of Uganda. The organization sits in a dynamic milieu that presents it to many challenges such as changing technology, annual and daily generation of paper and electronic records and higher institutional and public expectations for the JSC.

Records and Information Management Section.

Records and Information Management Section functions under the Human Resource

Management (HRM) department to efficiently manage records touching on judicial personnel and any other subject related matters including complaints against judicial officers, correspondences from line ministries Departments and Agencies (MDAs). This section is accountable for the periodic and proper development, registration, and categorization of records about personnel and subjects along with subject areas; and records formatting and preserving in a systematic means and in compliance with the National and International records management policies and data protection act, NARC (2021). In particular, it enables the implementation of an Electronic Document and Records Management System (EDRMS), improving the functionality of record management. The section this year also oversees and assesses records management in the organisation and coordinates record keeping in other departments for compliance. In sum, this section is a vital link in maintaining accountability, transparency and the rule of law in the discharge of the core functions of the JSC relating to decision-making and the orderly fulfilment of administrative responsibilities involving important decision-making information.

Problem Statement

The Judicial Service Commission (JSC) of Uganda currently relies heavily on print-based records to manage its operations, including personnel files, disciplinary records, appointment documents, and administrative correspondences. However, the manual nature of these systems presents significant challenges such as inefficiency in retrieval, loss or misplacement of vital documents, limited access, poor security, and inadequate storage facilities. These issues hinder timely decision-making, compromise record

integrity, and expose the institution to risks of data loss and non-compliance with records management standards.

Despite the growing national push towards digital transformation and e-governance, the JSC lacks a structured and institutionalized Electronic Document and Records Management System (EDRMS) to digitize and streamline the management of its records. Without a clear framework to guide the transition, the JSC risks further inefficiencies and missed opportunities for transparency, accountability, and service delivery improvement.

These issues compromise the Commission's ability to provide timely decisions, ensure file integrity, and comply with national records and data protection laws. Additionally, **the lack of standardized access control and audit trails** poses risks of unauthorized access, data loss, and corruption (JSC ICT Security Brief, 2023).

This study seeks to address this gap by proposing a tailored EDRMS framework that responds to the specific records management needs of the JSC, while aligning with international best practices and Uganda's national ICT policy goals. This system would enable comply with a secure storage, rapid retrieval, digital workflow integration, and adherence to legal frameworks, such as the National Records and Archives Act, 2001, and the Data Protection and Privacy Act, 2019.

Aim of the Study

The study aims to develop an ethical framework for digitizing and safeguarding print-based records at the Judicial Service Commission, facilitating a secure and compliant transition from manual to electronic records management in accordance with professional standards and best practices.

Objectives of Study.

1. To assess current print-based records management practices and challenges at the JSC.
2. To design a suitable EDRMS framework for managing and digitizing JSC records.
3. To recommend strategies for effective implementation of the proposed EDRMS.

Research Questions

1. What are the current practices, challenges, and gaps in managing print-based records at the Judicial Service Commission (JSC)?
2. What key components should be included in a suitable EDRMS framework for managing and digitizing JSC records?
3. What strategies are necessary to ensure the effective implementation and adoption of the proposed EDRMS at the JSC?

Scope of the Study

Time Scope

This research took four months so as to obtain adequate depth while establishing the development of an EDRMS framework to manage print-based records within the Judicial Service Commission of Uganda.

Content Scope

This study was carried out with the intention of developing an appropriate framework that would help design an EDRMS Suitably designed for the improvement of security and access of print-based records managed at the judicial service commission (JSC) of Uganda. With the interventions meant to solve the current common issues in records management, a proper judicial records management framework will effectively shield

confidential information against casual/harmful access and other hazards while allowing easy access by permitted official when needed. The developed EDRMS correspond to the mandate of JSC to enhance administration efficiency and accountability thereby enhancing the public confidence in the Uganda justice system.

Geographical scope

The study aims at establishing the current state of EDRMS framework for the JSC in Uganda and the challenges faced in implementing it. The framework is suggested for implementation across departments of the JSC and all its regional offices wherein all records management activities will be analyzed accordingly. The main site of this study is JSC headquarters situated in Kingdom Kampala Building along Nile Avenue, Kampala Uganda. This geographical coverage is also useful in evaluating the emerging trends, and determining the precise requirements of the records management system of JSC at the national and regional levels.

Justification of the study

This research is valuable since there is a vital need for an enhanced and secure system to sort, store and archive the numerous documents from the numerous divisions of the JSC of Uganda, which have relied heavily on the manual print type of records.

Efficiency and Accessibility:

An appropriately implemented electronic document and records management systems EDRMS will streamline record keeping processes to enhance the speed of locating and managing documents and records for improved service delivery of the Judicial Service

Commission JSC.

Security Enhancement:

The developed EDRMS will incorporate a customized solution that will feature a strong security system that will protect the judicial documents from physical harm, loss or even unauthorized access.

Legal Compliance:

Proposal for the Implementation of EDRMS for the Judicial Service Commission The Electronic Document Records Management System, when adopted by the JSC, will help the Commission to meet and comply with the best national and international records management practices and the laws of the country in order to maintain the credibility of the Commission.

Resource Optimization:

Transitioning to an Electronic Document and Records Management System (EDRMS) will significantly decrease the reliance on extensive physical storage and reduce the time staff dedicate to managing paper records. This shift will result in cost savings and more efficient allocation of resources.

Supporting Reforms:

A good EDRMS is crucial in the judicial reforms whose aim is improve the performance of the judiciary of Uganda through embrace of efficiency, accountability and transparency in Uganda.

Significance of the Study

Researcher and Academia

This study is valuable to researchers and the academic community because the content

created is contributing to an expanding body of scholarship in the fields of records management, information governance, legal administration, and justice. It is recommended that future research on this topic should examine the adequacy of the records security, storage and accessibility taking more reference to the Judicial Service Commission (JSC) of Uganda. The recommendations will serve as a basis for the subsequent collection of studies and the identification of best practices in records management. Furthermore, the approach taken and results of the study will provide a basis for conducting other research efforts that examine records management in judicial settings.

Judicial Service Commission (JSC) Services.

Uganda's Judicial Service Commission, of course, will benefit from the results of this study. From the evaluation of the present practices in record management, the encountered difficulties, and the recommendations for enhancement, the findings will directly influence the Commission's policies and activities in refine. As the objective of the study, the following objectives have been developed for the Commission: Increasing the protection level of the legal information and at the same time ensuring effective access to such information by legitimate users. The operational implications derived from this study can provide valuable suggestions to enhance internal operations, manage risks and develop a more durable records management environment.

Practical significance

Consequently, the applied value of this research is to improve the functioning of the Uganda Judicial Service Commission by proposing specific recommendations on designing the EDRMS to address the issues of print records management. This framework plans to enhance the availability as well as the protection of records, abolish lengthy

procedures connected with retention of physical paper, and decrease the time as well as the amount of work spent on record management. Through enabling efficient and quick access to information and enablement of compliance to legal requirements in handling records, the EDRMS will help to manage risks associated with record loss and intrusion as per the Registry Manual (2000), NRAM Act (2001) and NRAM Policy (2020). In addition, it will improve the functionality and outcomes of records management activities and procedures in the JSC registry. The findings laid here could also be of immense benefit to other legal institutions; it would also serve as a model for the promotion of best records practices across the judiciary.

Theoretical/conceptual framework

Theoretical Framework of the Study

Records Management Theory, Information Governance Framework and Change Management Theory was used to inform the study. Records Management Theory was coined to embrace a system of maintaining and preserving records from proper creation, use, storage and disposal to destruction in the most suitable manner possible. The Information Governance Framework suggests that to meet the regulatory demands, there must be proper approach to designing appropriate processes regarding legal obligations and create an EDRMS suitable for the formal organisation. While Change Management Theory focuses on the organizational aspect of the move to implementation of a new system in a formal organization is to primarily engage all the stakeholders and then train them in the use of the new solution. ALM in combination with KTM enabled constructing sound theoretical framework that underpinned the examination of the difficulties which the JSC encountered in the management of print-based records and guided the methodological and analytical frameworks of the study.

Management of records to ensure integrity, security, and accessibility throughout its life-cycle. The Information Governance Framework identifies the need for effective processes and structures to ensure compliance with legal requirements, guiding the development of a comprehensive EDRMS framework tailored for the JSC. Change Management Theory looks at the organisational aspects of transitioning to an EDRMS framework, highlighting the importance of stakeholder engagement and training to facilitate adoption. Together, these theories provided a robust ground to investigate the challenges faced by the JSC in managing print-based records and informed the study's methodology and analysis.

Conceptual framework of the study

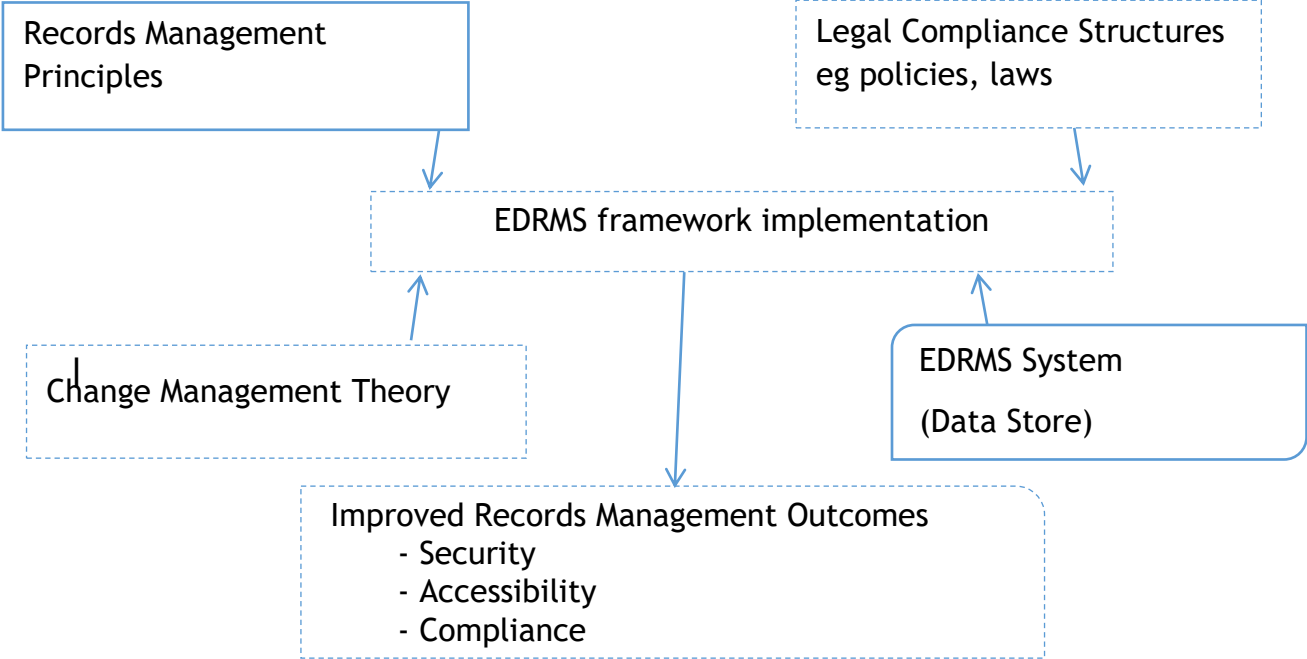


Figure 1: Conceptual framework components relationship

The conceptual framework of this study shows how the proposed EDRMS framework (the independent variable) is expected to improve how records are managed (the dependent variable) at the Judicial Service Commission of Uganda. It is based on three main ideas

that influence how the system is designed, accepted, and used. The framework explains how these parts work together to improve records security, accessibility, and compliance at the JSC. Using an Electronic Records and Document Management System (ERDMIS) needs a clear plan, guided by important principles from Records Management Theory, Information Governance, and Change Management.

Key Variables

- **The independent Variable:** The design and implementation of the EDRMS framework as the tool
- **The dependent Variable:** Records management effectiveness, which includes Security of records, Accessibility and retrieval of records, Compliance with laws and policies.

Theoretical Foundations of the Framework

Records Management Theory

Records Management Theory highlights the importance of managing records throughout their entire life-cycle—from creation, use, and storage to final disposal. In the context of the Judicial Service Commission (JSC), the EDRMS framework applies this theory by ensuring proper documentation practices that maintain the accuracy and authenticity of records. It supports secure and organized storage systems and enables systematic, policy-based archiving or destruction of records. This approach enhances records security by minimizing risks such as manipulation, loss, or unauthorized access, while also improving accessibility through faster and more reliable retrieval of files. Overall, the theory ensures that the EDRMS maintains

accurate records, provides structured storage, and strengthens both security and accessibility.

Information Governance Framework

The Information Governance Framework highlights the need to align record-keeping practices with laws, standards, and institutional policies. At the Judicial Service Commission (JSC), the EDRMS framework ensures compliance with national laws such as the National Records and Archives Act and the Data Protection and Privacy Act. It incorporates important controls like audit trails, access permissions, and document retention schedules. These features help maintain legal compliance and promote institutional accountability, making the EDRMS a vital tool for managing records responsibly and transparently.

Change Management Theory

Change Management Theory recognizes that the success of a system depends on the people who use it. For the Judicial Service Commission (JSC), the successful adoption of the EDRMS framework requires raising awareness, providing training, and having strong leadership support. Early involvement of stakeholders, ongoing capacity building, and efforts to address resistance are essential. These actions help users accept and effectively use the system, making the framework more sustainable and with great impact in the long run.

The conceptual framework illustrates that implementing a well-designed EDRMS framework, supported by records management principles, legal compliance structures, and effective change management, leads to improved records security, accessibility,

and compliance at the Judicial Service Commission (JSC). These combined elements explain how the EDRMS enhances security through controlled digital access, improves accessibility with organized digitization and easy search, ensures adherence to national laws, and ultimately promotes a more efficient and transparent judicial administration system.

Definition of Key Terms

Electronic Document and Records Management System (EDRMS): Informs on a systematic approach to the management of electronic and physical records, from generation, storage, access and sharing, to disposal of records and documents. This system also improves the functionality, accountability and safety of record keeping within organizational settings.

Judicial Service Commission (JSC): An Independent executive agency in Uganda mandated to recruit, develop, train, promote, transfer and discipline Judges, Registrars, Magistrates and any other Administrative Staff of the Judiciary. It might be said that the potential of the JSC is to guarantee genuine and effective work of the judiciary.

Judicial Environments: In this term, it refers to the technical sphere within which legal processes, proceedings or decision-making occurs. Judicial contexts include physical settings of delivering justice, the support structures, and patterns governing the process of justice delivery. They include, but are not limited to, courtrooms, legal offices, administrative bodies to mention but a few, and any other area that is strictly in the legal profession. It is a broader construct encompassing not only physical contexts of

legal affairs, but also all the processes, practices and people undergoing and/or realizing legal matters, such as judges, lawyers and litigants, as well as administrative staff. In this study, by judicial environments, the context of operation of the Uganda Judicial Service Commission will only be imply.

Print-Based Records: Records which are made and which are kept and preserved in the form of paper. These records comprise of the court sessions, legal papers, employee files and any other printed mater used in the administrative work.

Records Management: The total and orderly management of records from their origin, storage, usage, sharing and disposal over time. Record management is the process of maintaining records in both paper and electronic format in an efficient and operationally secure manner.

Records Security: This term refers to the comprehensive practices, measures, and measures put in place to ensure that information in any format either in physical or electronic form is protected from access by unauthorized persons, contaminated, destroyed or lost. This term comprises steps that prohibit unauthorised accessing, loss, alteration or destruction of records and is the key term that will be used repeatedly in this research.

Accessibility: In regard to records management, access is the degree to which, and the manner in which, the members of the designated record-keeping community can obtain access to records and information (Touray, 2021). It en compasses the creation of systems and procedures that ensure availability of information at the right time in case of decision making and legal matters.

Data Protection: The legal and other activities that should be performed in order to guarantee that an individual's personal and sensitive data will not be used without his

or her consent and Rights. This is especially critical in judicial environments where a lot of information is normally classified.

Information Governance: The structure used to govern all information in its passages through the cycle and compliance with the current legislation. Information governance then can be defined as the rules, procedures and standards relating to the management of information.

Framework: With regard to this research, a framework is a conceptual model that defines the guidelines, components and activities required for an EDRMS. This framework has been provided as a framework that has to be used to manage print-based records within the Judicial Service Commission of Uganda. They may refer to records management practices, policies and procedures that enable effective improvement of records access, security and legal requirement compliance. The framework seeks to enhance administrative efficiency of the EDRMS and record-keeping processes in the achievement the JSC's goals of setting high standards of transparency and accountability coupled with enhancement of service delivery.

CHAPTER TWO

LITERATURE REVIEW

Literature review Introduction

In line with the above research questions, this chapter discusses a review of literature and critically analyse scholarly works on the implementation of Electronic Document

and Records Management Systems (EDRMS) in different institutions. To specifically address this objective of the study, this chapter discusses theoretical frameworks, current practices, and issues arising from the general body of knowledge on the EDRMS. This paper synthesises current research and findings from various organisations to establish a more effective EDRMS framework relevant to the needs of the JSC of Uganda while recommending key guidelines for its improvement. Some of the issues to be addressed include expected future developments of record-keeping technologies, measures to improve safety and usability, and likely effects of rules and/or guidelines on EDRMS frameworks.

Definition and Scope of Literature review.

An EDRMS in the literature review is described as a planned and controlled system for the management, security, and retrieval of records critical to improving productivity and legal compliance in judicial organizations. The relevance of records management frameworks is identified, which focuses on the problems of transition from paper to electronic records with consideration of data security issues and requirements for infrastructure. Further the review provides a highlight of the best practices in the implementation of EDRMS such as security measures, and training of users to defer a framework to the Judicial Service Commission of Uganda as seen below.

Analyse Print-Based Records Management Practices

According to Henry and Njenga (2021), it can be noted that print-based information resources were the most common up to the 1970s when electronic information resources started to emerge. However, due to features like up-to-date information, well-articulated search capability and facility to access the information electronically,

printed information is still vital to most of the stakeholders in organisations. About this shift, Mukred (2021) expands and defines Electronic Document and Records Management Systems EDRMS as the records management system that enables records to be up to date with current technological systems in the maintenance of updated records.

Lefose and Makgahlela (2021) convey the significance of record management in government by saying that it has a significant role in the responsibility of public officials and the sound running of the government. According to Venter (2004) there is a downward trend in record-keeping practices within government departments and this lacks support in operation and accountability. This sentiment is further echoed by the World Bank on their particular emphasis on record management as a key corner stone of transparency. As found in the literature, organisations can only optimally harness EDRMS when users do and continue to adopt the systems. Acceptance and Perceived Resistance among the employees is essential for the implementation, according to several studies. Absence of supportive frameworks results to records mismanagement during electronic transitions while eradicating governance processes that concern digital capabilities.

However, such EDRMS benefits as increased data availability and better decision-making encountered obstacles, such as insufficient infrastructure, funding, and change resistance to slow proactive implementation progress in developing nations, notably Uganda (Mukred 2021). Thus, the following barriers need to be eradicated in order to successfully introduce the use of ERM systems within the Judicial Service Commission. Basic record management procedures (storage and retrieval) in Judicial Service Commission (JSC). This is an undisputed fact because the credibility of an institution

depends on the credibility of the records. While protecting records, history is well documented, and decisions made on the accounts are well explained and documented in records that cannot be easily altered or deleted (Touray, 2021). The author goes further to explain that record security forms part of the records management life cycle and involves measures that seek to protect the record's content, its access and use. Being a cycle process, records security makes certain that records are safeguarded in the course of its life cycle from malicious intentions of being changed or deleted (Chikomba 2021; Ngoepe, 2022). To drive these imperatives various records security practices applicable within judicial setting have been developed by several authors these are; Physical access controls of records stores; Archives; Encryption of digital records; Access controls; and audit trails (Franks, 2013; Keshta & Odeh, 2021; T. L. Mosweu & Kenosi, 2018; Ngoepe, 2022). Further, physical security including employment of watchmen alarms and alert systems, and backup and disaster recovery policies and business continuity to recopy records in an emergency such as a fire outbreak (Omotunde & Ahmed, 2023). According to Keshta and Odeh (2021), they posit that they all respond to different security needs depending on the kind of record and its clearance that may impact on other practices like use and access.

Records accessibility, on the other hand, deals with authorised timings of records' availability to other parties. Prior to that, (Inazu & Smith, 2021) The concept of virtual access to the online world by people with disability explains that records accessibility is not merely an authorisation although it provides equal accessibility rights, physical, disability and demographic blindness. In medical fields, (Kruse 2017) and (Innab, 2018) advocate for making it possible for the relevant stakeholders to access the records easily without putting great difficulty in securing the records since patient information

especially inpatient case notes ownership has to do with privacy and confidentiality. Aspirant and Aramide (2020) affirm that the use of this practice facilitates the running of legal processes, bureaucratic operations and the decision-making process within judicial institutions. After that, there are many activities and approaches that can be used to improve accessibility, starting with designing efficient and effective information searching systems, and ending with the proper graphical user interface (Hawash 2020). In addition, such as the use of getting permission, search mechanism and categories used in other environment to enhance record accessibility have been employed (Putri & Azwar, 2022; Saffady, 2021b, 2021a; Zain 2017). Thus, there is nothing more critical in judicial circumstances to consider record protection and availability. Records security contributes to the protection of important legal data, as to provide fair legal service, it demands their reliability and anonymity (Ahmed 2021). At the same time, the degree of records openness remains essential to ensure legal and organizational processes to run as effectively as possible and minimize the time required to consider various issues. However, it becomes difficult to meet both these tasks (Innab, 2018; Matongo & Jacobs, 2022). Therefore, there is the need to balance such factors as security classification of records and other essential practice in order to achieve access to records in judicial settings.

Procedures for the Security Classification of Record Processes for Greatest Convenience Regarding Records Access and Handling.

According records management must consult with information security about prevention, and disaster recovery plans. Moreover, information security classification can be a key player in the records security classification of physical and electronic

records. In the context of healthcare, electronic health records may contain sensitive patient information that needs to be protected from unauthorised access or disclosure (Kruse 2017). More equally important records security classification is utilised based on the level of sensitivity and the potential impact of its unauthorised disclosure, modification, or distraction (Mokhtar & Yusof, 2016). Several records security classifications are highlighted in prior literature emphasising the importance of classifying paper-based records. Moreover, contemporary studies by (Kruse 2017; O. Mosweu & Mosweu, 2018; Wu 2022) have enumerated various common security classifications used not only in health settings but also in other environments such as judicial systems:

- Public: Information that is not sensitive and can be disclosed to the public without

any restrictions.

- Internal Use Only: Information that is not sensitive but should not be disclosed to the public. It can be shared within the organisation but should not be disclosed to external parties.
- Confidential: Information that is sensitive and should be protected from unauthorised access or disclosure. It may include personal health information (PHI) such as medical history, diagnoses, treatments, and medications.
- Highly Confidential (secrets and Top Secrets): Information that is extremely

sensitive, requires highest level of protection, access and higher security clearances. The management of highly confidential information involves rigorous protocols for

handling, storing, and disseminating such data (Zadrozny, 2018; National Security Agency, 2020). It may include PHI related to mental health, substance abuse, or health status.

(Putri & Azwar, 2022) aver those organisations can apply suitable security controls and access limitations to guarantee that only authorised persons can access and alter the information by classifying the information according to its sensitivity. (Kruse 2017) further maintain the importance of standardised processes and well-defined regulations in maximising security classifications for effective records management. According (Maseh & Mutula, 2016; T. L. Mosweu & Kenosi, 2018) study findings in Botswana and Kenya court systems advised judicial institutions to adopt flexible security frameworks to keep ahead of possible threats. Interestingly, their findings indicate that efficient records classification and record accessibility are mutually beneficial to optimum records management in judicial environments.

Framework for the development and implementation of an EDRMS

Public organisations are increasingly adopting Electronic Document and Records Management Systems (EDRMS) to move away from traditional methods of operation. They hope that implementing EDRMS will resolve complex business problems, provide a competitive edge, and transform their operations. Consequently, governments are investing significant resources in these IT solutions (Teona & Gelashvili, 2020).

Gani (2024) describes electronic document management system (EDMS) as a computerised systems designed to manage electronic documents throughout their entire life-cycle, from creation to eventual destruction. In the era of electronic government, almost every government worldwide needs an EDMS to handle the increasing volume of documents. An effective EDMS should not only manage

documents but also facilitate access for government civil service personnel and clients or citizens in an e-government environment. The Electronic Document and Record Management System (EDRMS) is designed for the electronic management and maintenance of records and documents (NHSX, 2021). EDRMS combines the functionalities of the Electronic Document Management System (EDMS) and the Electronic Record Management System (ERMS), both of which were popular in the 1990s. This system is extensively utilised by various organisations, particularly large companies with substantial document and archive volumes.

Today, EDRMS is not limited to digital archives; it can also manage physical archives. Many EDRMS development companies are continuously optimising the system to assist both individuals and organisations in archive maintenance. One key feature of EDRMS is its capability to facilitate data migration, thereby minimising the risk of data loss.

EDRMS enables the efficient management of records and documents for governments, companies, and individuals, ensuring optimal performance. Additionally, the system offers ease of access to archives and documents, making it a highly advantageous tool for modern record-keeping and document management (Jannah 2022.).

The effectiveness of an Electronic Document Management System (EDMS) hinges on several key functionalities that enhance its overall performance. Automated Information Capture ensures accurate data entry from various sources, reducing errors and manual input. Federated Search and Retrieval capabilities enable quick access to documents, even across multiple repositories. Collaboration Tools support real-time teamwork, while Hierarchical File Indexing and Classification organise documents logically for easy retrieval. Efficient Storage and Archival Methods secure documents and ensure their availability over time. Automated Workflow streamlines processes by

routing documents for review and approval, enhancing efficiency. Robust Security and Audit Trail features protect sensitive information and maintain accountability, while compliance support ensures adherence to legal and regulatory standards. Collectively, these functionalities improve document management, security, and regulatory compliance (Gani, 2024).

According to Teona & Gelashvili (2020) noted that the use of EDRMS is significantly changing how public sector employees handle physical documents and records. This shift brings about a major transformation in organisational systems and processes, which is closely tied to the human element. Consequently, a cultural change is essential.

National governments are keen to innovate traditional service delivery, but transitioning from legacy systems to digital is challenging. A key aspect of e-Governance is paperless management, enabling seamless data exchange and digital workflows. The COVID-19 pandemic has made remote access to documents essential, particularly for internal workflows. Ensuring the security, traceability, and immutable archiving of records throughout their life-cycle is crucial for future (Gelashvili & Pappel, 2021). However, e- government initiatives vary in success with EDRMS implementation. Few systems in developing countries succeed, while most fail partially or completely due to lack of proper strategy or framework to support implementation of a new system such as Integrated Document and Records Management (Ndebele, 2021). According to Ndebele (2021) recommends use of compass framework in implementation of a new strategy, a tool for guiding organisational strategy implementation. Developed by Bridges Business Consultancy, this framework helps identify appropriate actions for successful strategy execution. Managers play crucial roles, including creating

implementation plans, securing funding, and fostering a supportive culture. Ensuring employees have the necessary skills and motivation, and ongoing communication about objectives, successes, and challenges are vital. Aligning the implementation with the culture of the organisation and recognising employee performance also contribute to success. Continuous review and adaptation of the implementation process are essential to achieving desired results and overcoming resistance to change.

The Need for a Supportive Framework for EDRMS Implementation

Previous studies acknowledged two aspects that are required to support and guide EDRMS implementation as planned. In the absence of such frameworks, organisations run the risk of losing valuable information as there are no defined processes for data handling, data storage, and data retrieval. According to Mukred, (2021), effective implementation of EDRMS does not solely rely on the technology but is also significantly influenced by the organisational infrastructure and change management mechanisms that support its successful deployment. With the right tech, funding, training and management, EDRMS frameworks are excellent in ensuring that organizations undertake digital transformation and adopt digitization sustainably.

According to the research, a clear framework that takes into account these multifaceted elements must be constructed if the JSC is to profit from EDRMS. A systematic strategy will improve the commission's ability to handle judicial documents with efficiency, accountability, and transparency while also facilitating a more seamless transfer from print to electronic records.

The Shift to Electronic Document & Records Management Systems (EDRMS)

Information management techniques were drastically changed with the advent of electronic resources, which provided improved features like flexible storage options,

real-time updates, and sophisticated search capabilities. EDRMS solutions are made to enable real-time information retrieval and make data quality certification easier, claims Mukred (2021). These capabilities position EDRMS as a crucial tool in modern records management, helping organisations streamline decision-making, ensure data integrity, and promote accessibility across various sectors, including government and education.

EDRMS adoption, however, necessitates considerable customization, particularly in underdeveloped nations where organizational support, resources, and infrastructure may be scarce. Venter (2004) and Lefose & Makgahlela (2021) emphasize that although government organizations must maintain records for accountability and transparency, many institutions face significant obstacles when it comes to properly implementing and integrating EDRMS. Operational inefficiencies, data loss, and decreased organizational efficiency have resulted from a lack of resources and inadequate frameworks for the digital shift.

Challenges Encountered in the Implementation of Records Security and Accessibility Practices

A review of the literature underscores a number of difficulties involved in process and outcome in the practice of records security and accessibility in judicial settings. Schwarcz (2023) underscores the importance of adequately guarding information claims against cyber threats for information accuracy and privacy. This concern is reflected in NITA-U reports that annually record threats to cybercrime especially in areas that deal with large volumes of sensitive information such as legal and judicial fields. These difficulties in obtaining judicial records have stems from low level security training,

lack of adequate technological resources, and poor compliance with cyberspace security measures suggesting the importance of sound measures against unauthorised access and alteration.

Furthermore, Gordon and Garrie (2020) discuss the complexities of aligning security protocols with evolving regulatory frameworks, highlighting the importance of ensuring legal compliance in records management practices alongside a strong emphasis on cyber- security.

There are a lot of constraints facing the implementation of records management systems that are effective in Uganda and most of these are administrative in nature. For example, contemporary attempts made by Uganda Judiciary to implement electronic case management systems have been slowed down by inadequate resources and organisational resistance. In June 2018, the ECCMIS project of the Judiciary indicate that the biggest challenges include; Financial Constraints where many of the staff training, financial, and technical resources are severely constrained and are a major hindrance to the cash strapped Judiciary in its efforts to go digital as technical Constraints where development of digital paperless systems and technical support are underfunded and slow the change from paper- based systems.

Hughes and Wearing (2021) expand this dialogue by exploring cultural issues in the judicial workplace that tend to prevent compliance with contemporary records management norms. In Uganda, this cultural resistance to digitisation manifests itself since many of the staff members are used to paper-based record keeping systems. Hughes and Wearing point out that becoming a change alliance calls for the overcoming of these challenges through creating cultural changes, strategic change management.

As a result, the Judiciary of Uganda has aimed at change management and staff training in this area, to gradually introduce and support the adoption of new best practices with regards to records security and availability in the modern context among judicial personnel.

To overcome these challenges, Gordon and Garrie (2020) and Omotunde and Ahmed (2023) propose the combination of a range of measures such as using stronger encryption methods, and performing periodic cyber security assessments to improve records' protection level. Their research also stresses on the need to keep abreast with new technology developments in order to re-assert security in electrical systems. Moreover, In Franks' (2013) paper, the author shares information about the importance of the use of usability principles to improve the accessibility of electronic record and content management systems. A key finding for organisations within this research is that organisations should ensure that their interfaces are easily to use and also to launch training programs in such interfaces or settings without necessarily having to lower the level of the organisation's security. Saffady also notes that proficient categorisation and indexing play an important role in the process of actual paper's documents usage making it easy for the user to find a particular document when required.

Research Gap

Despite the relative abundance of records management, security, storage, and accessibility literature, an analyzed gap in the literature is research focused on the problems and measures applicable to the considerations of judicial corporations in their specific legal and administrative context. This gap is particularly noticeable within the unique legal and administrative landscape of judicial systems. Existing studies offer

valuable insights, including the shift from traditional records management to an electronic or information-centric paradigm, the application of the CIA (Confidentiality, Integrity, and Authenticity) model (1990) for information security, and the comprehensive practices of the records management life cycle.

However, contemporary literature in this realm of records management is predominantly saturated with information security-centred explorations, thus falling short of adequately addressing various blocks of records management within the judicial systems. Moreover, there is a notable deficiency in literature addressing the pressing issues at the intersection of records management and judicial environments, particularly in the realms of security and accessibility, where the needs are most acute, especially for vulnerable litigants, as highlighted by (Hammond, 2019). Thus, this study aims to bridge this gap through a thorough exploration and investigation of records management at JSC to strike a balance between records security and accessibility.

To achieve this objective, the study will pose various research questions, including existing records security and accessibility practices, the security classification process of records managed within the Commission, what impact it has on overall records accessibility and management.

CHAPTER THREE

RESEARCH METHODOLOGY

3.1 Introduction

This chapter presents the research approach, research design, study population, sampling techniques, data collection tools, and analysis used in this study. It is essential that the methodology is comprehensive, practical, and tailored to develop a customized EDRMS framework for the Judicial Service Commission.

3.2 Research approach

This research used a qualitative research method given its descriptive nature, which entails an effort to gain a rich insight into the phenomenon under study. It allowed for an extensive discussion on issues pertaining to records management, specific practices, their effects, issues that records management face and possible solutions. According to Creswell and Creswell (2018), “qualitative research is an approach for exploring and understanding the meaning individuals or groups ascribe to a social or human problem”. The use of this qualitative framework meant that the study aimed at providing a long-

sighted view that must incorporate an adequate contextualization of the interview findings and document review analysis within a greater perspective.

3.3 Research design.

This paper used a descriptive research design to assess the present practices of both print- based and electronic records management in the Judicial Service Commission (JSC). This approach was valid as it presented the trade in a sequential and thorough manner, building the methodology for studying current records management practices and their adequacy or insufficiency for present day needs. The research was descriptive and qualitative, the data gathering methods used in the study included face to face interviews and document reviews to facilitate the data triangulation since it was crucial in the validity and reliability of the entire study. Further, the research proposal dealt with the time frame that is required in the completion of the study and the issues of ethical concerns supposed in the conduct of the research. Umesh Kumar and Kothari (2022) define research design as the description of the architecture and plan of the research and points out that it must, amongst others, contain logistical arrangements, measurement procedures, sampling, frames of analysis, and time lines. Their insights served as a cornerstone for the research design in this study, ensuring a comprehensive framework for the overall research process.

3.4 Area of study

The study was carried out at the JSC, primarily focused on the Registry Section. The research also sought information from the Department of Human Resource Management because it is the supervisory authority for records management at the JSC, and thus also supervises records management in the central registry. JSC is located at Plot 31A

- #7A, Nile Avenue, Kampala District, Uganda (JSC, 2022).

3.5 Study population

The target population for this study comprised all records management personnel within the Judicial Service Commission (JSC), specifically including the Principal Records Officer, Records Officer, Assistant Records Officer, Records Assistant, Personal Secretaries, and Administrators in Human Resource Administration and Management. These individuals are actively involved in decision-making processes as well as the creation, maintenance, and utilisation of both print-based and electronic records. Additionally, the population encompassed Legal Officers, Administrative staff, and IT personnel who play a role in records management within the JSC.

- **Accessible Population:** From the target population, $N = 24$, those who were present within the administrative offices of JSC and were available for data collection during the study period constituted the accessible population.
- **Source of $N = 24$:** Based on preliminary data from JSC human resources, the number of relevant staff members directly involved in records management processes totaled to 24 individuals. This specific figure was derived from organisational records of JSC, which confirmed it as an accurate reflection of the target population size.

3.6 Sampling and Sampling Technique

Sampling is defined as the process of selecting a subset or representative group of individuals, items, or elements from a larger population for the purposes of research or analysis (George, 2021; Taherdoost, 2018).

Sample frame :

To note is that the sample frame thus included all 12 individuals, with specific participants chosen through purposive sampling to ensure that key roles within records management are adequately represented.

Sample size

The determination of the sample size for this study was guided by the principle of achieving data saturation during the qualitative phase, ensuring that in-depth insights were obtained. The sampling method involved a purposive sampling procedure and census, purposefully driven by the principle of information saturation. Given the population size of N=24 participants, it was appropriate to consider 12 participants as the sample size for this study. Table 1 below gives an illustration and a segmentation of the sample size.

Table 1: Breakdown of the population of the study

Population	Frequency (N)	Sample size	Sampling Technique
Principal Records Officer	1	1	Census
Records Personnel	2	1	Purposive Sampling
Clerks, Secretaries & Office Attendants	6	4	Purposive Sampling
Departmental Stakeholders	12	6	Purposive Sampling
Total	24	12	

Source: (Primary data, 2024)

Sampling techniques.

This research used census and purposive sampling approach in order to obtain useful aspects from the research population.

Purposive sampling technique.

In this study, purposive sampling was employed to deliberately select participants who possess the knowledge, experience, and roles directly aligned with the objectives of the research on the implementation of an Electronic Records and Document Management Information System (ERDMIS) framework within the Judicial Service Commission (JSC).

According to Umesh Kumar and Kothari (2022), purposive sampling involves the intentional selection of individuals based on their relevance to the research topic. This was particularly useful in identifying respondents whose roles and insights were critical to understanding current records management practices and challenges at JSC.

The following population segments were targeted:

- Records Personnel (2, sample size 1): One was purposively selected based on their direct engagement in records creation, storage, and access processes.
- Clerks, Secretaries & Office Attendants (6, sample size 4): A purposive selection of four participants was made from this group, as they are involved in the routine handling, filing, and retrieval of official records.
- Departmental Stakeholders (12, sample size 6): Six were selected based on their

administrative decision-making roles and familiarity with JSC's record flows and governance structures.

To enhance the sampling process, homogeneous purposive sampling was also blended in, as per Vinayak & Mousami (2019). This involved choosing participants with similar demographic and occupational profiles such as shared experience in administrative roles, academic qualifications, and professional exposure to judicial records systems. Participants were further selected based on their writing skills, knowledge of the topic, and practical working experience, ensuring that the data collected was both reliable and relevant.

This technique offered several advantages:

- It ensured that only informed, directly involved individuals were selected.
- It enabled convenient access to participants within their work environments.
- It provided targeted insights that are directly applicable to the proposed ERDMIS framework design and implementation.

Census Sampling

In this study, census sampling was applied to select the Principal Records Officer of the Judicial Service Commission (JSC). Census sampling is a technique where the entire population of interest is included in the study, rather than selecting a sample. This method is especially appropriate when the population size is very small or limited to a single individual, as was the case here.

The JSC has only one Principal Records Officer, who serves as the lead authority in records management, overseeing the creation, classification, access, security, and disposal of all official documents within the institution. Given the critical role this

officer plays in both the current manual records system and any proposed transition to an Electronic Records and Document Management Information System (ERDMIS), it was imperative to include this individual as a full participant in the study.

Applying census sampling in this context ensured that the entire expertise and institutional perspective of the Principal Records Officer was captured, providing essential insights into:

- The existing records management workflows
- Strategic challenges faced in the manual system
- Operational requirements for EDRMS implementation
- Institutional readiness and compliance considerations

This approach minimised the risk of information gaps that might arise from excluding such a pivotal role and reinforced the validity and comprehensiveness of the research findings.

3.7 Data collection methods.

To derive meaningful inferences on primary and secondary data from the field and participants, various data collection methods were employed as discussed below.

Observation Method

Observation is one of the essential methods used for this study on designing a framework for the implementation of an Electronic Document and Records Management System (EDRMS) in the Judicial Service Commission (JSC) of Uganda. Through a direct and systematic observation of records management in JSC, the researcher can identify current processes, work flow and issues the organization experiences in the management of both printed and electronic records. It allowed the discovery of real-

life implementation challenges concerning adherence to the existing recordkeeping policies and the sufficiency of the current solutions to ensure the integrity and security of information (Creswell, 2014; Yin, 2018).

- Conversations regarding day-to-day administration work like handling in-coming mails, record classification storage and retrieval of mails or files, dispatch, and disposal activities proved essential in identifying the physical and digital security measures that could help in implementing EDRMS effectively (Flick, 2018). The use of field notes in capturing first hand impressions of the observed settings in tandem with the interview responses supplemented the findings by were able to link the responses of employees to their actual working environment (Merriam, 2009). The use of these three forms of data was vital in the analysis of records management practices specifically identifying ways in which the records management practices in the JSC can be strengthened and how they can be made to better correlate with the proposed framework for EDRMS leading to improved efficiency and compliance.

Semi-structured interview guide.

The researcher utilised semi-structured interviews to ask questions from respondents or interviewees in the field. It's imperative to note that semi-structured interviews are one of the core tools for participatory learning actions encompassing participatory approaches to development (Creswell & Creswell, 2018). Thus, the method involved the formulation of a guide list of questions based on research questions, see *Appendix One*. The interviews followed a carefully designed guide of open-ended questions, allowing for candid and detailed responses. By engaging participants in one-on-one

discussions, and probing for deeper insights.

The Document Review Method

Document review method was utilised as a complementary approach to semi-structured interviews in this qualitative research study. A document review criterion guide was designed to facilitate note-taking on various documents reviewed (see Appendix Two). This method involved a systematic examination of relevant documents within the Commission units, including the Basic Registry Procedure manual from MoPS, Records Management manual from Ministry of Public Service (MoPS), Retention Schedules from MoPS, The objective of this method was to discern the formal structures and regulations governing records management practices within the Human Resources department, thereby providing a comprehensive understanding of the existing framework (Bowen, 2009; Ridley, 2012).

3.8 Data quality control

Data quality is paramount in research, as it determines whether data can effectively serve its intended purpose within a specific context (Creswell & Creswell, 2018). To ensure data quality control in this study, a multifaceted approach was adopted, encompassing three key elements: triangulation, validity of instruments, and reliability of the instruments.

Data Triangulation

According to (George, 2021), “It is very difficult to conduct statistical analysis on the data gathered through participatory learning actions (semi-structured interviews and participatory observation) because of its largely qualitative nature and relatively small sample size (p.76). However, (Alison & Susan, 2022) contend that utilising triangulation

can aid in increasing the “credibility, dependability and transfer-ability” of qualitative research (p. 322). Subsequently, to gain these imperatives, the researcher employed a triangulation model using semi-structured interviews, and document reviews to aid in increasing the validity and reliability of research data. Additionally, the researcher gathered opinions from various respondents, this was aimed at collaborating findings and enhancing the robustness of study conclusion.

Validity of instruments

The internal validity of the data collection instrument was a major concern, the semi-structured interview guide and the documents review criteria guide were therefore developed to capture the intended constructs of the study. After developing the instruments of data collection, the supervisor checked and ensured they are the right instruments that would provide the right information as was intended. However, qualitative data was obtained through interviews, observations and documents according to Creswell and Creswell (2018). Furthermore, internal validity was strengthened with peer or external examiner reviews. This process of validating the instruments was essential in guaranteeing that the data collected truly reflects records management practices within the Registry section of JSC.

Reliability of the Instruments

(Shyama-Prasad, 2020) opines that “reliability of instruments examines the consistency or stability with which the instrument measures what it does measure” (p. 222). To achieve consistency and replicability, the reliability of the instruments was ensured in the use of research instruments. As coincided by several research authors, the researcher used mini training sessions for interviews to maintain uniformity in data collection procedures, while the researcher adhered to predefined criteria and

guidelines for the document analysis process which also encompassed avoiding biased sources of literature i.e., “current literature, including those published recently, was likely to be more reliable and convincing than older sources” (Carole & Richard, 2022; Shyama-Prasad, 2020; Surbhi, 2019; Vinayak & Mousami, 2019). Thus, upholding the reliability of data collection instruments, aimed to minimise measurement errors and strengthen the trustworthiness of research findings.

3.9 Data analysis

The research used qualitative method for data analysis.

Qualitative Analysis

Thematic analysis was used to analyse qualitative data collected from interviews and observations, identifying recurring themes, patterns, and insights related to records management practices and challenges.

Data transcription

All interview recordings were transcribed verbatim, ensuring that the original responses of participants were faithfully represented in text form. Transcription accuracy will be a fundamental step in preserving the integrity of the data.

Document analysis

For document reviews, content analysis technique was applied in order to identify information from the records, policies and guidelines. This qualitative technique enabled researchers to place the findings in context and compare them with interview information.

Reporting and Presentation

Reporting and presentation of findings is mainly in the form of presentation of actual remarks given by the respondents. This approach maintains independent and genuine accounts of participants and the experiences, thus keeping the insight genuine. The reporting process involved the identification of suits, quotes and references of interviews or documents as evidence to support the patterns that are being found in the research.

3.10 Ethical consideration

Informed consent form was signed by participants before being engaged in research. This form acknowledges that the rights of participants were protected during data collection. (Creswell & Creswell, 2018) Ethical considerations were paramount throughout the course of this research, underpinning every stage of the study. The following key ethical principles and practices were adhered to:

Acquiring permission

The researcher first sought for permission from Uganda Christian University (UCU), Mukono to carry out the study before performing it in the field. Also, the researcher had obtained consent from the Judicial Service Commission (JSC) to conduct the study in their organization.

Informed Consent

At the beginning of interviews, participants' informed consent was taken. The participants were pre-informed on the purpose, process and use of data in the conducted research goals and procedures. Further, they were informed on the conditions of the study including anonymity and confidentiality of the data collected,

and the participant's right to withdrawal at any one point from the study, for other personal reasons other than discontent, without further questioning or pressure

Privacy and Confidentiality

The confidentiality of participants and sensitive data was diligently safeguarded. Personal identifiers were either omitted or pseudonyms were used in reporting to ensure anonymity. All data, including recorded interviews and documents, were securely stored and accessible only to authorised research personnel.

Respect for Participants

Autonomy of participants and dignity were upheld throughout the research. Their perspectives, experiences, and contributions were valued and respected. This included allowing participants to review and validate findings through member checking.

Ethical Review and Approval.

The research design and procedures underwent ethical review and received approval from the appropriate ethics review board or institutional review committee, ensuring that the study adhered to ethical guidelines and standards.

Minimising Harm

Efforts were made to minimise any potential harm or discomfort to participants. Sensitivity to the nature of questions and topics were exercised during interviews, and participants were provided with resources for support.

Protecting intellectual property

For any work not originating from the researcher, proper acknowledgment was ensured through citations and references. The researcher adhered to APA guidelines of UCU to

recognise all sources of information attributed to other parties.

Transparency

The research process was transparently documented, including the disclosure of potential conflicts of interest and any other limitations of the study. Transparent reporting of findings aimed to enhance the credibility and trustworthiness of the research.

3.11 Limitations to the study

The following limitations were faced during the study:

Few study participants in the JSC registry.

The JSC registry, which was the focus of the study, is manned by 6 staff (The Principal Records Officer, The Senior Records Officer, Records Officer and 4 Records Assistants) and accessing them was a bit hard because they are understaffed with too much work to do.

Low response rate

Another limitation that was initially faced was a low response rate from study participants who received questionnaires. The study participants complained of being given little time to fill in the questionnaires, which limited their participation.

Delimitation to the study

To solve the limitations above, the researcher decided to select all staff from the Central Registry and the Human Resource Department which is the overall supervising authority of records management at the JSC thus increasing the response turnover. All these staff are involved in some stages of records management within the JSC registry and were considered knowledgeable about the existing records management practices.

Some of these staff generate records, participate in drafting records policies and other records management practices.

The researcher also allocated more time to the study participants who received the questionnaires by extending the duration of submitting them from a week to a month.

This enabled the researcher to increase the response rate.

CHAPTER FOUR

PRESENTATION, ANALYSIS AND INTERPRETATION OF RESULTS

4.1 Introduction

The first section covers the presentation of findings with regards to the respondents in terms of demographic profile, which forms the background to the analysis. The second section presents a comprehensive discussion of the research outcomes and focuses on describing how the introduced framework of EDRMS aligns with the current challenges in handling printed records, increasing their availability, and ensuring security in the framework of the JSC.

4.1.2 Response rate

Fredrick and Wiseman (2003) assert that presenting the response rate is crucial for ensuring the validity of a study and eliminating any potential doubts about its findings. The response rate reflects the proportion of participants who actively engaged in the study, whether through interviews, and serves as an important indicator of the study's quality and reliability.

Table 2: Participant response rate for this study, demonstrating the level of participation from the respondents

Data Collection Method	Sample size	Number of Participants Responded	Response Rate (%)
Interview	12	8	67%
Total	12	8	67%%

Source: Primary data

The response rate from interviews discussions was 67%. This was attributed to effective data collection methods like key informant interviews. However, four participants opted out at the start of the interview due to pressure of work.

4.1.3 Background information on the respondents

Table 3: Respondent Demographics Characteristics

Characteristic	Percentage (%)	Number of Respondents
Gender		
Women	62.5%	5
Men	37.5%	3
Education Level		
Degree	32.5%	3
Diploma	55%	4
Lower than Diploma	<12.5%	1
Years of Experience		
More than 5 years	65%	5
Five years and less	35%	3

Source: Primary Data 2024

This table 4.2 summarizes the demographic details of the interviewees, providing an overview of their gender distribution, educational qualifications, and work experience. The study involved a balanced gender distribution (62.5% women, 58.3% men), ensuring diverse perspectives on the current state of records management at the Uganda Judicial Commission. Most respondents (55% with diplomas, 45% with degrees) had a strong educational background, making them well-qualified to offer informed insights into transitioning from print-based to electronic records systems.

Additionally, 65% of the respondents had more than five years of experience with the Commission, providing deep knowledge of its operations and existing challenges in records management. This extensive experience made their feedback particularly valuable for shaping an effective electronic management system.

The data collection process, which included interviews and focus group discussions, ensured participant comfort and deeper insights through probing questions. Field notes captured nonverbal cues, adding further depth to the findings. Overall, the respondents’ experience and thoughtful engagement contributed to a comprehensive understanding, guiding the design of a practical electronic management framework.

4.2 The findings from participant’s perception

4.2.1 Current Records Management Practices at JSC

The table 4.3 below presents the views of different respondents regarding records management practices at the Judicial Service Commission (JSC). Each participant provided insights into specific aspects of paper-based records management.

Table 4: Responses on Records Management Practices for Paper Based -Based Records

Themes	Respondent	Key Insights
Documentation Practices	A	Highlights that "at present, we rely on email sharing" as a key method for keeping a reliable record of communications. This approach supports consistency and traceability, which are crucial for an organization managing sensitive information.

	C	We digitize certain older records to enhance accessibility and reduce physical storage needs. However, a substantial volume of documents remains in printed form, stored solely in physical files without electronic backups.
	B	"We use standardized templates which helps maintain consistency and makes information easier to understand."
Access Control and Security	A	Mentions that "restricted access protocols" are in place as a protective measure, limiting access to sensitive records to only authorized personnel. While this helps prevent unauthorized access and upholds confidentiality, there is room to strengthen these controls further.
	D	Highlights the role of a "check-in/check-out system" to trace document movements, helps to preserve the integrity and accountability of sensitive records through comprehensive audit trails.
	E	"Clear labeling and tracking systems help us locate documents quickly when needed."

	F	"We use archival-quality materials to protect records from deterioration over time."
Training and Staff Knowledge	H	"Disaster preparedness measures, like fireproof cabinets, are crucial for protecting sensitive records."
	C	Points out that digitizing old records "improves accessibility and frees up physical storage space," indicating a current reliance on paper storage but a recognition of the need for modernization.
	F	Mentions the use of "archival-quality materials" to preserve records and protect them from degradation, showcasing a focus on the physical condition of long-term records
	G	Notes that "regular training on records management" is critical, as it equips all staff to adhere to established procedures, ensuring consistency and reducing potential errors in record handling.
	A	Also supports training, stating that understanding the use of standardized templates and procedures reduces inconsistency and improves overall record accuracy.

Source: Primary Data

Table 4.3 above presents the analysis that was structured around thematic analysis, drawing upon verbatim interview transcripts and observational notes to identify key patterns and perspectives related to current records management practices, challenges, and modernization needs. Codes were developed from initial reading of transcripts, which were then grouped into larger themes that revealed recurring concerns, strengths, and opportunities. These themes include:

1. Documentation Practices
2. Access Control and Records Security
3. Training and Staff Knowledge

These themes are supported with direct quotations, interpretive analysis, and embedded organizational context to draw out meaningful conclusions for strategic action.

Theme 1: Documentation Practices

Sub-theme 1.1: Use of Email and Standardized Templates

- Respondent A indicated that *“At present, we rely on email sharing”* to record and monitor communication trails. Emails serve as a foundational tool for capturing internal decisions and coordinating between departments.
- Respondent B added, *“We use standardized templates which helps maintain consistency and makes information easier to understand.”*

These tools support procedural clarity and traceability. However, email reliance poses significant filing inconsistencies, and poor linkage to case files, especially when communication is not systematically archived or indexed.

Sub-theme 1.2: Partial Digitization of Records

- Respondent C noted, *“We digitize certain older records to enhance accessibility and reduce physical storage needs. However, a substantial volume of documents remains in printed form.”*

This partial effort at digitization reflects progress but remains incomplete and uncoordinated, with related documents sometimes stored in different formats or locations, making access cumbersome. Files that should be contextually linked are often spread across various media, which hinders efficiency, increases retrieval time, and contributes to the risk of physical degradation or misfiling over time.

Theme 2: Access Control and Records Security

Sub-theme 2.1: Controlled Access to Sensitive Records

- Respondent A confirmed that, *“Restricted access protocols are in place”*, allowing only authorized personnel into high-security document zones.
- Respondent D explained the check-in/check-out procedure used to track sensitive file movement, supporting accountability.

While these manual protocols reflect a commitment to confidentiality and integrity, they are labour-intensive, vulnerable to human error, and difficult to audit on a large scale. Respondents expressed that transitioning to role-based access control within an ERDMIS would offer greater granularity and automation, improving both data security and operational responsiveness.

Sub-theme 2.2: Labeling Systems and Environmental Protections

- Respondent E highlighted, *“Clear labeling and tracking systems help us locate*

documents quickly when needed.”

- Respondent F shared that, *“We use archival-quality materials to protect records from deterioration.”*
- Respondent H pointed to disaster resilience, stating that *“fireproof cabinets are crucial for protecting sensitive records.”*

These responses show that the JSC has invested in physical safeguards, such as fireproofing and environmental protection materials. However, the absence of digital backups and centralized electronic filing remains a vulnerability in the event of system-wide failure or natural disasters. Respondents advocated for digital redundancy and cloud-based solutions to complement existing protections.

Theme 3: Training and Staff Knowledge

Sub-theme 3.1: Regular Training and Consistency Awareness

- Respondent G emphasized, *“Regular training is critical... it ensures adherence to procedures and reduces errors.”*
- Respondent A further stated that training on templates and procedures directly contributes to consistency and accountability in records handling.

The findings suggest that the JSC values capacity-building and knowledge reinforcement. Regular orientation sessions foster a culture of compliance, minimize handling errors, and maintain procedural discipline.

Sub-theme 3.2: Preparing for Digital Transition

However, respondents pointed out that most training remains focused on manual systems, lacking in digital records competency. As the organization considers transitioning to a comprehensive ERDMIS, training content must evolve to include:

- Use of EDRMS software
- Email integration into case files
- Metadata tagging and document classification
- Regulatory requirements for digital records

Respondents strongly supported this shift, recognizing that it will empower staff, ensure smooth adoption, and mitigate resistance to change.

Interpretation of Findings

The data presents a picture of a disciplined yet outdated records management environment. JSC has a well-established culture of confidentiality, training, and procedural compliance, but it is constrained by a paper-centric model that lacks the scalability and security of modern electronic systems.

While digitization has begun, it is fragmented. Related files are dispersed across media, and many communications (emails, memos) remain unlinked to core records, making full case reconstruction difficult. The existing manual access control and storage protections are valuable but would be significantly enhanced by automation and digital traceability.

The use of email and templates demonstrates that staff are committed to consistent documentation, but without integration into an ERDMIS, data silos and retrieval

inefficiencies persist. Training efforts are strong but must shift toward digital literacy and platform usage to support future change.

The Judicial Service Commission is clearly invested in effective records governance but limited by manual systems that no longer meet modern expectations for efficiency, transparency, and resilience. The findings suggest a strong readiness for transformation, supported by stakeholder awareness and partially established practices.

To address the gaps identified, the following are recommended:

- Implement a comprehensive ERDMIS framework integrating digitization, secure storage, and email archiving.
- Develop and execute a digitization roadmap for legacy records.
- Transition to digital access control protocols with real-time tracking.
- Expand staff training to include use of digital tools, privacy legislation, and ERDMIS operations.
- Introduce automated backups and cloud redundancy to enhance disaster recovery.

These measures will not only modernize JSC's operations but will ensure faster access, higher security, and sustainable compliance, positioning the organization for long-term institutional resilience.

4.3 Key challenges in the current implementation of records

and document management system

Table 5: Perception of Staff on Key Challenges in Implementing EDRMS at JSC

Theme	Respondent	Key Insight
Technical Infrastructure	Respondent A	“Most of our infrastructure is paper-based; we do not have scanners in every unit and many computers are outdated.”
	Respondent D	“Internet is unstable in some departments; uploading records or accessing shared files is difficult.”
Staff Capacity and Training	Respondent F	“There’s no integrated database that connects directorates for unified access.”
	Respondent B	“Some staff are not confident using digital systems—they prefer manual files because they are familiar.”
	Respondent E	“We haven’t had dedicated training on how to handle digital records or data security.”

	Respondent H	“New recruits often don’t get orientation on recordkeeping protocols.”
Change Management	Respondent C	“There is resistance—some colleagues think digital systems will make their jobs harder or redundant.”
	Respondent G	“People are comfortable with the old system; there’s fear around the shift to digital.”
Policy and Legal Gaps	Respondent D	“We don’t yet have clear internal policies on what should be digitized, when, and by whom.”
	Respondent F	“There are no guidelines for digital file retention or classification.”
	Respondent B	“Our compliance tools are designed for paper-based workflows, not electronic formats.”

Source: Primary Data 2024

Table 4.4 provided information where thematic analysis was used to systematically extract and organize patterns from participant responses. The following four themes emerged as the principal barriers to successful EDRMS implementation at the Judicial Service Commission:

Theme 1: Technical Infrastructure

Participants highlighted major gaps in the technical foundation required to support an EDRMS. Several directorates lack scanners, many staff rely on outdated computers, and unstable internet connections restrict the ability to upload and access documents centrally. The absence of a unified system architecture makes it impossible to manage records across departments efficiently.

The JSC's print-based system was not designed for digitization, and without baseline ICT investment, digital transformation remains impractical. This reflects a deeper challenge: infrastructure limitations are not only technological but organizational, requiring systemic upgrades and resource planning to enable integration of the EDRMS.

Theme 2: Staff Capacity and Training

Another recurring theme was the lack of staff readiness to transition to a digital system. Several respondents expressed concerns over their own digital literacy, revealing discomfort with using electronic platforms. Some staff were openly resistant, citing unfamiliarity, while others shared that they had never received formal training in data protection, digital filing, or electronic workflows.

The lack of induction for new staff, coupled with inconsistent knowledge of recordkeeping protocols, compounds this challenge. Without a strong, continuous capacity-building program, JSC's digital rollout is at risk of poor adoption and underutilization, even if the technical platform is deployed.

Theme 3: Change Management

Beyond technical and training concerns, respondents underscored cultural resistance to change. Many employees are accustomed to manual workflows and express fear that automation may lead to redundancy, increased workload complexity, or lack of control over documentation.

This fear reflects a broader absence of change management structures. Respondents stressed the need for inclusive engagement, stepwise implementation, and trust-building mechanisms—particularly involving staff in the system design process. Change resistance, if unaddressed, could undermine system rollout and institutional morale.

Theme 4: Policy and Legal Gaps

Finally, respondents pointed to the absence of clear internal policies governing digital records management. There are no unified procedures for when and how digitization should occur, who is responsible for scanning or uploading files, or what standards must be followed for classifying electronic records.

This policy vacuum extends to legal compliance. Existing regulatory instruments are tailored to paper-based workflows and have not yet been adapted for the digital environment. This disconnect limits the JSC's ability to ensure that data handling under a digital system meets both national laws and internal mandates.

Interpretation of the Findings

The study clearly shows that the challenges facing the implementation of an EDRMS at JSC are multi-dimensional—encompassing technological, human, procedural, and policy-related factors. These findings confirm that EDRMS adoption is not solely about acquiring new software; it demands comprehensive institutional transformation.

- The theme of technical infrastructure highlights the foundational gap: without appropriate hardware, connectivity, and integrated databases, even the best-designed system cannot function.
- The theme of staff capacity and training suggests that digital success depends on people, not just platforms. A knowledgeable and confident workforce is central to the operationalization of EDRMS.
- Change management challenges reveal the psychological and organizational barriers to innovation. Without staff buy-in and change leadership, digital reforms risk rejection or passive resistance.
- The presence of policy and legal gaps shows that no system can succeed in a regulatory vacuum. EDRMS frameworks must be anchored in strong internal policy and aligned with legal obligations to ensure accountability and sustainability.

This research affirms that for the Judicial Service Commission to successfully implement an EDRMS, it must adopt a holistic strategy—one that addresses infrastructure, builds capacity, manages change, and reforms policy in parallel. The insights gathered from

staff point not only to what is missing, but also to a clear roadmap for implementation. With this understanding, the Commission can move toward a secure, efficient, and legally compliant digital records management future.

4.4 Developing a Secure and Accessible EDRMS Framework for managing printed-based records at the Judicial Service Commission (JSC).

The table below summarizes the responses from different respondents on the developing of a security classification process within the Judicial Service Commission (JSC), including the criteria used for categorization.

Table 2: Perception of respondents in developing a Secure and Accessible EDRMS Framework for the JSC.

Theme	Respondent	Key Insight
Records Classification and Sensitivity Levels	Respondent A	Records are classified based on sensitivity (top secret to unclassified) to control access appropriately. The JSC’s vast volumes of print-based records require secure classification for controlled access to sensitive information. The issue is over unauthorized access and the need for

		confidentiality in handling sensitive records like judicial appointments and personnel files.
	Respondent B	Classification considers confidentiality, impact of disclosure, and legal obligations for case and personnel files.
	Respondent C	Top-secret and secret records receive the highest security with specific coding based on classification levels.
	Respondent G	Records can be reclassified or declassified over time, especially after cases close or information becomes public. The JSC's need for flexible records management is evident in its challenges with accessibility and timely retrieval. Reclassification addresses this by allowing records to be adjusted based on their current relevance or sensitivity.
Confidentiality and Access Control	Respondent A	Access control is based on the classification level of records.
	Respondent E	Personnel files are classified by confidentiality, with restricted access for sensitive data like performance reviews.

	Respondent B	Highlights issues of confidentiality and legal compliance, particularly for records critical to judicial processes.
	Respondent H	Enforces strict physical handling and storage procedures, allowing access only to those with proper clearance. The problem of vulnerabilities in JSC's physical storage, such as unauthorized access and data loss. Strict handling of physical records supports JSC's needs for enhanced security protocols to prevent tampering or loss of critical information.
Compliance with Regulatory and Legal Standards	Respondent D	Regulatory requirements, especially data protection laws, shape classification decisions for confidential records.
	Respondent B	Legal obligations impact classification, especially for case files and personnel records.
	Respondent D	The JSC faces legal and regulatory challenges in records management, particularly with sensitive judicial information. The regulatory compliance supports the need to adhere to data protection standards, which would mitigate risks outlined, like unauthorized disclosure and legal liability.

Security Monitoring and Auditing	Respondent F	Regular monitoring and auditing ensure compliance with security protocols; access logs are reviewed consistently.
	Respondent H	Physical security protocols are enforced with controlled storage and access based on classification levels.
	Respondent C	The JSC's need for robust records security is critical, given the concerns about data vulnerabilities such as alteration and unauthorized access. The emphasis on coding records for secure classification addresses these security needs by proposing a tiered approach to protecting sensitive data.
	Respondent E	JSC faces challenges with ensuring confidentiality and secure storage for sensitive information. JSC's need to protect employee and judicial records from unauthorized access.
		The JSC's reliance on print-based records complicates tracking access and ensuring data integrity. Focus should be on monitoring and auditing access logs which provides a solution to the problem of unauthorized access and helps prevent tampering organisation sensitive information.

Source: Primary Data 2024

The data provided in the table 4.5 include four core themes were developed including;

Theme 1: Records Classification and Sensitivity Levels

The JSC currently utilizes a tiered classification structure to manage access to judicial documents, ranging from *top secret* to *unclassified* records. This allows staff to control access based on the record's sensitivity and legal implications.

- Respondents A, B, and C indicated that this classification helps secure critical files like judicial appointments and personnel files.
- Respondent G emphasized the importance of dynamic reclassification, enabling the Commission to reclassify records as their sensitivity changes over time.

This manual process reflects a thoughtful approach, but it is also time-consuming and difficult to manage at scale.

Theme 2: Confidentiality and Access Control

Access to physical files is governed by manual clearance systems. While effective in protecting confidentiality, the limitations include:

- Inconsistent enforcement of restrictions
- Lack of real-time oversight
- Potential for human error or abuse
- Respondents A and H reported that restricted access is implemented physically, with strict rules about who may view or handle documents.
- Respondent E highlighted that personnel records in particular demand heightened protection.

These constraints show the need for an EDRMS that supports automated, role-based access—ensuring confidentiality is maintained digitally, with full control and traceability.

Theme 3: Compliance with Regulatory and Legal Standards

The study revealed that legal compliance is a central concern at JSC, particularly in relation to:

- Data protection obligations
- Public access laws
- Judicial confidentiality requirements
- Respondents B and D expressed concern that manual record handling poses legal risks, especially when access logs are incomplete or storage is insecure.

This underscores the need for an EDRMS with built-in compliance controls, such as:

- Automated retention schedules
- Secure access logs
- Policy-based file classification

Theme 4: Security Monitoring and Auditing

Monitoring who accesses physical records is challenging under the current system.

While audit books are maintained, they are prone to:

- Inaccuracies
- Physical loss or damage
- Incomplete usage trails
- Respondents F, H, and C cited frequent concerns over unauthorized access and

tampering.

- Respondent E added that the system struggles with tracking record movement across departments.

Interpretation of Findings

The findings clearly indicate that while JSC has implemented structured processes to safeguard its records, these processes are heavily dependent on **manual systems that are increasingly unsustainable**. The classification of records according to sensitivity levels is commendable and reflects a mature understanding of information governance. However, without a digital system to manage and update these classifications, the Commission struggles to ensure consistent application and timely access.

In terms of confidentiality and access control, the Commission's practices are strong in principle but weak in execution due to the absence of automation. Physical security measures provide some protection, but they cannot ensure granular, real-time control over who accesses what, when, and why. A digital system offering **role-based access and secure authentication** would bridge this gap effectively.

Legal compliance is another area where modernization is necessary. Current practices lack the systematic enforcement mechanisms needed to fully comply with data protection legislation. The implementation of an EDRMS would embed these legal frameworks into daily operations—ensuring that every record is classified, retained, accessed, and archived in a way that meets legal and regulatory obligations.

Finally, in terms of security and auditing, the study found that existing tools are insufficient for protecting data integrity.

CHAPTER FIVE
DISCUSSION OF FINDINGS

5.1 Introduction

This chapter presents a discussion of the research findings in relation to the stated research objectives. It also examines how the findings align with or differ from the literature reviewed in earlier chapters.

5.2 Discussion of the findings

The discussion of the findings regarding designing a framework for electronic management system of print-based records of Judicial Service Commission of Uganda. The discussion is generated from the findings in relation to the theories and literature reviewed in the earlier chapters in this report as presented below:

5.2.1 Current Print-Based Records Management Practices at JSC

The findings from the study reveal key strengths and challenges in the records management system of JSC, with implications that align with the reviewed literature on print and electronic records management. Traditionally, print-based information resources have been the dominant source of information until the 1970s, when electronic resources began to gain traction (Henry & Njenga, 2021). The shift to electronic resources, as highlighted in the literature review, offers significant advantages over print resources, including real-time updates, advanced search capabilities, flexibility in storing results, and enhanced access across time and location (Henry & Njenga, 2021). These advantages align with the findings in this study, where the JSC has made some progress in digitising older records to improve access and reduce storage requirements.

However, as seen in the records management system of the JSC, even with the benefits of electronic resources, much importance is still paid to paper-based records; Letters are arranged by subject and housed in movable cabinets and open steels in the records

office. This finding agrees with Henry and Njenga (2021), who pointed out that print resources are still relevant because they help stakeholders within organisations, especially as the importance of electronic resources rises. This paper-based system still in use at the JSC describes the main problems associated with the use of print materials, such as time-consuming search, storage and physical deterioration of documents.

In addition, the literature points out that a robust ERMS will provide essential support to records management in the contemporary world. Mukred et al., (2021) define ERMS as a set of computer applications designed to understand the record keeping process, provide better storage and retrieval process compared to manual records. The findings in this study support this notion, current physical paper-based file system affects negatively the efficiency and security of JSC. Symptoms of inefficiency in this regard include delayed access to records and data, poor security of records, and generally poor record management. A transition to a more sophisticated EDRMS would rectify this situation and lead to improved efficiency in record and data retrieval, security, and management.

Similarly, the literature highlights the importance of developing systems for record keeping in the government and public sector organisations. In a study conducted by Lefose and Makgahlela (2021) it was established that proper records management is crucial to enhancing transparency, accountability and mitigating corruption. All these principles are in concordance with the World Bank where the support stems from noting that records and documentation comprise the pillar of public accountability and governance. The outcomes identified in this study where respondents stressed on the necessity of the limited availability and the personnel training for preserving secure records conform this understanding of the records management role towards increase

of the openness and decrease of the corruption risks. The currently embraced records management practices at the JSC bears striking similarity of a typical organization in terms of confidentiality, and security; however, further incorporation of modern digital methods could improve on what is currently applied.

5.2.2 Challenges in the implementation of EDRMS at the Judicial Service Commission (JSC) of Uganda

This study established several difficulties in records security in the Judicial Service Commission (JSC) thus confirming from literature many of the difficulties but at the same time pointing towards certain constraints in the organisation. Inconsistent Digitisation, and poor records management at JSC has negatively impacted the efficiency for the keeping of records which Schwarcz (2023) describes as the exposure of judicial record to existing, emerging, and growing cyber security threats. Hammond (2019) and Reuters (2022) also substantiate these risks with cases in disparate courts where outdated systems provided unauthorised access outlets. As demonstrated at JSC, similarly, researchers observed that outdated infrastructure poses a threat to records safety.

Lack of funds may be considered one of the key factors influencing both the physical and electronic records in JSC was as a result of funds may the greatest challenge that agrees with, Shonhe & Grand, 2020 stated that financial restrictions are some of the biggest challenges that affect records management in public sectors. As evidenced at JSC, lack of sufficient capital funding results in both the environmental conditions of storage processes and the technologies required for such processes to take place being negatively affected. This Hampers JSC capacity to modernise records management system as Saman & Haider (2013) argues that funding is critical for

technological improvement in public organisations.

Also, the literature points out considerable procedural obstacles at the administrative level. In the case of JSC, policy gaps lead to the formation of risks since the authors of Gordon & Garrie (2020) have highlighted that such gaps are an everyday norm, especially as compliance is multidimensional. At JSC records management system poor compliance does not only weaken security but also restricts use of the system completely. Omotunde & Ahmed (2023) propose the following comprehensive approach: conducting organizational audits and policy compliance checks, which may help solve the problems in the JSC system.

The study also identifies a lack of training programmes and cultural issues surrounding new technologies consistent with Hughes & Wearing's (2021) study of organizational culture. In JSC, simply no adequate staff training results in effective conscious handling of records, while on the other hand cultural endogenous barriers greatly hinder the adoption of technologies. This supports Shonhe and Grand (2020) observations where they noted that organisational resistance become a major factor of thw electronic records system in similar public sector organisations. To be able to eliminate these barriers the following change management strategies will be vital to ensure technology acceptance.

In contrast to JSC partial digitisation, Franks (2013) advocates for user-centered digital interfaces and comprehensive staff training to enhance accessibility and usability without compromising security. Limited digitisation at JSC, however, restricts such benefits, indicating a gap that could be bridged through increased digitisation efforts, as noted in Saffady (2021), whose research shows that well-designed indexing mechanisms in electronic records enable more efficient retrieval.

5.2.3 Developing a Secure and Accessible EDRMS Framework for the Judicial service commission.

The research also shows that to protect certain information, the Judicial Service Commission (JSC) uses a classification system whereby Records Management Unit divided the information into secret, top secret and the rest unclassified. Specialised coding and adaptable reclassification in this system are suitable to the changing security requirements of judicial records (Gani, 2024). Nevertheless, maintaining records using the current manual record management methodology has its issues. Physical records are not centralised, which makes it almost impossible to implement this classification system across the organization. These records are relatively insecure, especially since they may easily be misplaced, accessed by unauthorized personnel or altered, since constant monitoring and safe storage are vital to ensuring record integrity. However, it is evident that just like any other organisation, the JSC frequently monitors and audits to avoid risks and respondents noted that in the case of a manual system, the implementation is hampered by logistical issues (Saffady, 2021b). In this environment, monitoring access is difficult and that results in security vulnerabilities which digital systems seeks to address.

These problems should be solved after the adoption of EDMRS because it is supposed to centralise records keeping and provide enhanced access privileges in order to limit access to classified records to only those individuals who must be allowed to view them. Real- time analysis and reclassifying processes, as well as the qualitative and efficient working system, save time in retrieving documents and prevent mishaps due to manual records handling (Teona & Gelashvili, 2020). The EDRMS will also incorporate compliance checks, to ensure, among other things, that records are processed in

compliance with data protection laws as a critical condition for public trust in the JSC. This automated compliance feature meets a major compliance issue in the current system in which respondents argued that slight disregard of systematic unsupervised systems, could create an inadvertent breach of the legal provisions with likely consequences of discouraging the public from using the Commission (Organization for Economic Cooperation and Development, 2021).

This study establishes that, based on literature, EDRMS should be put in place in the public institutions most importantly in the Judicial Service Commission since it deals with sensitive information. In the view of Maseh and Mutula (2016), EDRMS concentrates documents, randomization, and ease of legal compliance. This system will help JSC in the management of records by eliminating these problems that is experienced with the current manual system that has slowed down operational efficiency as well as security. In the same way, the framework proposed for the JSC also includes flexible security models which are particularly important for organizations that require to protect the records, but also need to provide fast access to them for authorized users. This model is supported by Touray (2021) and Chikomba (2021) where the author has identified that physical security and encryption of records aids transparency and accountability.

Not only the operational issues are resolved with the help of the EDRMS but it also means the adaptation of the organisational culture to the digital approach. Teona and Gelashvili (2020) argue that the adoption of systems where records may be kept in digital format may pose some challenges in how organisational practices and their workers cannot be overemphasised since changes in this regard will probably demand comprehensive training to be conducted. New records shall be more accessible and easier to track enabling the JSC reduce on new security threats cadres to the manual

records system for instance; unauthorized access and aging of records. This approach to secure, efficient and compliant records management is further supported by Mosweu and Kenosi (2018) who posit that, public service organisations derive flexibility securities able to address changing threats.

In line with the above findings, the literature points out that records classification based on the contingency approach, combined with the state-of-the-art security technology such as EDRMS is the most suitable solution for the public institutions handling sensitive information. In the case of the JSC, the conversion to an EDRMS is a major improvement, capable of closing the security and efficiency gaps that are inherent in manual records management. This has a potential of helping the JSC practice transparency and enhance its data privacies while installing standard and coherent structures for future records management (Maseh & Mutula, 2016).

CHAPTER SIX

CONCLUSIONS AND RECOMMENDATIONS

6.1 Conclusion

The conclusions and recommendations generated from this study are based on the study findings and the discussions that preceded. The conclusions bring forth lessons learnt regarding the designing of a framework for electronic management system of print-based records of Judicial Service Commission of Uganda. This is presented as per the study objectives below.

6.1.1 Current Print-Based Records Management Practices at JSC

In conclusion, the study reveals and reaffirms dynamics of the needs/ opportunities for

record management of the JSC. It is crucial to change from the print-based systems to conceive with new-age requirements, which are reliability, flexibility, and security all at once. Indeed, while the print materials would serve as the first means for source management, an integrated Electronic Records Management System (ERMS) is more viable for greater sources control and access to them as well as their immunity to threats related to traditional storage. Consequently, the adoption of a comprehensive EDRMS as a model that is consistent with best practices in public administration for transparency and accountability will set a pace for JSC to improve on the stakeholder's value delivery and enhance standards in records management.

6.1.2 Challenges in the implementation of EDRMS at the Judicial Service Commission (JSC) of Uganda.

The research studies show that JSC has massive issues in obtaining and preserving records in the present time because of the low digitisation levels, erratic policy implementation, and many other constraints in resources. Lack of funds itself reduces storage infrastructure as well as the ability to invest in adequate cyber-security measures; decrepit systems and an overall lack of staff-training, particularly across large departments, provide the opposing base for security issues and undesirable records handling inefficiencies. Moreover, there is concern at the cultural level since it is hard to go for the easy transition of operations to other relevant digitized solutions, making the records management system less effective and useful.

In support with these findings, the following assertions corroborate the literature that to entrench record security and access to information in the JSC, a comprehensive,

concurrent course of record management systems integration is requisite. It comprises priorities in needs for funding supported with EHS budget, the focus on strengthened compliance enforcement across the organisation, as well as the concept of comprehensively designed training and development. In addressing these critical areas, the JSC can improve the performance of its record management system to help with compliance, retrieve and safeguard records for the evaluative integrity that is relevant in the institution.

6.1.3 Developing a Secure and Accessible EDRMS Framework for the Judicial service commission.

The study finds it necessary for the Judicial Service Commission to adopt EDRMS for purposes of addressing the existing challenges in managing records manually. Even though manual classification system has been established and followed to ensure that some kinds of information do not leak to the wrong people, categorized system lacks proper organization, easy access and high security when compared to automated system. The implementation of the EDRMS framework is justified since these concerns will be addressed directly in this framework; records centralisation, improved and more efficient access controls, and compliance are adjusted to allow the JSC to meet legal and operational requirements.

EDRMS has set up a framework that meets the need of JSC for secure management of judicial records in an efficient manner. Through embracing high security features, classification options and auto control features the EDRMS framework vindicates itself as a strategic improvement. It makes it the best choice to support the openness of judicial work while preserving information that should not become available to the public.

Subsequently, the EDRMS framework is a well-founded solution that aligns with best practices for managing confidential records within the judicial sector. Its adoption will mark a critical advancement in the JSC capabilities, addressing the inefficiencies and security risks inherent in the manual system. This framework will enable the JSC to uphold its mission with greater transparency, accessibility to information, security, and compliance, justifying the need for this digital transformation.

6.2 Recommendation

This section gives proposal in relation to set objectives enshrining several interventions for the policy makers, students and management of organisations to control electronic management system of print-based records of Judicial Service Commission of Uganda.

The recommendations are as follows:

6.2.1 Current Print-Based Records Management Practices at JSC

To enhance those aspects of the program, the JSC should develop a full non-paper EDRMS to accommodate for the shortcomings of the current system. This system should have the RBAC model to manage the access rights, backs up automatically and should store all the files in a centralized electronic system to meet the public administration standards.

A more efficient digitisation of current physical records should be juxtaposed to the current method for easy access and to reduce the use of physical storage. Collections that have heavy usage should receive priority, along with those records that are in more danger of being destroyed by physical decay.

Thus, we suggest that the JSC adopts systematic schemes for controlling access to digital records and using access protocols that are organized by

role and by schedule. This will help to protect some important data from unauthorized individuals and tendencies associated with unauthorized access.

In order to increase the level of record keeping accountability, a practice of storing email communications and linking it into the EDRMS should be established.

Staff of the EDRMS should be trained and instructed in record digitization in order to guarantee that they can keep passes and records to a high standard and that records are always secure and easily accessible.

In this way, the JSC should update its records management policy from time to time and meet existing regulatory requirements as well as take into account new technologies and organisational requirements.

6.2.2 Challenges in the implementation of EDRMS at the Judicial Service Commission (JSC) of Uganda

The Judicial Service Commission should obtain adequate funding to fund the Electronic Document and Records Management System (EDRMS). This should include procurement of latest cyber-security equipment, digitization of storage systems and training of staff to provide sufficient material to boost records security and retrieval.

Oversee and implement the set records management policies to ensure different departments in the institution are making equal policies. This Management System (EDRMS) should cover investments in modern cyber-security tools, digital storage solutions, and staff training, ensuring adequate resources to strengthen records security and accessibility.

Develop and enforce standardised records management policies across all departments

to eliminate inconsistencies. It should explain records storage, retrieval and their security, within a coherent framework to be applied uniformly to prevent misuse of sensitive records.

Consider scheduling EDRMS refresher seminars at least once every two months for all employees to attend (EDRMS). This should cover investments in modern cyber- security tools, digital storage solutions, and staff training, ensuring adequate resources to strengthen records security and accessibility.

Develop and enforce standardised records management policies across all departments to eliminate inconsistencies. This policy should outline clear protocols for records storage, retrieval, and security, ensuring uniform application to safeguard sensitive information.

Conduct regular, mandatory training sessions for all staff on EDRMS functionalities, security protocols, and compliance standards. Special focus should be paid to the use of remote working and counter inadvertent mistakes, as well as to reconfirmation of data safety and teamwork for encouraging employees in dealing with digital environment.

Counter culture resistance by putting in place formal change management initiatives. Electronic Document and Records Management System (EDRMS). This should cover investments in modern cyber-security tools, digital storage solutions, and staff training, ensuring adequate resources to strengthen records security and accessibility.

Develop and enforce standardised records management policies across all departments to eliminate inconsistencies. This policy should outline clear protocols for records storage, retrieval, and security, ensuring uniform application to safeguard sensitive information.

Conduct regular, mandatory training sessions for all staff on EDRMS functionalities, security protocols, and compliance standards. Emphasis should be placed on preventing unintentional errors, reinforcing data security, and supporting a shift to a digital mindset among employees.

Address cultural resistance by implementing structured change management strategies. This entails involving the leadership in promotion of digital change and hosting sessions to ensure adoption of EDRMS and a favourable organisational climate to technology change.

Regularly audit the records management system to ensure adherence to legal, accessibility and security standards. These audits will identify potential security gaps early and provide data to make informed decisions on system improvements and risk mitigation.

6.2.3 Proposing a Secure and Accessible EDRMS Framework for the Judicial service commission.

Based on the findings, several recommendations emerge to guide the Judicial Service Commission (JSC) in successfully introduce Electronic Document and Records Management System (EDRMS) and optimising its records management practices:

Make proper access control mechanism that will actually control access on the sensitive information within the EDRMS. Ideas like the use of encryption, two-factor authentication, and audit trails are paramount towards protecting the records and ensuring that only the permitted personnel can anywhere close to the classified records.

Make sure that all employees that have to deal with records management understand how EDRMS works, the features it has and how they can secure the records. Engage

employees in methods that facilitate their transition from the manual way of working to the digital ways of working especially concerning data integrity and compliance. Reviewing and monitoring have to be conducted continuously to evaluate the conformity to the laws of protecting the data and the internal security policies of the EDRMS and optimizing its records management practices.

Establish strong access controls within the EDRMS to restrict access to sensitive information. Features such as encryption, multi-factor authentication, and audit trails are critical to securing records and ensuring that only authorised personnel can access or modify classified information.

Ensure that all staff involved in records management are thoroughly trained in EDRMS functionalities and security protocols. Implement change management initiatives to help employees transition from manual to digital processes, fostering an understanding of data integrity and compliance requirements.

Regular audits and monitoring are essential for assessing the compliance of the EDRMS with data protection laws and internal security policies. This shall assist the JSC in identifying some of these concerns early enough and conform to the law as well as enhance its security in the future.

The EDRMS should in fact be scalable in order to be expanded when the records increase, more records are added or more functions developed. This flexibility will guarantee that the system will be equally capable to meet the JSC changing needs and remains viable in the future.

There is a clear need for an EDRMS that includes automated logging, audit trail generation, and real-time alert systems, ensuring that security is both proactive and

traceable.

6.2.3.1 Application of the Newly proposed EDRMS at JSC

To ensure a structured and sustainable transition from a manual to a digital records management environment, the Judicial Service Commission (JSC) will adopt a phased approach in applying the newly developed Electronic Document and Records Management System (EDRMS). This approach is segmented into three interdependent phases; Planning and Assessment, Implementation, and Monitoring & Evaluation each designed to support operational transformation, legal compliance, and institutional buy-in.

Phase 1: Planning and Assessment

The first phase is foundational and focuses on understanding the existing environment and designing a strategy tailored to JSC's operational realities.

Step 1: Conduct a Preliminary Study

It will involve an in-depth review of the current manual system to identify operational workflows, gaps in records handling, types of documents generated, and the nature of access control challenges. It also included stakeholder interviews and infrastructure audits.

Step 2: Scan and Analyse Registry Activities

Inhere, existing registries and documentation points within the directorates were analyzed to determine how records are created, used, stored, and transferred. This step helped identify high-priority documents for digitization and revealed inefficiencies in current practices.

Step 3: Identify Records and Document Management Strategy

A tailored records and document management strategy was developed using insights

from the initial assessment. This strategy established a structured approach to managing records across their life-cycle and included:

- Categorizing document types (e.g., personnel files, appointment records, case files)
- Defining classification levels based on sensitivity and usage
- Establishing retention schedules and disposition procedures
- Mapping user roles and responsibilities for access control in the EDRMS
- Ensuring the strategy aligns with legal, institutional, and international standards to guide secure, efficient, and compliant records handling.”

Capacity Building and Governance Alignment

During all phases, significant effort will be dedicated to engaging management and staff to cultivate buy-in and awareness. Workshops, stakeholder briefings, and governance reviews will be conducted to align the EDRMS with institutional policies, Uganda’s data protection laws, and international records management standards (such as ISO 15489).

Phase 2: System Implementation

The second phase transitions from planning to execution and is designed to ensure that the newly developed EDRMS is deployed in a controlled and sustainable manner, with a focus on validation, user adoption, and data integrity.

Step 1: Procurement of hardware and Infrastructure Setup

High-resolution scanners and supportive IT infrastructure (e.g., computer accessories, secured servers, cloud storage, and updated workstations) will be procured and configured to support the digitization of paper-based documents. The infrastructure will also include backup and disaster recovery mechanisms to secure digital records.

Step 2: Parallel Operation with the Existing Manual System (Validation Period)

To ensure continuity and allow for careful system validation, the EDRMS will operate in parallel with the existing manual system for a period of three months. During this time:

- Records will be entered and managed in both systems.
- Staff will validate digital entries against physical files.
- Errors or inconsistencies will be logged and corrected.
- Feedback from users will be collected to identify operational issues, gaps, or training needs.

This dual-system approach allows for real-world testing of the EDRMS while minimizing the risk of information loss or system failure during early adoption.

Step 3: Scanning and Uploading of Documents

Priority documents—such as judicial appointments, case files, and personnel records—will be scanned first. These will be uploaded into the EDRMS with detailed metadata tagging for classification, traceability, and secure access.

Step 4: Application of Security Protocols and Indexing

The system will implement stringent digital security protocols including:

- Role-based access control
- Password protection and multi-factor authentication
- Encryption of sensitive documents
- Auto-logging of access and activity

Each document will be indexed using predefined classification schemes to ensure organized storage and efficient retrieval.

Step 5: Development of Search and Retrieval Functions

An intelligent search interface will be integrated into the EDRMS to enable users to quickly locate files based on keywords, dates, file type, classification level, or other

metadata.

Step 6: Staff Training and Change Management

Training sessions will run concurrently with the validation period to prepare users for full migration. This includes:

- Hands-on training for EDRMS navigation
- Workshops on secure handling of electronic files
- Awareness sessions on data protection and compliance
- Management briefings to foster leadership support

The validation period will serve as a practical training ground where staff can build confidence while still relying on the familiar manual system as backup.

Phase 3: Monitoring and Evaluation

This final phase is centered on assessing compliance, performance, and sustainability of the EDRMS.

Step 1: Compliance Monitoring

Regular internal audits will be conducted to ensure that documents are being managed in accordance with institutional policies and regulatory standards. Compliance with Uganda's Data Protection and Privacy Act will be a key focus.

Step 2: Continuous Training and Support

To ensure staff competence and system adaptability, ongoing training programs will be institutionalized. These will include refresher courses, system updates, and training for new recruits.

Step 3: Post-Implementation Evaluation

After the system has been in operation for a set period, a post-evaluation will be conducted to assess user satisfaction, efficiency gains, data security, and overall

effectiveness. Feedback from this phase will guide future system enhancements and potential scaling across related institutions.

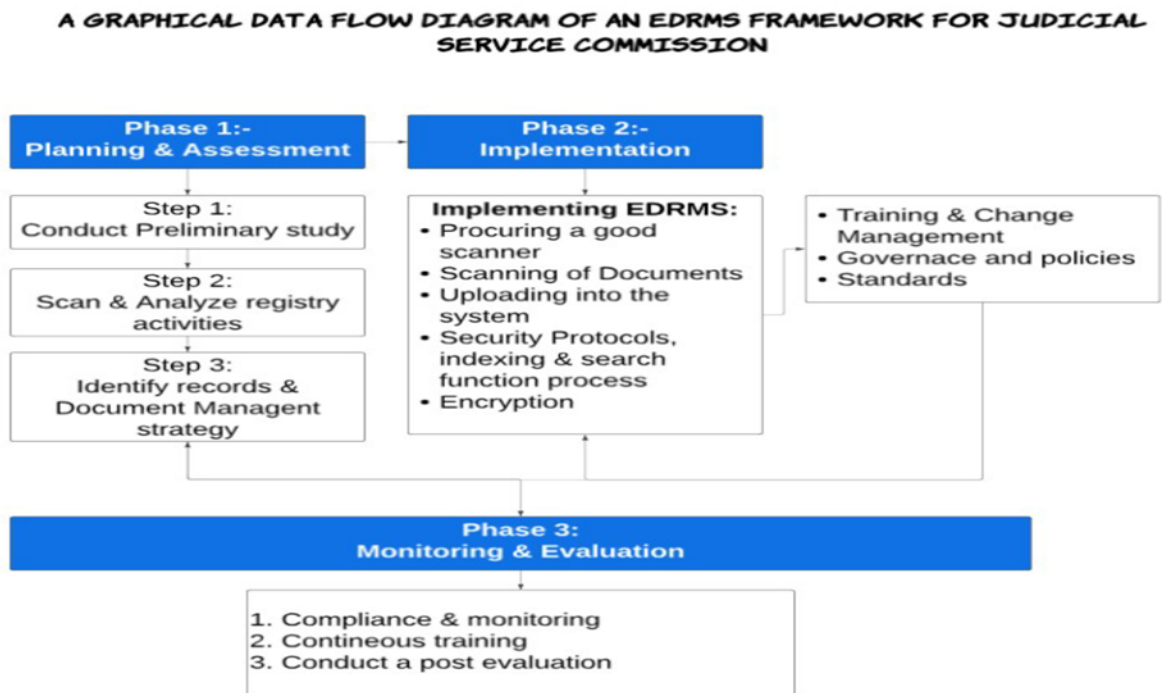


Figure 2: A data flow diagram of a proposed EDRMS framework for JSC

6.3 Limitations of the study

The researcher highlighted areas for further research that could enhance the understanding and implementation of an effective Electronic Document and Records Management System (EDRMS) at the Judicial Service Commission (JSC).

This study primarily examined structural and systemic factors in implementing an EDRMS. However, it lacked a detailed exploration of end-user experiences and their adaptability to digital record systems. Future research could assess user interaction with EDRMS tools to identify usability issues and areas for improvement in training and system design.

While the study focuses on the JSC, it does not compare the commission needs with

those of similar judicial institutions, which may offer additional insights. Comparative studies with other judicial or public administration bodies could inform a more universally adaptable framework for records management in similar institutions.

This study does not extensively analyse the long-term costs, scalability, and sustainability of an EDRMS framework. Further research could investigate the ongoing financial and technological requirements for maintaining and upgrading the EDRMS to ensure its long-term viability within resource-constrained settings.

The study provides a snapshot of current records management challenges but lacks longitudinal data to show how a shift to digital systems might evolve over time. Future research should monitor the transition to an EDRMS over several years to evaluate impacts on efficiency, security, and user acceptance.

Although compliance challenges are acknowledged, the study does not delve deeply into the evolving regulatory landscape affecting records management in Uganda's judicial system. Further investigation could analyse specific regulatory requirements and how the EDRMS can adapt to changing legal standards to ensure ongoing compliance

6.4 The contributions of the study

This study makes significant contributions by addressing key gaps in the existing literature on records management, particularly within the judicial environment.

While much of the literature on records management focuses on general frameworks for security, storage, and accessibility, this study fills the gap by offering a detailed examination of the unique challenges faced by the Judicial Service Commission (JSC) of Uganda. This includes understanding the specific legal, administrative, and operational hurdles encountered in a developing judicial system, which have often been overlooked

in prior research. Unlike previous studies, which focus broadly on records management practices, this research addresses the complexities unique to judicial environments, particularly those that affect vulnerable litigants, as identified by Hammond (2019).

Prior works are mainly centralized on information security, without adequate consideration of the aspect within which such security should be placed, mainly not compromising judicial systems. This research fills that gap by examining the effects that records security procedures, such as classification mechanisms, may have on the availability and navigability of judicial records. It provides a more differentiated view of how to address the tension between confidentiality and integrity on the one hand, and, on the other hand, the need to provide usable information to users, an issue decentralization important to the judicial realm but neglected in prior research.

Although there are numerous records management/ records disposal literatures that have highlighted on the CIA model, little has been done to apply CIA model in the judicial context. This work advances the understanding of the CIA triad by addressing the JSC records management, demonstrating how records can remain both protected and easily searchable should the need arise. The study demonstrates how this model can be a difficult treatment to execute in a live judicial system, especially within a Ugandan context with its limited resources. Previous studies mainly provide researchers and practitioners with generic advice on records management while not providing specific solutions concerning the judicial environment.

The application of this framework specifically in the judicial context. This study contributes by applying the CIA framework to the JSC records management practices, offering practical insights into how confidentiality, integrity, and authenticity can be maintained while ensuring records are both secure and accessible. The research

highlights the challenges of implementing this model in a real-world judicial environment, particularly in a resource-constrained setting like Uganda.

Previous research often presents general strategies for records management but lacks actionable recommendations tailored to the judicial context. This study therefore seeks to fill this gap by coming up with specific measures for the enhancement of records security and accessibility at the JSC. These measures include increase staff awareness, better policies compliance, inclusion of more complex measures and the use of an Electronic Records Management System (ERMS). The study therefore delivers a blow-by-blow account of proposals that can be useful in assisting the similar institutions to overcome similar difficulties that they might encounter on their way.

It also adds knowledge to the increasing literature on records management and the judiciary. There has been little application of this model specifically in the judicial context. This study contributes by applying the CIA framework to the JSC records management practices, offering practical insights into how confidentiality, integrity, and authenticity can be maintained while ensuring records are both secure and accessible. The research highlights the challenges of implementing this model in a real-world judicial environment, particularly in a resource-constrained setting like Uganda.

Previous research often presents general strategies for records management but lacks actionable recommendations tailored to the judicial context. This study fills this gap by identifying specific strategies to improve records security and accessibility at the JSC. These strategies include enhanced staff training, improved policy enforcement, the integration of advanced security protocols, and the adoption of an Electronic Records Management System (ERMS). By providing concrete, context-specific recommendations, the study offers practical solutions that can be applied to similar

institutions facing comparable challenges.

This study contributes to a growing body of literature that explores the intersection of records management and the judicial system. This underlines the importance of safe and easily retrievable records for the leadership role of the judicial segment in the areas of transparency, accountability and proper delivery of services. The study restricts itself to the peculiarities of judicial records needs, including that of the vulnerable litigants to and aims to address the theoretical void that results from the failure of most works that discuss judicial records management to fully accommodate the social and legal effects of restricted access to judicial records.

6.5 The areas for further research

More research could evaluate the success of Electronic Records Management Systems (ERMS) in judicial bodies, particularly in low-resource settings. Comparative studies could assess how ERMS systems address both security and accessibility challenges in different legal and administrative contexts.

Additional research could explore the long-term impacts of implementing advanced cyber- security measures (e.g., encryption, AI-driven threat detection) on the accessibility and usability of judicial records. This would help to balance the need for security with the need for records to remain accessible to authorised users.

Research could investigate strategies to overcome resistance to technology adoption in judicial environments, focusing on training programs, leadership approaches, and organisational culture shifts. Understanding how to navigate this resistance could enhance the effectiveness of digital transformations in courts and judicial bodies.

Further research could explore how national legal frameworks and regulations impact

the adoption and success of records management practices in the judicial sector. This would provide insights into the intersection of law, technology, and administration in records management.

Research could focus on how user-centric design principles can improve the accessibility and security of electronic records systems in judicial environments. The goal would be to make these systems more intuitive and user-friendly, particularly for non-technical judicial staff, thereby improving adoption and minimizing errors.

Further research could evaluate specific training programs aimed at improving judicial staff's competency in using electronic records management systems. This research would focus on the most effective methods of training, their impact on system efficiency, and the overall security and accessibility of judicial records.

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APPENDICES

5.1 Appendix One: Semi-structured Interview Guide

Dear Sir/Madam.

I am Rebecca, a graduate student of Uganda Christian University pursuing a Master of Science in Library and Information Studies. To fulfil the requirements for the award of the degree, am researching “designing a framework for electronic document and records management system of print-based records of Judicial Service Commission of Uganda”. This is to kindly request you take some time and respond to some interview questions to aid me complete the study.

The information given will remain confidential and used solely for academic purpose.

Thank you very much for your time and participation in this study.

5.3 Background information

<i>Position</i>	<i>Department</i>	<i>Gender</i>	<i>Experience</i>

5.4 Thematic Questions

Theme A: *What are the existing records practices within the JSC of Uganda?*

1. What are some of the records management practices performed in management of paper-based records?
2. What specific measures and protocols are currently in place at the JSC of Uganda to ensure the security of physical records?
3. How is security handled in matters of records management?
4. How are records (paper-based and electronic) made accessible to authorised personnel within the Judicial Service Commission?
5. what technologies or systems facilitate this accessibility?

Theme B: *How is the security classification process of records managed within the Commission, and what impact does it have on overall records accessibility and management?*

Can you outline the specific steps involved in the security classification process of records within the Commission, including the criteria used for categorization?

1. What are some of the records security classifications you use here?
2. How does the security classification of records influence their accessibility?
3. To what extent are stakeholders, such as legal professionals and administrative staff, involved in the security classification process, and how does their involvement contribute to effective records management?

Theme C: *What challenges does the JSC of Uganda face in implementing effective records security and accessibility practices?*

1. What specific challenges does the JSC of Uganda encounter in

ensuring the security of its records, both in physical and electronic formats?

Theme D: *What are various strategies to enhance records security and accessibility activities within the JSC of Uganda?*

1. What are the current strategies employed within the JSC of Uganda to enhance records security, and how have these strategies evolved?
2. Can you identify technological solutions or innovations that have been implemented to enhance records accessibility within the JSC, and what impact have they had on user experience?

Thank you for your precious time

Appendix Two: Document Review Guide

Objective:

The document review aims to explore and analyse key records, policies, and guidelines within the Judicial Service Commission of Uganda, focusing on designing a framework for electronic management system of print-based records of Judicial Service Commission of Uganda

I. Records Management Policies and Procedures:

Objective: To understand the overarching policies guiding records management within the JSC.

Key Points to Review:

1. Definitions of records and classifications.
2. Protocols for handling sensitive or confidential records.
3. Guidelines for physical and electronic records storage.

Objective: To assess the guidelines in place to ensure the accessibility of records.

Key Points to Review:

1. Procedures for granting access to authorized personnel.
2. Protocols for making records available during legal proceedings.
3. Measures to facilitate accessibility for individuals with specific needs.

II. Records Security Measures:

Objective: To examine the protocols implemented for the security of records.

Key Points to Review:

1. Measures for safeguarding physical records against unauthorized access.
2. Security features and encryption protocols for electronic records.
3. Procedures for classifying records based on security levels.

Title: Security Audit Reports

Objective: To review past security audit reports for insights into potential vulnerabilities.

Key Points to Review:

1. Identified security issues and vulnerabilities.
2. Recommendations from previous audits and their implementations.

3. Trends in security improvements over time.

Technological Infrastructure:

Objective: To understand the role of technology in records management. Key Points to

Review:

2. Types of information management systems in use.
3. Features supporting records security and accessibility.
4. User feedback and satisfaction with current systems.

Title: Integration of New Technologies

Objective: To explore any recent technological integrations in records management.

Key Points to Review:

1. Implementation process of new technologies.
2. Impact on records security and accessibility.
3. Training programs for staff adapting to new technologies.

Historical Records and Archives:

Objective: To review policies related to the archival preservation of historical records.

Key Points to Review:

5. Criteria for determining records for archival preservation.
6. Preservation techniques for physical and electronic records.
7. Accessibility protocols for archived records.

III. Compliance with Legal and Ethical Standards:

Objective: To assess the JSC's adherence to legal and ethical standards in records management.

Key Points to Review:

1. Compliance with data protection laws.
2. Protocols for ensuring records' authenticity and integrity.
3. Ethical considerations in handling sensitive legal information.

IV. Cross-referencing with Interview Responses:

Objective: To align document findings with insights obtained from semi-structured interviews.

Key Points to Review:

1. Consistency between documented practices and interview responses.
2. Identification of any gaps or discrepancies.



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SCHOOL OF RESEARCH & POSTGRADUATE STUDIES

DISSERTATION CORRECTION COMPLIANCE REPORT BY THE CANDIDATE (POST VIVA FORM)

Date: 15th September 2025

Name of Candidate: Kaire Rebecca **Reg. No:** J23M65/005

Title of Dissertation: A proposed framework for Electronic Document and Records Management System of Print-Based Records of Judicial Service Commission, Uganda

SN	COMMENTS BY EXTERNAL EXAMINER	ACTION TAKEN	INDICATOR
1	Chapter1: Introduction: However, the objectives should be re-organized, let objective 2 be the last objective. Delete the repeated for in objective 2.	Objective 2 made last and deleted the repeated for in the same objective	Page 6 corrected
2	What are those for? Part of the objectives or what?	They have been deleted	Page 6 & 7 corrected

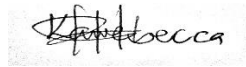
3	<p>Conceptual framework needs revision. The framework in its current format does not give a clear picture of the dependent variable. There is need to link the framework to the variables from the study objectives. For instance, where are the Challenges reflected in the framework? What of Objective 2 variable?</p>	<p>The conceptual framework has been revised to link the EDRMS design (independent variable) to improved records management (dependent variable) at the JSC. It supports Objective 1 by enhancing security and accessibility, addresses Objective 2 through change management to overcome implementation challenges, and fulfills Objective 3 by integrating key principles to guide the development of a suitable proposed EDRMS framework for the JSC.</p>	<p>Page 12, 13 & 14 corrected</p>
4	<p>Chapter 2: Literature Review: However, the order of literature review needs to be changed following the suggestions under the objectives</p>	<p>The order of literature review has been changed to follow the suggestions under the objectives</p>	<p>Pages 28 -39</p>
5	<p>What is the relevance of section 3.2? Sample size.</p>	<p>Section 3.2, sample size has been deleted, it is irrelevant</p>	<p>Page 40</p>
6	<p>Chapter 3: Methodology: How did you arrive at 12 as sample size? How did you arrive at 6 out of 12 as sample size especially in a qualitative study? This</p>	<p>I was guided by the principle of achieving data saturation during the qualitative phase to obtain in-depth insights.</p>	<p>Page 42</p>

	is unscientific.		
7	<p>Chapter 4: Presentation and Analysis of Data:</p> <p>Total reorganization of the chapter on Findings should be done</p>	Total reorganization of the chapter has been done	Pages 53 - 71
8	<p>Chapter 5: Discussion of Results-</p> <p>Discussions can still be improved. There is little insightful and analytical discussion made. The candidate in most cases only gives references to the literature without any constructive and analytical argument of issues as raised in the findings. Figure 4.0.3 is empty. Could it be because of software compatibility? This should be cross-checked.</p>	Insightful and analytical discussion further made.	Pages 72 - 77
9	<p>Chapter 6: Conclusions and Recommendations-</p> <p>The conclusion can be improved when the discussions are properly made. The framework should be clearly brought out. as a key recommendation.</p>	<p>The conclusion has been improved.</p> <p>The proposed framework has been clearly brought out as a key recommendation.</p>	Page 78 - 88

10	The reference reflects adequate reading although can be improved. When good discussions are done, additional literature will be included.	Good discussions done and additional literature included.	Pages 94 - 99
SN	COMMENTS BY VIVA VOCE PANNEL	ACTION TAKEN	INDICATOR
11	Advised to adjust the title	Title adjusted to read as “A proposed framework for Electronic Document and Records Management System of Print-Based Records of Judicial Service Commission, Uganda”	The title page
12	Clarify the purpose of the study -the problem statement needed clarity	The purpose of the study and the problem statement have been clarified	Page 17 and page 18
13	Suggested that the questions should be about developing the framework	The research questions have been restated and are about developing the framework	Page 19
14	Advised to state the aim and make it consistent with the work	The aim is restated and made consistent with my work of research study.	Page 18
15	Accessibility and security make up one research question	Accessibility and security have been combined to have one key research question, that is, research question no.2	Page 19
16	Need to clarify the research design	The research design has been clarified to be a descriptive research design	Page 44
17	The tools used were not clear	The data collection tools were redefined	Pages 49-50
18	Advised to align the objectives, research questions, and findings	The objectives, research questions and findings have been aligned	Page 58

19	The research design and approach need to be adjusted	The research design and approach have been adjusted	Page 44
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KAIRE REBECCA



Candidate's Name

Signature

SSEKITTO FRANCIS



Supervisor's Name

Signature