

**THE ROLE OF RECORDS MANAGEMENT IN PUBLIC SERVICE DELIVERY IN
COUNTY GOVERNMENTS IN KENYA: A CASE STUDY OF KISII COUNTY
GOVERNMENT HEADQUARTERS**

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DEDICATION

This work is dedicated to my father John Abuki, my Mother Elmelda Abuki, My daughter Tamira Abuki my sisters Safina Abuki, Lillian Kerubo and Whitney Moraa, and my brothers Andrew Abuki and Douglas Abuki. May God bless you always for being the source of my joy, I have benefited from your wisdom and there is no way I will be able to match that but to say thank you and wish you good health and may God's grace be upon you always.

ABSTRACT

Good records management will promote efficient and effective public services in ways such as ensuring regulatory compliance, curb graft, minimizing litigation risks, support making of informed decisions by providing timely and sufficient information, promoting accountability among others. The aim of this study is to assess record management practises at the county government with specific references to county headquarters and how records management enhances delivery of good public services. The study was a case study and quantitative in nature and it used questionnaires and interview schedules as instruments of collecting data. The study sample included 5 records managers, 12 top management officials, 28 action officers, 36 clerical officers and 19 registry staff. Questionnaires were the key data collection tools used but they were supplemented by interviews. Some of the key findings of the study included; the county has not implemented a records management program, lack of adequately trained records management staff, lack of records centre and an archive for semi-current and non-current records. The county has also not implemented a disaster management program especially for its vital records, the equipment and storage facilities are not adequate, there is lack of awareness on the importance of records and records management among non-records management staff, and the county has not adopted information, communication technology in enhancing and improving records management. It is out of those findings that the study proposed a number of recommendations which included the need to implement records management policies, standards, guidelines and procedures. The county headquarters should also automate its records management functions and implement records management awareness programs for non-records management staff. The county should also implement a records management, disaster management program and provide training programs for records management personnel.

TABLE OF CONTENTS

DECLARATION	ii
ACKNOWLEDGEMENT	iii
DEDICATION	iv
ABSTRACT.....	v
LIST OF TABLES	x
LIST OF FIGURES	xi
LIST OF ABBREVIATIONS AND ACRONYMS	xii
CHAPTER ONE	1
INTRODUCTION AND BACKGROUND TO THE STUDY.....	1
1.1 Introduction.....	1
1.1.1 Records Management.....	1
1.1.2 Public Service Delivery and Records Management.....	2
1.1.3 Background to the Study.....	4
1.1.4 Kisii County Government Headquarters Departments	5
1.2 Statement of the Problem.....	5
1.3 Purpose of the study.....	6
1.3.1 Objective of the study	7
1.4 Research Questions	7
1.5 Assumptions of the Study	7
1.6 Significance of the Study	8
1.7 Scope and Limitations of the Study	9
1.8 Operational Definition of Terms and Concepts	9
1.9 Summary	10
CHAPTER TWO	11
LITERATURE REVIEW	11
2.1 Introduction.....	11
2.2 Theoretical Framework.....	11
2.2.1 The Records Life Cycle Concept.....	12
2.2.2 The Records Continuum Concept.....	15
2.2.4 Model of Service Quality Gaps (The Gap Model).....	18

2.3 Records Management.....	21
2.3.1 Definition of Records Management.....	21
2.3.2 Records Management in Government Institutions in Kenya.....	21
2.3.3 Records Management Practices in Kenyan Public Institutions	23
2.3.4 Records Management Program.....	24
2.3.5 Indicators of Good Records Management that can Enhance Public Service Delivery ...	28
1.10 Conceptual Framework.....	28
2.4 Summary.....	29
CHAPTER THREE	30
RESEARCH METHODOLOGY	30
3.1 Introduction	30
3.2 Research Design.....	30
3.3 Study Population and Sampling Procedure.....	30
3.3.1 Population	30
3.3.2 Sampling	31
3.3.3 Sampling Technique	31
3.3.4 Sample Size.....	32
3.4 Data Collection Instruments	33
3.4.1 Interviews.....	33
3.4.2 Questionnaires.....	33
3.5 Data Processing and Analysis	34
3.6 Summary	34
CHAPTER FOUR.....	35
DATA PRESENTATION, ANALYSIS AND INTERPRETATION	35
4.1 Introduction	35
4.2 Records Management Policies and Standards Governing Records Management at the County.....	35
4.2.1 Feedback on if the County has a Records Management Policy	36
4.2.2 Feedback on if the County has a Records Management Policy on each Category	37
4.2.3 Aspects Covered by the Records Management Policy	37
4.3 The Nature, Types and Conditions of Records Adopted from Previous Local Authority.	42

4.3.1 How Records from Previous Local Authorities Being Managed.....	44
4.4 The Strategies Used in the Management of Records at the County	44
4.4.1 Records Control/Tracking.....	45
4.4.2 Records Retrieval and Access.....	46
4.4.2.1 Challenges Faced in Providing Access to Records.....	47
4.4.3 Records Retention.....	48
4.4.4 Records Disposal	49
4.4.5 Disaster Management.....	50
4.5 Professional Knowledge and Skills of Records Management Personnel	50
4.5.1 Education Level and Professional Training.....	51
4.5.2 Accumulated Experience	54
4.6 Challenges Incurred in the Management of Records and Possible Solutions and Recommendations	56
4.6.1 Current State of Records Management in Kisii County Headquarters	56
4.6.2 Appreciation of Records Management and its Importance towards Public Service Delivery	57
4.6.3 Top Management Support towards Records Management	58
4.6.4 Challenges Experienced in the Management of Records.....	59
4.6.5 Recommendations and Suggestions by Respondents	60
 CHAPTER FIVE	63
SUMMARY OF RESEARCH FINDINGS, CONCLUSION AND RECOMMENDATIONS.....	63
5.1 Introduction	63
5.2 Summary of Research Findings	63
5.2.1 What Records Management Program, Policies and Standards have been put in Place to Ensure Proper Records Management at the County?.....	63
5.2.2 How are Records Adopted from Previous Local Governments Managed?	63
5.2.2.3 What Strategies are used to Ensure Proper Records Management at the County Headquarters?	64
5.2.2.4 What Skills, Training and Competencies do those Responsible with the Management of Records Possess?	65
5.2.2.5 What are the Challenges Encountered in the Management of Records that Affect Service Delivery and What are the Possible Solutions to the Challenges Identified?	65
5.3 Conclusion	66
5.4 Recommendations.....	69
5.4.1 Implement Policies, Standards, Guidelines and Procedures	69
5.4.2 Automation of Records Management Services.....	69
5.4.3 Training Programs for Records Management Personnel	70
5.4.4 Implement Records Management Awareness Programs for Non Records Management Staff ...	70
5.4.5 Implementation of a Records Management Disaster Management Program.....	71

5.5 Suggestion for Further Research.....71

REFERENCES.....73

APPENDIX I76

QUESTIONNAIRE FOR RECORDS MANAGEMENT PERSONNEL76

APPENDIX II84

INTERVIEW SCHEDULE TOP MANAGEMENT84

APPENDIX III.....86

DETERMINING SAMPLE SIZE FROM A GIVEN POPULATION.....86

LIST OF TABLES

Table 1.1 Composition of Kisii County (Adapted from Kisii County website)	4
Table 3.1: Distribution of Sample (n=119).....	32
Table 4.1: Feedback on if the County has a Records Management Policy (n=100).....	36
Table 4.2: Feedback on if the County has a Records Management Policy on each Category.	37
Table 4.3: Aspects Covered by the Records Management Policy	38
Table 4.4: Reference to Records Management Standards (n=82)	41
Table 4.5: Elements Covered in the Records Management Policy (n=82).....	42
Table 4.6: Did the Change of Kisii from Local Authority to County Affect the Status of Records (n=24)	43
Table 4.7: How Records from Previous System of Government are being Managed.....	44
Table 4.8: Challenges Faced in Providing Access to Records (n=10	48
Table 4.9: Education Level (n=24)	52
Table 4.10: Education Levels for the Registry Staff (n=19).....	52
Table 4.11: Highest Academic Level in Records Management or Related Field (n=24).....	54
Table 4.12: Records Management Professional Training (n=24).....	54
Table 4.13: Challenges Experienced in Managing Records the County Headquarters (n=36)	60
Table 4.14: Recommendations and Suggestions by Respondents	62

LIST OF FIGURES

Figure 2.1: Records Life Cycle Model (Source: Author)	13
Figure 2.2: Records Life-Cycle Model (Source: IRMT, 1999)	13
Figure 2.3: Records Continuum Model (Source: McKemmish S 1998)	17
Figure 2.4 Conceptual Framework (Source: Researcher)	28
Figure 4.1: Variations on Records Management Policy’s Element of Recordkeeping Best Practices	39
Figure 4.2: Reference to Records Management Standards	41
Figure 4.3: Record Tracking Instruments Used at the County Registries	46
Figure 4.4: If Problems are Experienced by Staff when Providing Access to Information.....	47
Figure 4.5: Classes of Records Covered in the Retention Policy	49
Figure 4.6: Education Levels for Record Managers	53
Figure 4.7: Accumulated Experience.....	55
Figure 4.8: State of Records Management in Kisii County Headquarters.....	57
Figure 4.9: Appreciation of Records Management and its Importance towards Public Service Delivery.....	58
Figure 4.10: Top Management Support	59

LIST OF ABBREVIATIONS AND ACRONYMS

ACCIS	Advisory Committee for the Coordination of Information Systems
ARMA	Association of Records Managers and Administrators
EDRMS	Electronic Document Management Systems
HR	Human Resource
ICA	International Council on Archives
ICT	Information and Communication Technology
IEA	Institute of Economic Affairs
IRMT	International Records Management Trust
ISO	International Standards Organization
IT	Information Technology
KNADS	Kenya National Archives and Documentation Services
LA	Local Authorities
NARA	National Archives and Records Administration
NPM	New Public Management
RAM	Records and Archives Management
RM	Records Management
UNESCO	United Nations Education Scientific and Cultural Organization

CHAPTER ONE

INTRODUCTION AND BACKGROUND TO THE STUDY

1.1 Introduction

Records are important sources of information and knowledge. They assist the government to make timely, relevant and informed decisions hence contribute to sustainable socio-economic and political development (Kemoni 2007:2). According to Sherperd (2006:13) a record is a recorded evidence of an activity that is of an action undertaken by an individual or a work group in the course of their business which results in a definable outcome. A record is not defined by its physical form, its age or the fact that it contains information. Its essential characteristic is that it provides evidence of some specific activity. Records are the indispensable foundation of the accountability process (Ndenje-Sichalwe and Ngulube, 2008). Cox and Wallace (2002) collaborate the assertion by stating that accountability and transparency cannot be achieved in an environment where information is not available. Van der Waldt et al. (2002) observe that information is a fundamental resource for both government and the private sector alike and can be maintained and enhanced through appropriate records management.

Organizations including public institutions are accountable in many ways to meet legal, regulatory and fiscal requirements, undergo audits and inspections or provide explanations for what was done (Shepherd and Yeo 2003). Government institutions including county governments ought to adhere to proper records management practises in order to ensure good public service delivery. Without reliable and authentic documentary evidence underpinning all essential accountability processes, government, civil society and the private sector cannot ensure transparency, guarantee accountability or allow for the exercising of good governance (Obura, 2012; Schenkelaars and Ahmad, 2004).

1.1.1 Records Management

The Australian Standard defines records management as “the discipline and organisational function of managing records to meet operational business needs, accountability requirements and community expectations” (Australian Standard, 1996:6). According to Kemoni (2007:25) and Makhura and Du Toit(2005:215) records management may be viewed as a subdivision of information management and information management entails the management of all the

information in an enterprise, as well as the management of the people, hardware, software and systems that provide the information.

To ensure that the county governments provide best services to the public there is need to put good records management program in place. The program should entail policies, procedures; best practise standards or benchmarks set to ensure those in charge of records adhere to them. The program should be implemented by top management and ensure that every employee in charge of records, creating records or using records is aware. Hase and Galt (2010:39) point out that good records management practices are essential to organizational effectiveness. Hase and Galt (2010:39) further add the following factors that relate to organizational effectiveness as enhanced due to good records management; risk reduction, loss of credibility that suffers when paper trails are not easily accessible, continuity of organizational knowledge, improved customer services due to quick access of information, reduction of costs associated with inefficiency and inconsistency for example duplication, reduction of operating costs through determining who is the “owner” of documentation, and thus enabling the destruction of duplicate files and working documents.

1.1.2 Public Service Delivery and Records Management

Public service delivery is critical to ensuring the country’s wellbeing, citizens satisfactory and development whether economic, social or political depends on how efficient are the services provided. On daily basis, governments carry out several regulated and unregulated activities to provide citizens with services and at the same time guarantee that these services are provided in accordance to the rule of law (Mampe and Kalusopa, 2012, Kaunda, 2005, Nandain, 2006 Shan 2005, Wamukoya, 1995). Pemberton (1991) and Ngoepe (2008) propound that better service delivery begins with good records management practises. Mampe and Kalusopa (2012: 2) further adds that this is because government or public departments can only take appropriate action and make correct decisions if they have sufficient information at their fingertips.

Muriu (2012) in his thesis noted that in Kenya, a key aspect of local government reform started in the late 1990s with the concern to improve local service delivery by, among other means, institutionalizing citizen’s voice in decision making. This came against a background of poor performance in service delivery, huge debt burdens, and gross mismanagement of resources in Local Authorities (LAs).

In August 2010, the Republic of Kenya enacted a new constitution that led to establishment of county governments through The County Government Act of 2010 (Constitution of Kenya, 2010). The aspiration is that the new constitution which witnessed 67% approval from the people will create the legal framework to allow the government to address several institutional problems including the concentration of vast political powers in the executive branch, aggravated by corruption, impunity, and the inadequate protection of minority rights (Barasa 2007:13). It is from this transition that Kisii County was found.

It is important to note that the Institute of Economic Affairs held a public forum on the 27th July 2005 to discuss the public perception of local authorities, the reasons for their poor performance and the reform measures that are underway. From the forum it was identified that local authorities are not only failing to provide satisfactory level of services but are also poorly managed and have departments that are among the most corrupt within the public sector in Kenya. Some of the contributing factors towards these were identified as poor or loss of information in the local authorities' offices, poor state of recordkeeping was also identified as the contributing factor in the provision of sub-standard services (IEA, 2005)

Records management supports efficiency and effectiveness in service delivery in many ways. These include documentation of policies, procedures, rules and regulations that inform service delivery such as the type of services provided, who is responsible of providing the service, who is to be provided with the service and how and what is the cost to be incurred or involved. Nandain (2006) asserts that effective information and records management provides the foundation for accountability, protection of human rights and increases citizen's awareness to their rights. Kemoni, Ngulube and Stillwell (2007:132) also affirm that records management is significant to government's realisation and achievement of their goals such as the rule of law, accountability, and management of state resources and protection of entitlements of its citizens as well as enhancing foreign relations. According to the current Kenyan Constitution (2010), Chapter 13, the values and principles of public service apply to public service in all State organs in both levels of government; and all State corporations. These values and principles of public service according to the constitution include high standards of professional ethics, efficient, effective and economic use of resources, responsive, prompt, effective, impartial and equitable provision of services, involvement of the people in the process of policy making accountability for administrative acts transparency and provision to the public of timely and accurate information and representation of Kenya's

diverse communities and affording adequate and equal opportunities for appointment, training and advancement at all levels of the public service

1.1.3 Background to the Study

Kisii County is in the former Nyanza province and it is made up of nine constituencies namely South Mugirango, Bonchari, Nyaribari Chache, Nyaribari Masaba, Kitutu Chache North, Kitutu Chache South, Bobasi, Bomachoge and Borabu. In 1907, the British invaded Gusiiland and established a colonial government. The seven subdivisions of Gusiiland were converted into administrative units under government-appointed chiefs. Kenya has recently undergone political change of great magnitude with the popular adoption of a new constitution on the August 27, 2010 (Burugu, 2010) that overhauled the former local government system by establishing 47 county governments (Constitution of Kenya, 2010). Kisii County was one of them. This number was based on the delineation of administrative districts as created under the Provinces and Districts Act of 1992. Based on the 2009 Population and Housing Census, the county population is 1,152,282. The county now is made up of nine districts and 45 electoral wards as indicated on the table below:

Table 1.1 Composition of Kisii County (Adapted from Kisii County website)

Constituency Name	District(s) Name	Electoral Wards
South Mugirango	Gucha South	6
Bonchari	Kisii South	4
Nyaribari Chache	Kisii Central	6
Nyaribari Masaba	Masaba South	5
Kitutu Chache North	Marani	4
Kitutu Chache South	Kisii Central	4
Bobasi	Nyamache and Sameta	8
Bomachoge Borabu	Kenyenya	4
Bomachoge Chache	Gucha	3

This was done in the context of increasing focus on democratic governance, whose core principles include participation, transparency, accountability, subsidiarity and separation of powers (Cheema, 2007:127)

According to Azfar et al.,(1999:1) decentralization involves ‘the transfer of administrative, fiscal and political powers and functions of the central government to lower-level governments’ This includes the transfer of resources and functions to improve administrative and service delivery. Services whose delivery and financing is decentralized include but are not limited to education, health, water, sanitation, public transport and infrastructure, roads maintenance, fire, housing and social welfare (Robinson: 2007).

1.1.4 Kisii County Government Headquarters Departments

Kisii County Government has the following ten departments which are expected to support service delivery in the headquarters. They include the administration, Corporate Services and stakeholders Management, Land, Housing Physical Planning and Urban Development, Energy, Water, Environment and Natural Resources, Roads, Public Works and Transport, Cultural, Sports, youth and Social Services, Education, Labour and Manpower Development, Agriculture, Livestock, Fisheries and Cooperative Development, Trade and Industry, Finance and Economic Planning and Health Services

Other departments in the county that also help in the provision of services in addition to the above departments include: Human Resources, Records Management, and Information Communication Technology Department

1.2 Statement of the Problem

Effective and efficient public service delivery remains an issue of great concern in Kenya. One of the key contributors to this is the deliberate or unaware negligence of good records keeping practises in public institutions. In Kenya, records management has remained a neglected function in most administration units especially in public institutions. This will be dangerous to newly formed county governments.

Due to the poor state of recordkeeping in Kenyan public offices, the Government of Kenya appointed a Task Force in the year 2003 to investigate the causes of poor recordkeeping in

government ministries. According to a draft from the Office of the President, Directorate of Personnel Management document (2003:2), the Task Force, which was to report to the Programme Director, Civil Service Reform Secretariat, was formed after the government realized that poor records and information management undermined efficiency and effectiveness in the public service and that records management in the public sector was in a very poor state, from the registries, where current records were found, to the records rooms, where semi-current and non-current records were stored.(Kemoni 2007:31)

This study was important because it will look at what the county governments ought not do so as to avoid repetition of poor records management practises that were in local authorities. This is important because it is an opportunity for a fresh start and at this level the county governments have the opportunities to put appropriate practises, principles and other good records management requirements in place.

There is a link between effective records management and enhanced public service delivery. Records management is a key component of any public sector reform programme, the efficiency of which includes enhancing the efficiency and effectiveness of the public service (Kemoni: 2008:2).The study was also necessitated by the need to identify how records management can be improved so as to help support good public service delivery in the newly created county government so as to gain the trust and confidence of the members of public that they serve. Inadequate records management practises in the county offices may lead to decentralization of corruption, delayed service delivery, multiplication of same services, lack of accountability, poor governance and poor decision making processes and this might lead to failed county governments. Musembi (2004:12) and Kemoni (2008) pointed out that poor records management have devastating consequences such as, delayed and poor service delivery and frustrations on the part of the public created opportunities for corruption. This study will also seeks to find out the linkage between records management, enhanced public service delivery and the attainment of the needs of Kisii county's residents

1.3 Purpose of the Study

The aim of the study is to assess records management practises at county governments with specific reference to Kisii County Government Headquarters and how records management enhances delivery of good public services.

1.3.1 Objectives of the Study

The specific objectives of the study are to:

1. To determine if there is a records management program, that has policies and standards governing records management at the county
2. To examine how records from the former local governments are managed.
3. To find out the strategies used in the management of records at the county
4. To find out the professional knowledge and skills of staff responsible for managing records
5. To identify challenges experienced at the county in ensuring effective records management and propose possible solutions to challenges identified.

1.4 Research Questions

The study was guided and sought to answer the following research questions:

1. What records management program, policies and standards have been put in place to ensure proper records management at the county?
2. How are records adopted from previous local government type of administration managed
3. What strategies are there to ensure proper records management at the county headquarters?
4. What skills, training and competencies do those responsible with the management of records possess?
5. What are the challenges experienced in the management of records that affect service delivery and what are the possible solutions to the challenges identified?

1.5 Assumptions of the Study

The study was based on the following assumptions:

1. Poor records management practises that were in local authorities have been adopted also in county governments also

2. Although service delivery is the core function of Kisii County government, staff in various department do not find records management to be of importance towards ensuring efficient and effective public service delivery
3. Records management is an ignored function and the current records management practises do not support good public service delivery in the county offices
4. Staff managing records or in charge of records management functions lack adequate skills and knowledge in records management and are not adequately trained to properly carry out their duties.

1.6 Significance of the Study

The study is significant in the following ways. Records provide evidence of human activities and transactions, underlie the rights of individuals and states and were fundamental to democracy and good governance (ICA 2004, Kemoni 2007; 52). Therefore the findings of the study are expected to help Kisii County to help suggest ways of improving the services it delivers to the public through emphasizing on the importance of records management as a critical component in promoting and improving service delivery. This is a vital contribution, as recordkeeping underpins all aspects of public administration, governance, promoting accountability, help in the fight against corruption, and protect the rights and freedoms of the citizens and the government in charge.

The study also aims to enlighten the top management and staff of Kisii County on the importance of good and proper records management in provision of service delivery, the need to establish good records management program that includes policies, procedures and standards that govern records keeping in the county and also to ensure these elements of records management are emphasised to all members of Kisii County headquarters. The study will also make useful recommendations on challenges experienced in the provision of good service to the public due to poor records keeping practises.

The research will contribute to the body of knowledge on records management and public service delivery and will inform the County Government on the development of policy, systems, practice and theory of records management as an integral part of good public service.

1.7 Scope and Limitations of the Study

The study focused on the role of records management in provision of public service delivery in county governments. With the main focus in Kisii county headquarter departments and offices and their records management units. The researcher conducted a survey on recordkeeping practises in the headquarters. The researcher was not able to conduct the survey in the other nine sub county offices as some do not have yet adopted proper records management practises or are yet to start records management programs however, it is expected the results of the study will influence good records management practises in the sub county offices. In analysing literature, only literature published in English language was reviewed. The researcher did not consult sources that were presented in other languages besides English.

1.8 Operational Definition of Terms and Concepts

For the purpose of this study the following were the operational definition of the terms below:

Record

A record is meant to refer to recorded information or document produced or received in the initiation, conduct or completion of an activity in any county department and it comprises content, context and structure sufficient to produce evidence of the activity, regardless of form or medium.

Records Management

Records management is considered as that field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of county records, including the processes for capturing and maintaining evidence of and information about county activities and transactions in the form of records.

Public Service

Public services are the services provided or supported by the county or its departments to the people it serves. The county government mostly pays for these services. Public service exists for the following reasons: to render service to the country's citizens, to provide social services and infrastructure, to translate government policies and programmes into activities, to achieve

development goals and to create an enabling environment conducive to individual and private sector initiatives. (Murungaru 2003:27).

Public Service Delivery

Public service delivery is the designing and provision of services to the members of the public.

Public Records

Public records are all documents, papers, letters, maps, books, photographs, films, sound recordings, magnetic or other tapes, electronic data-processing records, artefacts, or other documentary material, regardless of physical form or characteristics, made or received pursuant to law or ordinance in connection with the transaction of county business.

1.9 Summary

This chapter has provided the introduction and background information to the study. The chapter has provided information that set the pace for the study and served as the basis for subsequent chapters and all other activities conducted during the research. What was covered by the chapter are: relationship between records management and public service delivery, background information of Kisii County, statement of the problem, the aim and objectives of the study and significance of the study.

CHAPTER TWO

LITERATURE REVIEW

2.1 Introduction

This chapter presents a review of related literature in the area of records management, public service delivery and how good records management practises can help promote efficient and effective public service delivery. Marshall and Rossman (2006:42) explain that a literature review is a “thoughtful and logical discussion of related literature which builds a logical framework for the research and locates it within a tradition of enquiry and context of related studies”. The literature review covers related studies in records management with reference to the purpose of records management, the theoretical models that inform the study, and the current status of records management in Kenya’s public or government institutions. The literature review also relates proper records management to the improvement of service delivery since proper records keeping improves business administration in any organisation.

2.2 Theoretical Framework

The word theory has a number of distinct meanings in different fields of knowledge, depending on their methodologies and the context of discussion (Douglas, 2008). A number of authors have however presented definitions of the word theory both from a scientific or general viewpoint (Eagleton, 2008). The thrust of their definitions is that a theory is a set of hypotheses, assumptions or propositions, logically or mathematically linked, offered as an explanation in general terms for a wide variety of connected natural observable phenomena.

Research must be guided by some theoretical perspective because a theoretical framework will provide a framework within which there will be an attempt to answer the question why. Without a theoretical orientation, the researcher can speculate at best or offer no explanation at all (Lester 2005:461). According to Ngulube and Noko (2013; 3) a theoretical framework may be used to test, apply or merely locate a proposed study within established theory. Rodrigues, Ngulube and Chaterera (2013) propounds further by asserting that the theoretical framework assists in identifying the variables that will be investigated and provide a frame for analysing and interpreting the findings.

In records management the term model and theory in most cases are used interchangeably. This is further emphasised by Rodrigues, Ngulube and Chaterera (2013) assertion that the term model is often used instead of, or interchangeably with, theory. In that light, the terms are used interchangeably in this study. Of particular relevance and significance to the study were The Records Life Cycle Theory, The Records Continuum Model and The International Generally Accepted Record Keeping Principles (GARP)

2.2.1 The Records Life Cycle Concept

One of the core concepts in records management is that of the record's life cycle. It is invariably used in records management textbooks and widely accepted by professionals in the field. As an important concept 'the life cycle' provides the greatest potential for effective management of recorded information, particularly where records are held in paper form.

Yusof and Chell (2000:135) point out that in the American context, the life cycle of records begins when records are first organized, maintained, and actively used by the creators. It continues as records are stored for an additional period of infrequent or dormant use in off-site records centres, and ends when their operational use ends entirely, or when they are selected as archives and transferred to an archival institution, or declared of no value and destroyed. The life cycle of records reflects the opinion that all records, irrespective of form and purpose, pass through certain well defined phases (Newton, 2003: 120). Gill (2000:12) emphasizes that the record's life cycle means a movement of records in logical steps from the creation, through its use, storage, and retention in active files, to its transfer to inactive files, storage, and finally disposal.

The development of the life cycle concept began in the United States of America in the 1930s (Hare and McLeod, 1997: 2-5). It consisted of three phases which included the creation phase, maintenance and use phase and disposition. The concept was founded and invented by the National Archives of the USA in response to the ever increasing volume of records produced by organizations. The concept stated that records have a clearly defined life from birth to death, and the life cycle concept was regarded as very relevant in providing a framework for identifying the specific elements, or functions of records management (Hare and McLeod, 1997: 16).

Taylor (2007) states that life cycle concept has also been regarded as a theory which provides a framework for the operation of a records management programme. The principle behind

this concept is that recorded information has a ‘life’ similar to a biological organism. The theory explains the existence and management of records as undergoing through distinct life-cycle phases that can be viewed in two perspectives of age and use. The age perspective asserts that records go through three stages of current, semi-current and non-current stages. The use perspective asserts that a record goes through the three phases of its usability which are active, semi-active and non-active use.

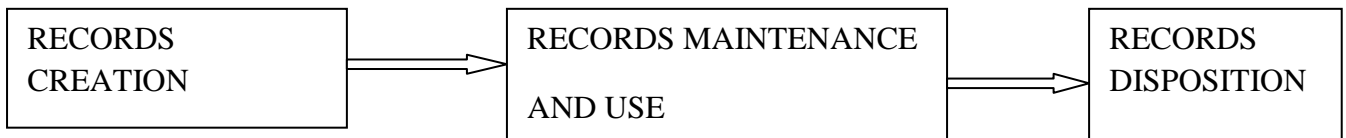


Figure 2.1: Records Life Cycle Model (Source: Author)

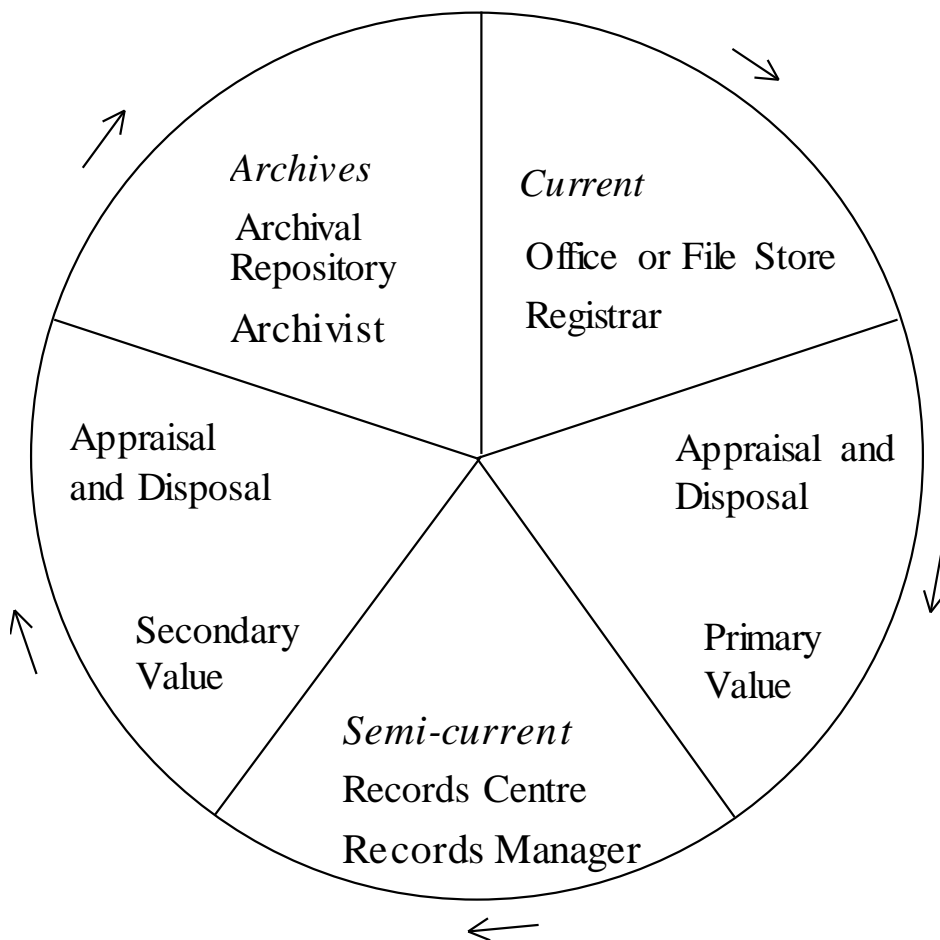


Figure 2.2: Records Life-Cycle Model (Source: IRMT, 1999)

Different scholars have had different opinions on the number of stages in the life cycle model, some arguing there are three stages and others five stages. Stephens (1996: 76) observes that in the United Kingdom the record's or information life cycle is usually considered to be composed of at least three stages. However, in the USA the usual interpretation is that there are five stages in the information life cycle: creation; distribution and use; storage and maintenance; retention and disposition; and archival preservation. Kemoni (2007) points out that Richard Roper was amongst the earliest to verify the stages of the record's life cycle. Records pass through three stages that include active or current; intermediate or semi-current; and finally archives or non-current. These three stages in the life of a record are basic to any records management programme. These stages include: the current stage when the records are active; the non-current stage when the records are inactive; and the archival stage when records are useful for historical rather than business purposes. Yusof and Chell (2000:136) discuss these stages as follows:

Current Records

Records that are regularly used for the current business of an agency or organization and continue to be maintained in their place of origin or receipt; records in this stage are sometimes called active records. (IRMT 1999:18)

Semi-Current Records

These are those records that are required so infrequently for current business that they should be transferred to a records centre pending their ultimate disposal. (IRMT 1999:18)

Non-Current or Inactive Records

Records which are no longer required for current business and should be either destroyed or transferred to an archival repository. (IRMT 1999:18)

The stages in the life cycle were expanded also by Smith (2007:5), who mentions that regardless of the medium, records have a four-phase life cycle based on their relative business value over time. These are: the period in which records are created; a period of active and frequent use; a phase of semi-active or archival use; and a period when they become obsolete and should be destroyed. The Advisory Committee for the Coordination of Information Systems (ACCIS) has also placed itself in this four stages group by outlining that

the four stages comprise of the creation and identification, appraisal, control and use, and disposition in their guideline (2005: 72).

Diamond (2007: 1) supports this division into four stages by corroborating that these stages include creation; active use and maintenance; inactive and in storage; and destruction. On the other hand Ricks, Brown and Stephens (2008:7) argued that records should undergo five stages in their life cycle. These stages include creation stage which consist the distribution and the use stage; the storage and maintenance stage; the retention and disposition stage; and archival preservation.

Regardless of the number of stages involved and the descriptions given to explain the life cycle of records, it is obvious that paper records pass through various stages in their lives. Every record, particularly in paper format, has to be created, used, maintained and stored, and finally either be destroyed or retained in to an archive. Often, the division and the meaning of the life cycle stages depend with individual organization. In some organizations the disposition stage would mean ultimate destruction whereas in another it means sending those records to the archive for research and posterity (Yusof and Chell, 2000:137)

Therefore this theory was adopted and used in in this study because most government offices still create and have paper-based records which the records life-cycle theory is easily applicable in the management of these records in Kenya including its applicability in Kisii County Government Offices.

2.2.2 The Records Continuum Concept

The introduction of the life cycle concept and its division into several stages clearly indicates that records are managed as objects. Custody is obvious and central to the management of paper records. (Yusof and Cheli, 2000:137). Many scholars have identified the weaknesses of the life cycle concept especially with the advent and use of Information Communication Technologies (ICTs). Heywood (2007:17) points out that the traditional paper based record's life cycle controls the management of recorded information. According to Yusof and Cheli Records life-cycle model the focus is on the container of information or the medium that carries the information is prominent.

Records in the electronic environment are not tangible objects as in the case of paper based records. They are both hardware and software dependent and both can quickly become

obsolete. The Australian Society of Archivists (2010) asserts that it is the content of the record and no longer the medium that becomes the concern of records management in this later environment. As records are technology dependent, the content is prone to transformation and conversion. It is in this regard that the concept of the continuum has been promoted in the records management world. If the life cycle works well for paper-based records, the continuums seem to be the best concept to manage electronic records. Kemoni (2008:5) observes that the continuum model is widely accepted for managing records and archives both in paper and electronic form. Under the records continuum model, both archivists and records managers are involved in managing every stage in the life of a record.

The Australian Records Management Standard AS4390 defines the continuum model as a consistent and coherent regime of management processes from the time of the creation of records (and before creation, in the design of recordkeeping system) through to the preservation and use of records as archives (AS4390 1996, Part1: clause 4.22). The continuum model advocates for a records management process where both records managers and archivists are involved in the ongoing management of recorded information. Consequently, the continuum concept is more ideal for management of electronic records unlike the life cycle that was based on paper records (Xiaomi, 2001).

Frank Upward offered a variant of records continuum model that he considered a paradigm shift. It consists of four dimensions and four continue axes. The four dimensions are create, capture, organize and pluralize while the four axis are identity, transactional, recordkeeping and evidential (Upward, 2000).

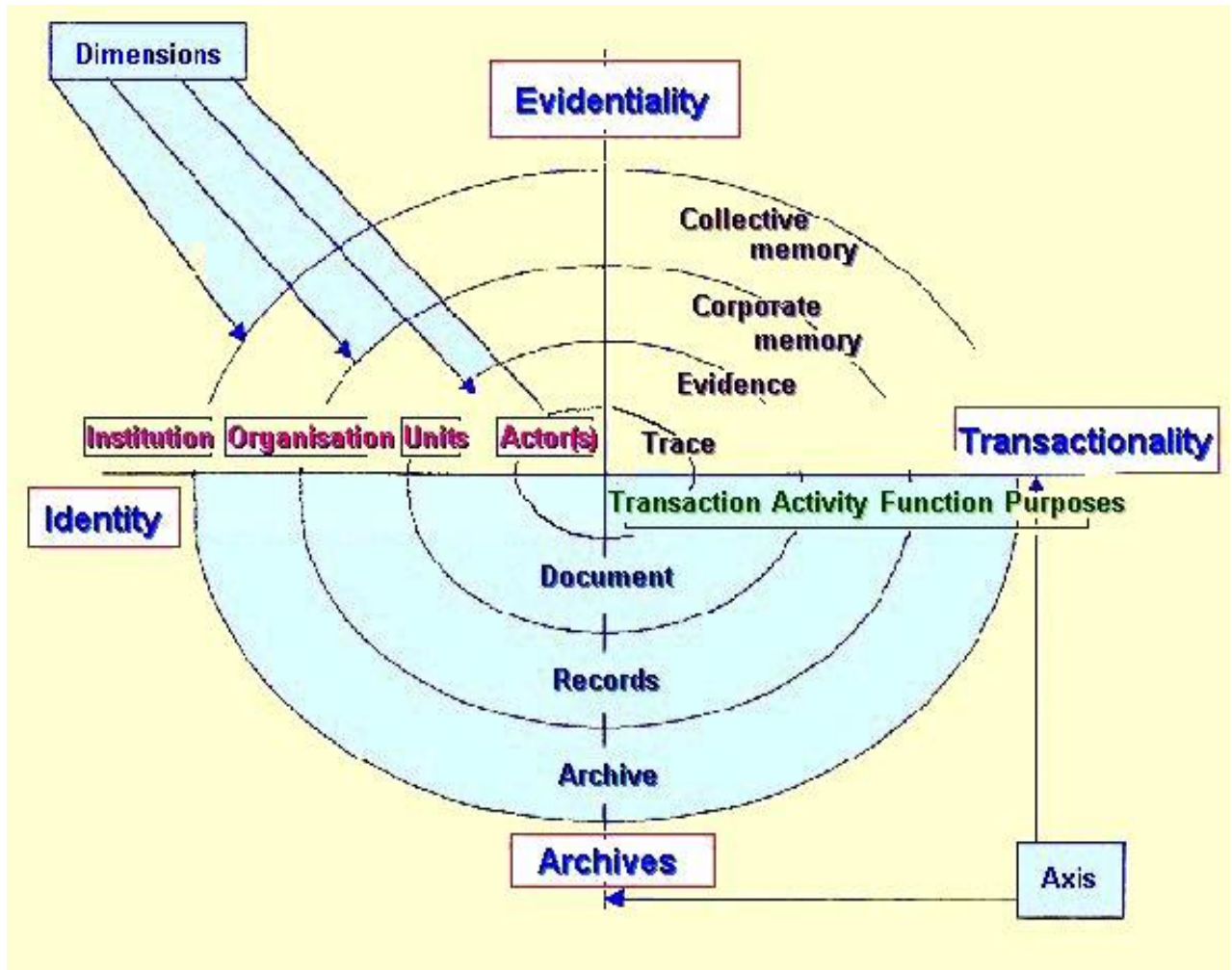


Figure 2.3: Records Continuum Model (Source: McKemmish S 1998)

On the differences between records life cycle and records continuum McKemmish(1997) states that a continuum is something continuous of which no separate parts are discernible, a continuous series of elements passing into each other. A records continuum perspective can be contrasted with the life cycle model. The life cycle model argues that there are clearly definable stages in recordkeeping, and creates a sharp distinction between current and historical recordkeeping. The records continuum, on the other hand, has provided Australian records managers and archivists with a way of thinking about the integration of recordkeeping and archiving processes.

McKemmish (1998) points out that records continuum thinking is concerned about ideas about the role of recordkeeping which flow from this unifying concept in five key areas. Firstly there is the role records play in governance, in regulating relationships between people and organisations, and as instruments of power and authority. Secondly, there is a link

between recordkeeping and accountability in its broadest sense of accounting to each other for what we do to each other, encompassing corporate, social, cultural, and historical accountability. Thirdly, there is the role that recordkeeping plays in constituting corporate and collective memory, especially insofar as records capture experiential knowledge. Fourthly there is the way in which recordkeeping can be understood as a kind of witnessing, providing evidence of both personal and collective identity. And finally, there is a way records function as sources of value-added information and can be exploited as assets with new records being created in the process.

It is from those ideas that the researcher find and the applicability of the continuum model to the management of records and archives, paper and electronic records that has contributed to the model's adoption as a theoretical framework for this study.

2.2.4 Model of Service Quality Gaps (The Gap Model)

Service quality is a concept that has aroused considerable interest and debate in the research literature because of the difficulties in both defining it and measuring it with no overall consensus emerging on either (Wisniewski, 2001). There are a number of different definitions as to what is meant by service quality. One that is commonly used defines service quality as the extent to which a service meets customers' needs or expectations (Wisniewski and Donnelly, 1996). Service quality can thus be defined as the difference between customer expectations of service and perceived service. If expectations are greater than performance, then perceived quality is less than satisfactory and hence customer dissatisfaction occurs (Lewis and Mitchell, 2000). The Gap model of service quality was developed by Parasuraman and the model identifies four specific gaps leading to a fifth overall gap between customers' expectations and perceived service (Zeithaml and Bitner, 2003). These five gaps include the following:

2.2.4.1 Knowledge Gap

The first gap in service quality occurs when management fails to accurately identify customer expectations. It is referred to as the knowledge gap. Specifically, it is the difference in customer expectations and management's perception of customer expectations.

Customers have expectations for service experiences and they use them to measure against the perceived service performance in their judgment of service quality. It is essential, then that the managers or the service providers determine what those expectations are when

designing the service. The size of the gap is dependent on the extent of upward communication (from customers to top management), the number of layers of management, the size of the organization, the extent of marketing research to identify customer expectations.

2.2.4.2 Design Gap

The second gap is referred to as the design gap. It is measured by how well the service design specifications match up to management's perception of customer expectations.

The extent of this gap is dependent on management's belief that service quality is important and that it is possible, as well as the resources that are available for the provision of the service.

2.2.4.3 Performance Gap

Gap 3 represents the variation in service design and service delivery. Known as the performance gap, its extent is a function of many variables involved in the provision of service. Since individuals perform the service, the quality may be affected by such factors as skill level, type of training received, degree of role congruity (agreeability) or conflict, and job fit. Service recovery efforts along with extent of responsibility and empowerment also affect the size of this gap.

2.2.4.4 Communications Gap

The fourth gap is called the communications gap. It is the difference between what is promised to customers, citizens or being people being served either explicitly or implicitly and what is being delivered.

2.2.4.5 Gap 5

Gap 5 is the total accumulation of variation in Gaps 1 through 4 and represents the difference between expectations and perceived service. Furthermore, consumers evaluate perceived service along five quality dimensions. This five quality dimensions include:

2.2.4.5.1 Reliability

Reliability is defined as the ability to perform the promised service dependably and accurately. In other words, it means doing what you say you will do. Customers or those being served have consistently stated that an organization's ability to deliver promises is the most vital factor to providing service quality.

2.2.4.5.2 Responsiveness

This is the willingness to help customers and to provide prompt service.

Customers judge an organization's responsiveness by assessing the amount of time it takes and the attentiveness that is offered in response to their requests, questions, complaints, and problems. Responding quickly to requests or complaints leads to a higher rating on this dimension.

2.2.4.5.3 Assurance

The third dimension of service quality is assurance which can be defined as employees' knowledge and courtesy and the ability of the organization and its employees to inspire trust and confidence.

2.2.4.5.4 Empathy

Empathy is defined as the caring, individualized attention an organization provides its customers.

2.2.4.5.5 Tangibles

The final dimension of service quality is tangibles. Tangibles are defined as the appearance of physical facilities, equipment, personnel and communication materials such as records etc.

2.2.4.1 Importance of the Gap Model to the Study

The study is focused on identifying the importance of public service delivery that is satisfactory at Kisii County. One contributor to poor service delivery is poor records management. The county government aims to ensure needs of the people it serves are meant. Records management aims to ensure there is easy, retrieval and access to records, ability to prevent and track fraud and corruption, ease to make informed decisions, problem solving and decision-making and the protection of organisations against legal litigations (Marutha 2011).

Service quality gaps model emphasizes the importance of good service quality, how service quality can be measured and what factors to consider in evaluating public service quality.

The model touches on the importance of appearance of physical facilities, equipment, personnel and communication materials such as records, staff's skills.

The model will also enable the county in measuring the quality of services offered in line with measuring how good records management can help impact enhanced public service delivery.

2.3 Records Management

2.3.1 Definition of Records Management

There is no universally accepted definition of the term “records management”. This is an indication that the discipline of records management is dynamic (Yusof and Chell 1999:9). According to Taylor (1996:11) Records management is the discipline and organizational function of managing records to meet operational business needs, accountability requirements and community expectations. The ISO 15489 Standard on Records Management (International Organization for Standardization 2001) defines records management as the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including the processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records.

The benefits of effective records management, as listed by Blake (2005), include supporting efficient joint working and information exchange, facilitating evidence-based policy making and supporting the administration of data protection principles and effective implementation of Freedom of Information and other legislation through good organization of records. Other benefits include supporting accountability by providing reliable records of actions and decisions and knowledge management across sectors of government by making reliable information available for sharing, extraction and summarization. (Kemoni, 2008:299)

2.3.2 Records Management in Government Institutions in Kenya

Records Management's primary concern is the efficient, effective and economical management of information. The guiding principle of Records Management is to insure that information is available when and where it is needed, in an organized and efficient manner, and in a well-maintained environment. (Bowen 2006)

Bowen (2006) further states that in today’s litigious society Records Management is more important than ever but unfortunately is still overlooked and under-funded at all levels of government. A sound records management program does not cost, it pays. It pays by

improving customer service, increasing staff efficiency, allocating scarce resources, and providing a legal foundation for how an agency conducts its daily mission.

According to Wamukoya (2000:48) government institutions face various challenges with regard to the management of records. African countries have tried to undertake civil service reforms but they have not been successful as anticipated. Shepherd and Yeo (2003) note that these reforms cannot be fully achieved without proper, reliable and effective records management programs. This is based on the fact that records play a critical role in service delivery. For instance, according to Wamukoya and Mutula (2005), records play a central role in combating vices such as corruption, promoting accountability, good governance, transparency and protection of citizens' rights. As such, any governments should support sound records management programs as a priority areas in its ministries.

Public Procurement Oversight Authority in their Records Management Manual (2010) noted this "Poor procurement record keeping has been identified as one of the impediments to the procurement process. Often procurement files are incomplete and fragmented so that crucial procurement information is spread across numerous files. The situation is often compounded by the failure to integrate procurement record keeping with the broader records management function. For procurement reforms to succeed, record keeping weaknesses must be addressed."

According to Kemoni (2008:256) and Ketelaar (1992:5) records that are well preserved and accessible to the people are as essential in a free democracy as government of the people by the people, for the people because records are not only tools of the government, not only sources for historical research, but access to public archives gives the people the possibility to exercise their rights and to control their governments, its successes, its failures.

With that in mind over the years records management in Kenya has been taking slow but promising steps towards improvement. The government is seeing the need for proper records management, reasons to protect and properly handle records and the importance of hiring qualified staff to manage these records

Kenya's Constitution (2010) gives citizens the right of access to government information, and this has resulted in growing interest in Freedom of Information (FOI). The Constitution also contains an FOI provision through FOI Bill 2007 under article 35(Access to Information)

records management is recognised as to providing a vital underpinning to any FOI scheme and even recommends the setting up of regulations for records management by FOI Commission.

2.3.3 Records Management Practices in Kenyan Public Institutions

According to Ngulube (2000:164) Records management is concerned with achieving economy and efficiency in the creation, maintenance, use and disposal of records during their entire life cycle. In spite of records management significance in government ministries, studies by the Records Management Trust (2003) and Mnjama (2007) suggest that records management programs in African countries are largely characterized by either collapsed systems or are in a state of disarray. They also note that poor records management programs in these countries have become impediments to development since they contribute to corruption, lack of accountability and poor governance. Their studies recommended that records management programs should be prioritized by any civil service if the country is focused on development. Shepherd and Yeo (2003) corroborate this as they add that records proof compliance or non-compliance with laws, rules and procedures.

Other than trained people, records management programs require procedures, infrastructure and policies. Procedures define roles and performance targets; reflect required knowledge and skills among staff and are a means of communication, (Robek et al: 2007). Kennedy and Schauder (2000) recommend that manual records be stored in such a way that they can easily be retrieved because the main reason why records are kept is for future reference. In keeping with internationally accepted good records management practices, the Kenya National Archives and Documentation Service (KNADS) is the primary agency with legal responsibility for government records.

A compliant records management program is necessary for organizations to proactively and progressively manage all data, media and information. As the number of laws and severity of punishment governing records management continues to increase, it becomes even more paramount that organizations follow best practices for proper records management. Organizations need to demonstrate “good faith” intentions to follow these best practices consistently and accurately. An organization with a solid foundation of proven successful records management practices will preserve the right information for the correct length of time, Meet legal requirements faster and more cost effectively, control and manage records

management storage and destruction fees, demonstrate proven practices of good faith through consistent implementation, archive vital information for business continuity and disaster recovery, provide information in a timely and efficient manner regardless of urgency of request, use technology to manage and improve program, integrate policies and procedures throughout organization, establish ownership and accountability of records management program, arrange for continuous training and communication throughout the organization, project an image of good faith, responsiveness and consistency, review, audit and improve program continuously (Mountain: 2012). In Kenya, there also are laws enacted through parliament to govern the management of records and other standards, rules and procedures governing how public records are to be governed.

2.3.4 Records Management Program

Records are a basic tool of government administration. Records provide information for planning and decision making, form the foundation for government accountability, and are often subject to specific legal requirements. Records are essential for effective and efficient administration, but if poorly managed they can become a liability, hampering operations and draining resources. An effective records management program helps an organization get the most out of its records. It also helps limit costs and the risks that can come with poorly managed records (Norris, 2002:1). An effective records management program should capture all records management processes and ensure there are policies, procedures and skilled personal in charge of ensuring all procedures, policies and standards are adhered to. These processes include:

2.3.4.1 Records Creation

According to Norris (2002:1), many records management programs in manage existing records well. Unfortunately, records management often is not effective during the time that records are being created. This can lead to redundant records, lack of clearly identified official copies, and insufficient records for audits or litigation. An effective records management program is one that ensures that all records created are the ones needed and records not essential are not captured. Effective records creation entail ensuring that records are sufficient for audits, unneeded records and copies are reduced, records are available for litigation, public records management standards, laws and procedures such as The Public Archives and Documentation Service Act, Cap 19 and ISO 15489 and other professional standards are used in records creation.

2.3.4.2 Records Retention and Disposition

Proper records retention and disposition is the key to an effective records management program. It ensures that records are present when needed for litigation, audits, day-to-day business purposes, or historical research, but that unneeded records do not take up costly storage space (Bowen 2006:7) According to the National Archives of Australia (2000), at the heart of a legally compliant records management program is the records retention schedule. This policy guides on how long records are supposed to be kept and when to be disposed. This serves as the platform for protecting organizational records as well as the best method to avoid litigations and to control records program costs. Kennedy and Schauder (2007) indicate that records retention schedules enable organizations to meet regulatory requirements and control the costs of records storage through disposing records at the end of their business life

Records disposition refer to the actions that are associated with implementing decisions about the retention or destruction of records. The degree to which public management activities are performed depends in part, on the underlying records infrastructure. Where the infrastructure is strong and effective the records management system is underpinned by policy and programmes on records disposition. (Balasu and Akotia 2012:3). Records disposition refer to the actions that are associated with implementing decisions about the retention or destruction of records. It also includes migration and transfer of records to new storage locations, custodians or owners (AS 4390, 1-, 1996).According to Norris(2002:8) a good records retention and disposal policy or program is determined if archival records are identified early in their life cycle, retention schedules are adopted and used in the normal course of business, records are systematically disposed of, electronic records are retained and disposed of according to the retention schedules, plans are in place to ensure that electronic records continue to be accessible following technology changes and disposition is routinely documented. Besides supporting accountability and defence against litigation, efficient disposition systems promote effective records retrieval, help to avoid inadvertent destruction and eliminate cost of storing and maintaining unwanted records. From an archives perspective, the programme protects quality and integrity of future archival accessions. (Balasu and Akotia 2012:5)

2.3.4.3 Records Storage and Maintenance

One sure sign that an organization has an effective records management program in place is that it stores and maintains its records securely and efficiently. Cost-effective, secure storage systems that provide quick and rapid retrieval will help ensure the ready availability of records in case of litigation and audits, as well as for future reference use especially when providing services to the public. If records do not survive for the period that they are required for business or accountability purposes, agencies and the wider government may be exposed to unacceptable levels of risk and potentially costly consequences. If records sustain damage during their period of active use due to poor storage conditions, the government may incur significant expenses to repair items that are subsequently transferred into archival custody. Storing records appropriately for their retention periods is therefore a good investment for government institutions (Commonwealth 2003:4)

Government institutions should be aware that some of the records they create will have archival value and must be transferred to a public archival institution as soon as they are no longer required for immediate business purposes or identified to contain enduring value. It is important that government institutions store those records in the best possible conditions while they are still in active use to ensure their long-term preservation. The management and monitoring of records storage services should be undertaken by staff with the relevant skills, knowledge and level of authority. Commonwealth (2002:11) points the following as some of the factors an institution should consider to ensure proper storage of records:

- i. Location: Sites, facilities and areas for records storage should be located away from known hazards and be convenient to user needs.
- ii. Environmental control: Records should be stored in environmental conditions that are appropriate to their format and retention period.
- iii. Shelving and packaging: The shelving, equipment and containers for records storage should ensure that records are secure, accessible and protected from deterioration.
- iv. Maintenance and security: Records storage facilities, areas and records should be maintained to safeguard their security, condition and accessibility.

- v. Protection from disaster: Disaster management programs should be established and maintained to ensure that risks to records are minimised and managed appropriately.
- vi. Careful handling: The retrieval and use of records in storage areas should be subject to controls that prevent damage and deterioration.
- vii. Accessibility: Records should be stored and controlled in facilities where they can be identified, located and retrieved easily.

2.3.4.4 Records Access and Retrieval

Organizations create, retain, and preserve records so that they can be used. If a user cannot locate a document, it might as well be non-existence. As such, an effective records management program should have in place systems; manual or automated, that can locate and retrieve records in a reliable and timely fashion to meet the needs of users.

All the above functions and activities require an implemented records management policy. Records should be managed by the governmental body in terms of the broad policy and guidelines. In Kenya there are policies enacted through parliament such as Public Archives and Documentation Act Cap 19, Records Disposal Act (Cap 14) among others. However, essential for each body to establish its own records management policy to link its unique processes and procedures to the requirements of the laws in the. The policy should not only be in line with the Acts, but should also link up with the institutions overall mandate, mission and objectives. The records management policy provides the framework within which a governmental body affirms its commitment to create authentic and reliable records.(Arts and Culture Republic Of South Africa 2006). The South Africa Arts and Culture Manual (2006) further identify the following as the factors to consider so as to ensure the objectives of a records management program are met. These factors include, full understanding of the body ;the nature of its activities, its mission, objectives, components and operations, level of staff awareness of records management, what records are held and the activities to which they relate, an inventory of record containers (cabinets, shelves, etc.), records documentation (file lists, indexes, etc.),where copies of records exist, date range of the records; frequency of consultation of the records, tracking systems for the records, current records management system and competence levels of records management staff, record keeping costs identification of records that should be sustained for the long term.

2.3.5 Indicators of Good Records Management that can Enhance Public Service Delivery

Some of the indicators of a good records management program include the factors such as when all staff create and keep full and accurate records, all staff can find records when they need to all staff are aware of the organisational policy/rules for managing email, for managing corporate data on mobile devices or storing data on removable storage devices, records are stored securely and protected from unauthorised access, alteration, deletion or loss, records in both paper and digital systems are disposed of accountably, records are captured into official recordkeeping systems, all recordkeeping requirements for high risk business processes are identified and documented, all business systems that create and keep records have been identified and all business systems that keep records of high risk business processes have been assessed for recordkeeping functionality.

2.4 Conceptual Framework

Smyth (2004) defines conceptual framework as a set of broad ideas taken from relevant fields of enquiry, intended to assist a researcher to develop awareness and understanding of the situation under scrutiny and to communicate. It also aims to assist the researcher organize her/his thinking, and explain relationship among interlinked concepts. In this study

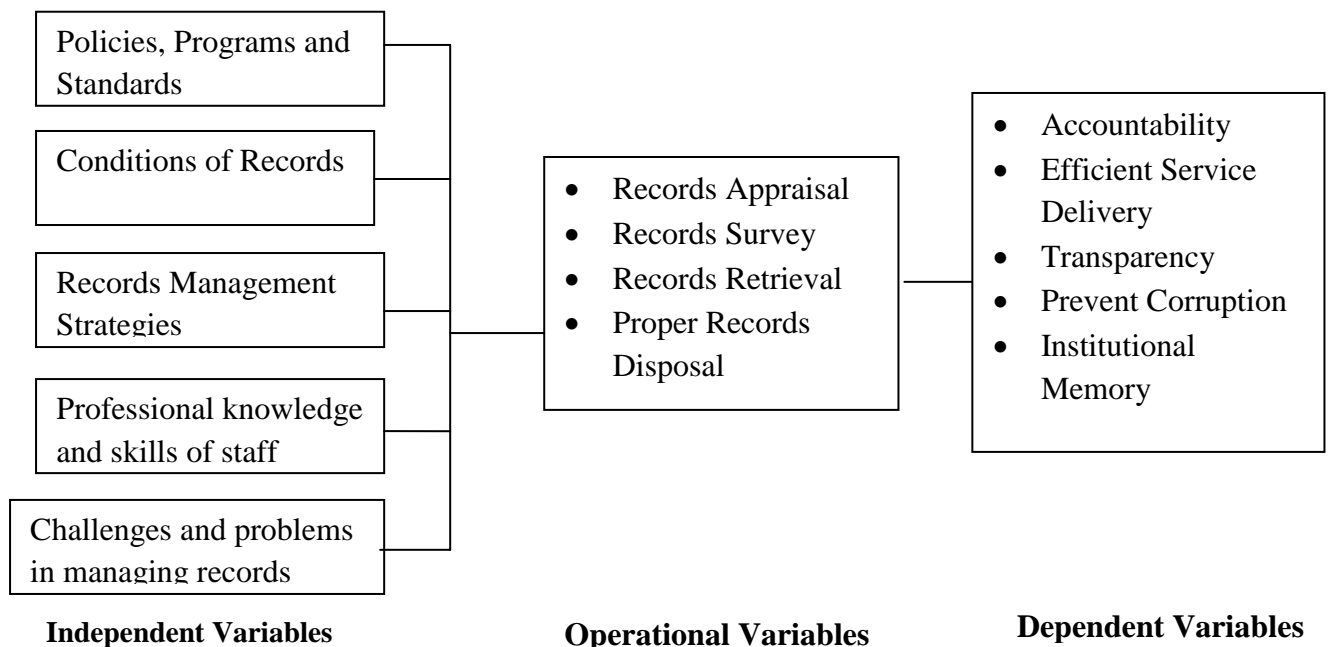


Figure 2.4 Conceptual Framework (Source: Researcher)

2.4 Summary

In summary, this chapter gave an overview of related literature in records management. It covered the contextual overview of records management and provision of public service delivery. It gives an overview of what has already been researched in the field of study and the opinions and findings from other researchers and scholars in the field. It discusses the purpose of records management in the public sector, records management models, records management, service delivery model, records management policies and its element such as record access and preservation. Literature was also reviewed to determine the benefit of proper records management, the nature or characteristics of a dependable record, and role of records management in promoting public service delivery. Literature about public sector records management practice, appraisal, retention and disposal of records was also reviewed.

CHAPTER THREE

RESEARCH METHODOLOGY

3.1 Introduction

In this chapter the researcher discusses the research methodology adopted for the present study. It presents the study population, sampling, data collection instruments, data collection procedures and data presentation, analysis and interpretation techniques. Ngulube (2005:128) indicates that the key elements of a research design are defining the population and how it was obtained, sampling procedures, instrumentation used, procedures employed in gathering and processing data and the statistical treatment of the data (Ngulube 2005: 128).

3.2 Research Design

This study used the case study approach and quantitative approach supplemented with the use of questionnaires and interview methods in data collection. Schell (2010) observe that the case study method is the most flexible of all research designs, allowing the researcher to retain the holistic characteristics of real-life events while investigating empirical events. In the context of this study the case study approach will allow concentrated focus on public service provision and closer examination on how records are handled in Kisii County Government offices.

A qualitative approach was used in this study because it deploys a wide range of interconnected methods endeavoring always to obtain a clear perception of the subject matter (Kothari 2008). The nature of this study is exploratory and therefore quantitative approach was more applicable and especially since it involves small numbers of people.

3.3 Study Population and Sampling Procedure.

3.3.1 Population

Target population is the complete set of individuals, cases or objects with some common observable characteristics. It is a group of individual persons, objects or items from which samples are taken for measurement, for example, a population of teachers, banks or students. Population therefore refers to the larger target group to which the research seeks to focus on. In defining a population for study, such a population must be specific enough to provide readers a clear understanding of the applicability of the study to a particular situation

affecting the population and also build an understanding of the same population. (Ambira 2010).The population which was studied includes managers of various department, registry staff, records manager, and staff in every department or division in Kisii County Headquarters. This is because this is the population dealing with the management of records, use records or generally create or used records in making decisions that affect service delivery at the county.

3.3.2 Sampling

Sampling is the process of selecting units for example people from a population of interest so that by studying the sample, we may fairly generalize our results back to the population from which the sample was chosen (Trochim, 2005:122). Mugenda and Mugenda (2003) define a sample as a “fraction of population and it is also referred as a proportion obtained from the large population”. A research sample is expected to mirror the population from which it comes. However, there is no guarantee that any sample will be precisely representative of the population from which it comes (Mendy, 2007).In this study the sample will come from the above mentioned departments.

3.3.3 Sampling Technique

Sampling is “the selection of research participants from an entire population, and involves decision about which people, setting, events, behavior, and/or social process to observe” (Blanche, Durrheim and Painter 2006:49). The study used purposive sampling and snow balling techniques to come up with the study sample. Ambira (2010) indicate that in purposive sampling the researcher handpicks subjects to participate in the study based on identified variables under consideration. Purposive sampling technique was used in this study in selecting management officials and heads of departments for interviewing and the divisions they headed it was also used in selecting members of staff who have direct link to management, use or creation of records and whom questionnaires were administered to. Purposive sampling involves picking on a sample basing on the researcher’s judgment to suit his research needs. The interviewees chosen were those with a direct role in provision of public service and management of records.

3.3.4 Sample Size

The sample size entails the number of participants chosen from the whole population. The researcher focused on the population of the study when drawing a sample. The selected members or part of the entire population is called the sample (Ngulube 2005:130). The sample drawn made a sample size. The sampling method determines the validity and reliability of the research conclusion (Ngulube 2005:132).

The study utilized purposive sampling in selecting the division the research will cover within the county headquarters for interviewing and also for administering questionnaires. By using purposive sampling from the twelve departments the researcher picked and focused on nine departments for the study. These eleven departments include: Human Resources Department, Finance and Administration Department, Records Management Department, ICT Department, Land, Housing, physical and Urban Development Department, Road, Public Works and Transport Department, Cultural, Sports, Youth and Social Services Department, Education Labor and Manpower Development, Agriculture, Livestock, Fisheries and Cooperation Development, Trade Industry, Finance and Economic Planning and Health Services. Purposive sampling involves picking on a sample basing on the researcher's judgment to suit his research needs. Purposive sampling was used to select the nine departments because they are mainly involved with the management, creation and use of records and also provide services to the public thus meeting the objectives of the study.

Using the table prepared by Krejcie and Morgan (1970) on how to determine a sample size from a given population, the researcher was able to come up with a sample size to be used in the research. The table provided by Krejcie and Morgan (1970) (See Appendix III).

Table 3.1: Distribution of Sample (n=119)

Category	Population	Sample	Percentage (%)
Top Management	12	12	100.0
Action Officers	34	28	82.4
Registry Staff	24	19	79.2
Records Managers	5	5	100.0
Clerical Officers	44	36	81.8
TOTAL	119	100	84.0

3.4 Data Collection Instruments

These refer to the tools used for collecting data. In the context of this study the instruments for data collection were interviews and administering of questionnaires. Atkinson and Coffey (2003: 420) advocated the use of more than one data collection method in conducting research, a method they refer as the triangulation technique. The triangulation technique enabled the researcher to use a combination of two methods and thus was able to capitalize on the respective strengths of the methods used, or to counteract the perceived limitations of each.

3.4.1 Interviews

Interview is a method of data collection, which is explained as a dialogue between two or more people. It is also a special case of social interaction. It involves direct contact with a participant who is asked to answer questions relating to the research problem (Bless and Smith 2000:108). The interview schedule for the respondents consisted of both open-ended and closed-ended questions. Interview method is very flexible and can be used to collect large amounts of information. Therefore the interviewer can hold the respondent's attention and be able to clarify difficult questions. They can guide interviews, explore issues, and probe as the situation requires. In this study the researcher used interviews to supplement data gained from the questionnaires. An interview schedule was prepared and pre-tested before being used.

3.4.2 Questionnaires

Questionnaire is a tool for collecting and recording information about a particular issue of interest. It is mainly made up of a list of questions and clear instructions and space for answers or administrative details (Kirklees, 2012). The reason for using a questionnaire is that the opinions of respondents can be obtained in a structured manner. Questionnaires are the most common method applied to diagnose the functioning of institutions. Questionnaires will be submitted to members of staff and top management since it would be a challenge to interview all members of staff. Dyk (2000:116) argues that a questionnaire is designed with a specific aim in mind, containing relevant items (questions) to determine the connection, cause or consequence between various aspects/variables in order to determine the current or potential state of affairs in respect of the uniqueness of the subject being researched.

The advantages of using questionnaires in research includes allowing a wider range and distribution of samples, providing an opportunity for respondents to give frank answers and allowing greater economy of effort (Kemoni 2007:139). Questionnaires were completed at the leisure of the respondents and help eliminate the variation in the questioning process due to its fixed format.

3.5 Data Processing and Analysis

According to Kemoni (2007:164) data analysis involves reducing to manageable proportions the wealth of data that had been collected or had become available. Identifying patterns and themes in the data and analyzing the data will involve both qualitative analysis, which include processes such as thematic and content analysis and quantitative or statistical analysis. The aim of data analysis is to transform data into an answer to the original research question. (Kemoni 2007:164). Data analysis can be divided into three stages, namely coding data, entering data and cleaning data (Durrheim 2002:47). Kothari (2004:122) points out that data analysis implies editing, coding, classification and tabulation of collected data, so that it is suitable for analysis.

In this study, frequency distribution tables were used to present quantitative data obtained from questionnaires. Newman (2000:317) points out that frequency distribution tables are the easiest way a researcher can use to describe numerical data of one variable. The researcher also used tables, which have titles, headings (label of column and rows), the body (information offered), margins (sums of columns and rows) and explanations, which will be information explaining the key features of the table. Data of a qualitative nature obtained from the interviews was content analyzed, presented in the form of frequency distribution tables in other cases and figures were used in data presentation also.

3.6 Summary

Chapter three presented the research design of the study. The topics discussed included the research methodology, sampling and sampling technique, study population, data collection instruments, and data processing and analysis. Chapter four will present the findings of the study after the methods and tools discussed in chapter three were used to collect data.

CHAPTER FOUR

DATA PRESENTATION, ANALYSIS AND INTERPRETATION

4.1 Introduction

This chapter presents analysis and interprets the findings of the study. Data was collected through administering of questionnaires and face-to-face interviews. Data presentation is descriptive in nature and analysis has been done according to study objectives. The presentation of the data has been done according to the way the questions were structured on the questionnaires and interview schedule following the study. Data obtained was presented in graphics and Tables. Data from interviews was content analysed, that is, organized around themes and presented in a descriptive manner. Apart from the use of tables, figures were used to vary the presentation of data. Percentages were rounded up to one decimal place. The major findings of the study are presented in this chapter under sub-sections in consideration of the research objectives and research questions. These sub-sections include the following; existence and adherence to records management program, policies and standards governing records management at the county, the nature, types and conditions of records adopted from previous local authority, the strategies used in the management of records at the county, professional knowledge and skills of staff responsible for managing records at the county headquarters and challenges experienced in the management of records at the county in ensuring effective records management.

4.2 Records Management Policies and Standards Governing Records Management at the County

The first objective of the study was to find out if there was a records management program in place and what it covered. It was also to identify the policies and standards governing records management at the county and if they are adhered to. A records management program is a planned, coordinated set of policies, procedures, and activities needed to manage an agency's recorded information and it encompasses the creation, maintenance and use, and disposition of records, regardless of media or format (EPA 2010) From the above definition therefore, a records management program should have policies, procedures and activities involved in the management or records from their point of creation to disposition.

Question six and question seven (see appendix I) in the questioners administered and question four and five in the interview schedule (see appendix II) required the respondents to identify if the county had an implemented records management policy and standards. Item six on the questionnaire and item four on the interview schedule required the respondents to indicate if the county headquarters had a records management policy with a Yes or No answer and this was followed by question seven which required them to indicate records management areas covered by the policy.

All the registry staff (100%) and records managers (100%) agreed there was a records management policy in place. Two (16.7%) out of the 12 respondents in the top management indicated No meaning they were not aware of the existence of a records management policy. 4(14.3%) of the action officers also picked the No option out of the 28 respondents in that category. In the clerical category also 4(4.9%) respondents ticked the No option. Only eight respondents did not tick any of the two options provided by the question. Table 4.1 provides a summary of the feedback as per the categories of the respondents. The responses are summarised in the below

4.2.1 Feedback on if the County has a Records Management Policy

Table 4.1 shows that 82(89.1%) of the respondents were aware that there was a records management policy in the county headquarters while 10(10.9%) respondents were not aware there was a records management policy in place or knew there was no implemented records management policy at the county.. Eight (8%) respondents did not indicate both options on the questionnaire.

Table 4.1: Feedback on if the County has a Records Management Policy (n=100)

FEEDBACK	NO. OF RESPONDENTS	PERCENTAGE (%)
Yes	82	89.1
No	10	10.9
Total	92	100

4.2.2 Feedback on if the County has a Records Management Policy on each Category

Table 4.2 shows that only registry staff and records managers are aware of a records management policy whereas only 66.7% of the top management know of a records management policy being implemented. Among action officers only 75% are aware of the records management policy and among clerical officers 5.6% of the respondents do not know if there is a records management policy. From the interview the researcher was able to clarify that the policy is draft form and adopted from the previous system of government i.e Kisii Municipality and modifications made to it but it has not been implemented full yet. Hence the reason some are not aware of its existence even though it was shown to members of staff who attended the records management for the county members of staff.

Table 4.2: Feedback on if the County has a Records Management Policy on each Category

Category	Yes (%)	No (%)	Did not Indicate (%)
Top Management(n=12)	66.7	16.7	16.7
Action Officers(n=28)	75	14.3	10.7
Registry Staff(n=19)	100	0	0
Record Managers(n=5)	100	0	0
Clerical Officers(n=36)	86.1	5.6	8.3

4.2.3 Aspects Covered by the Records Management Policy

Question seven in the questionnaire (see appendix I) further expounded on question 6 requiring the respondents who cited “Yes” to also indicate areas the records management policy captures. Item seven asked the respondents to cite the following if covered by the policy. The aspects included if the policy; has recordkeeping best practices, makes reference to records management standards, has clearly outlined responsibilities of each records management personnel in the county headquarters, provides guidelines on how records management such as disposition, filing, storage etc. ought to be carried out, does cover electronic records management and any other element not in the ones in the choices provided. The respondents were allowed to pick more than one option and write any other item not provided in the choices. Table 4.3 shows the number of respondents in each category:

From the study the most cited aspect were; clearly outlined responsibilities of each records management personnel in the county headquarters and that the policy does provide guidelines on how records management such as disposition, filing, storage etc. ought to be carried out. Each was cited by 81(81%) respondents. The least cited was that the policy does it cover electronic records management which was picked by 22(22%) respondents with most of them being registry staff at 60.7%. These variations indicated that the policy has not been fully understood or read in full by the respondents especially by other members of staff in non-records related fields such as action officers. For example on recordkeeping best practices data varied as follows, 48(58.5%) of the respondents indicated that the records management policy in the county headquarters does cover recordkeeping best practices. There were 82(100%) respondents who had answered the first question. Of the 82 respondents 2(2.4%) respondents they were not aware of the contents of the policy since they had not read the policy. 32(39.0%) respondents indicated the policy did not cover recordkeeping best practices. Table 4.3 provides a summary of the findings below:

Table 4.3: Aspects Covered by the Records Management Policy

Aspect	Top Management (n=12)	Action Officers (n=28)	Registry Staff (n=19)	Record Managers (n=5)	Clerical Officers (n=36)
Recordkeeping best practices	7	19	8	4	10
Reference to records management standards	0	1	15	4	5
clearly outlined responsibilities of each records management personnel in the county headquarters	7	20	19	5	30
Provides guidelines on how records management such as disposition, filing, storage etc. ought to be carried out	7	21	17	5	31
Does it cover electronic records management	1	0	17	2	2
Other, please specify	“Not read it”(1 respondent)	0	0	0	“Not seen it”(1 respondent)

4.2.3.1 Recordkeeping Best Practices

Using record keeping best practises as the example on the variations observed among the respondents, it was observed that sixty percent of the respondents indicated the policy covered best recordkeeping practises while 38% indicated that the policy did not touch on best practises. Five percent were not sure meaning they had not read or seen what the policy entailed. The figure below shows the response on if the policy covers recordkeeping best practises

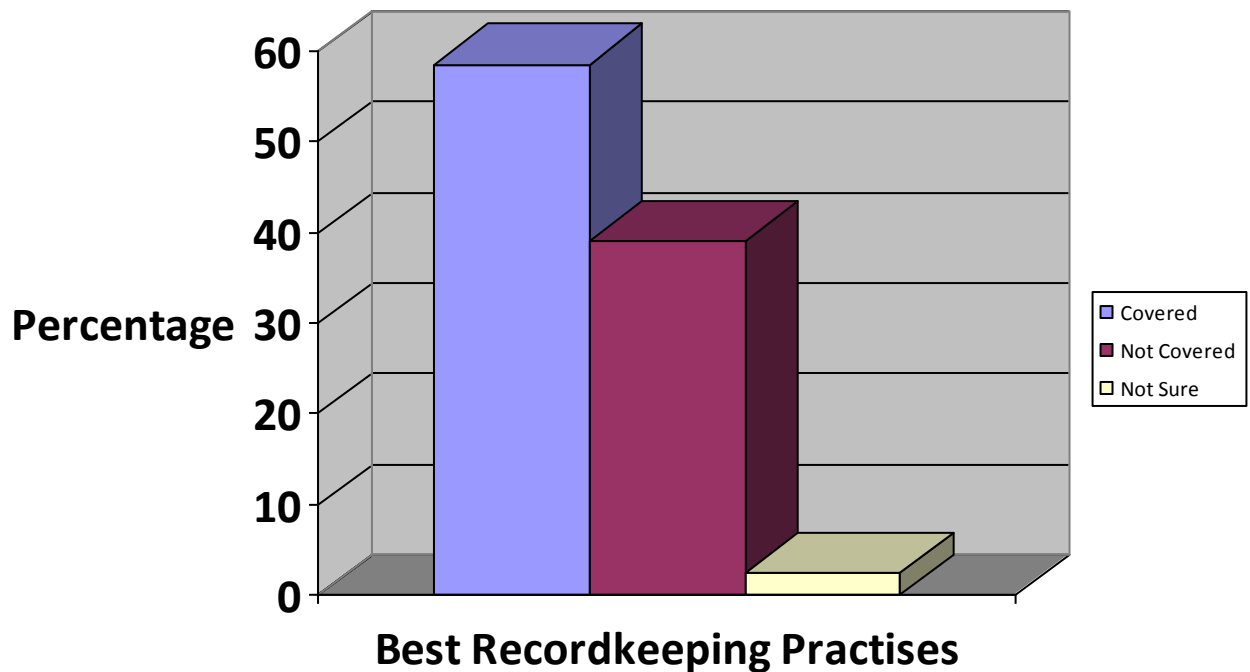


Figure 4.1: Variations on Records Management Policy’s Element of Recordkeeping Best Practices

4.2.3.2 Reference to Records Management Standards

There are two categories of records management and they are either international or national records management standards. Some standards are general while others are specific for example electronic records, microforms or audio-visual records. Others cover certain specific

records management functions for example disposition, retention and filing of records. Some of the standards include:

- i. The Public Archives and Documentation Services Act, (CAP 19)
- ii. ISO 15489 Documentation and Records Management Standard
- iii. The Records Disposal Act (CAP 14)
- iv. Government Financial Regulations and Procedures, Chapter 23, Section 4:2-5 among other Kenyan records related circulars

The findings indicated that 25(30.5%) respondents knew the policy had references of records management standards whether national or international. 57(69.5) respondents did not know whether the policy made references to the local and international standards and 2(2.4%) do not know the content of the policy. Most of those who are aware are those who deal with records management directly for example records managers and registry staff .This could be due to lack of awareness among non-records management related staff members on the existence of records management staff Figure 4.2 and Table 4.4 provides the summary of the findings:

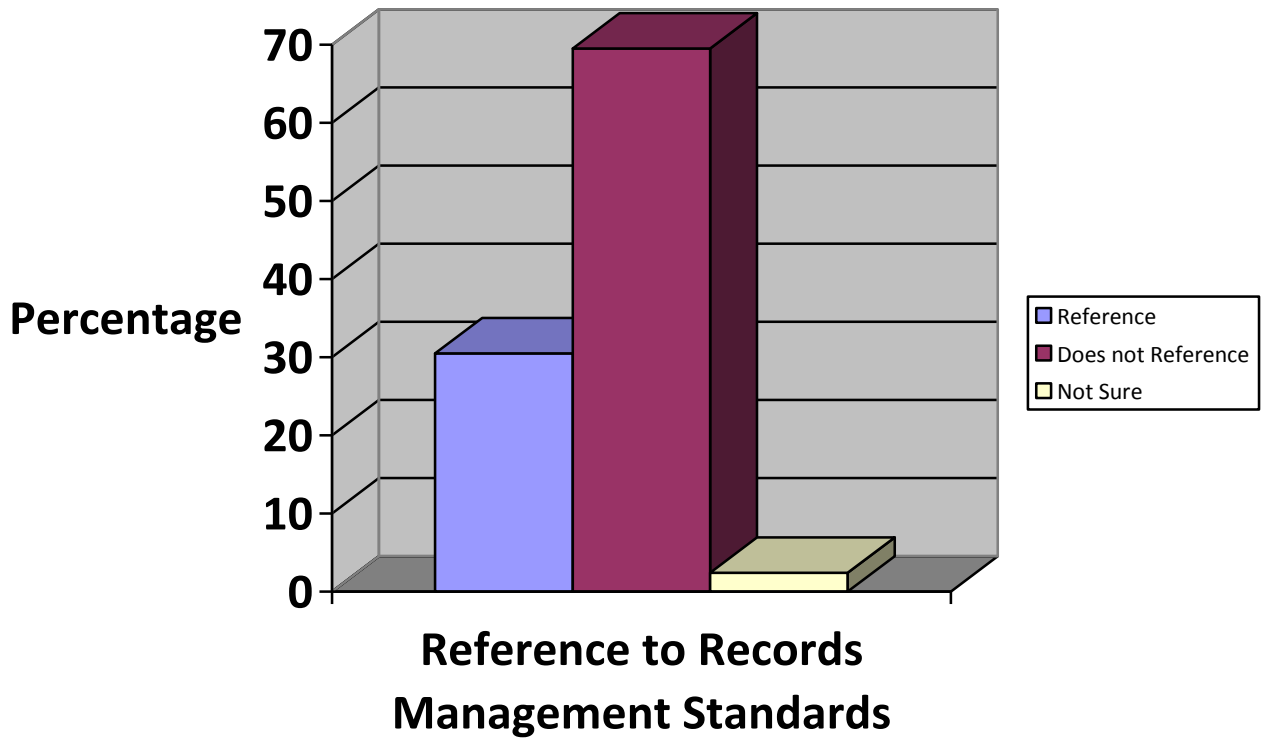


Figure 4.2: Reference to Records Management Standards

Table 4.4: Reference to Records Management Standards (n=82)

Category	Reference to Standards	No Reference
Top Management(n=10)	0%	100%
Action Officers(n=25)	4.8%	95.2%
Registry Staff(n=19)	78.9%	21.1%
Records Managers(n=5)	80%	20%
Clerical Officers(n=33)	16.1%	83.9%

4.2.3.3 Elements of the Records Management Policy

From the analysis above it is evident that 81(98.8%) respondents agree that the policy does cover clearly outlined responsibilities of each records management personnel in the county headquarters and it does provides guidelines on how records management such as disposition, filing, storage etc. ought to be carried out.48 (58.5%) of the respondents agree that the policy does cover recordkeeping best practices at the county. Only 25(30.5%) of the respondents identify that the policy does make reference to known local and international records management standards. Only 22(26.8%) of the respondents agree that the policy does cover electronic records. Of the total 82 respondents who had agreed that the county headquarters does have a policy 2(2.4%) respondents have not yet read or seen the policy. The table 4.5 below summarizes the respondents’ response with regard to what the records management policy covers.

Table 4.5: Elements Covered in the Records Management Policy (n=82)

Elements	Total Response	Percentage
Recordkeeping best practices	48	58.5
Reference to records management standards	25	30.5
clearly outlined responsibilities of each records management personnel in the county headquarters	81	98.8
Provides guidelines on how records management such as disposition, filing, storage etc. ought to be carried out	81	98.8
Does it cover electronic records management	22	26.8
Other, please specify	2	2.4

4.3 The Nature, Types and Conditions of Records Adopted from Previous Local Authority

Before the enactment of the Constitution in 2010 which saw devolution system of government therefore, leading to creation of county government, the systems of government at the grassroots levels were local authorities which were municipal councils or city councils. Kisii District was a municipal council which later transformed to county government. The

aim of this objective is to determine how records generated in the previous system of governance are being handled for they are part of the county government as sources of information, evidence, and institutional memory among others.

In order to find out the nature, type and conditions of records from previous system of government in Kisii County were captured by the items twelve, thirteen and fourteen of the questionnaire (see appendix I). In question number thirteen the respondents were to affirm Yes or No on whether the change from Kisii Municipal Council to Kisii County did affect the records generated while in municipal system of government. This question was directed to those handling records and their management directly. They included registry staff and records managers.

The total number of target respondents was 24(100%) which included 19(79.2%) registry staff and 5(20.8%) record managers respectively. Of the 24 respondents, 5(20.8%) respondents ticked Yes and 19(79.2%) ticked No. Question number 15 further required those who had picked Yes (20.8%) to explain further what status has changed. After doing a content analysis on the responds provided, 2 respondents explained that some records were lost especially during the transfer and rearranging of offices and departments. One respondent explained that some records were damaged and therefore needed repair or restoration and this occurred again during the transfer of the records from offices and departments. Two other respondents also explained that there was misfiling and mixing up of records do to a lack of proper recordkeeping practices in the previous system of government. The findings are as shown below in Table 4.6:

Table 4.6: Did the Change of Kisii from Local Authority to County Affect the Status of Records (n=24)

Category	Yes		No	
	No.of Respondents	Percentage	No.of Respondents	Percentage
Registry Staff	4	21.1	15	78.9
Records Managers	1	20.0	4	80.0
TOTAL	5	20.8	19	79.2

4.3.1 How Records from Previous Local Authorities are being managed

In order to be able to determine the current status of records generated when Kisii County headquarters was still under Kisii Municipal Council, the research through question 14(Appendix I) asked the respondents to pick on options provided concerning how those records were handled or being handled. The respondents were allowed to pick more than one alternative. The options provided included; whether preserved as archives, transferred to the current registries, destroyed, digitized and any other item not provided in the options. The highest number cited concerning how records from previous system of government are being managed is that those records were moved to the current registries which scored 23(95.8%). This was followed by preserved as archives which was cited by 15(62.5%) of the respondents. Three (12.5%) of the respondents cited that the records have been destroyed. Two (8.3%) of the respondents wrote the following on the ‘Other’ section; “there was a plan underway in partnership KNADS to digitize some of the records especially those of permanent value”. The table below summarizes the findings:

Table 4.7: How Records from Previous System of Government are being managed

Category	No. of Respondents	Percentage
Preserved as archives	15	62.5
Transferred to the current registries	23	95.8
Destroyed	3	12.5
Digitized	0	0
Other	2 respondents indicated “there was a plan underway in partnership KNADS to digitize some of the records especially those of permanent value”	8.3

4.4 The Strategies Used in the Management of Records at the County

In order to establish the strategies used to manage records at the county, the researcher included the item 15-24 in the questionnaire for registry staff and record managers (see Appendix I).The data obtained is presented under the following sub-headings:

- i. Records control/tracking
- ii. Records retrieval and access
- iii. Records retention
- iv. Records Disposal
- v. Disaster Management

4.4.1 Records Control/Tracking

Records are kept so that they can be made available to authorized users when required. Before a registry staff or records manager issues files or records he or she ought to ensure there is a system in place to ensure movement of those records and that they can be tracked from the point they leave the registry to the time they are returned and shelved or kept in their right place. Registry staff were asked to indicate whether they had systems or mechanisms for controlling the movement of records. All the 19(100%) respondents cited yes.

The respondents were further asked to indicate which tools they used in controlling file movement in their registries. This was from the options provide which allowed multiple citation. They included file tracking register, file tracking card, use of barcodes, and physical check of files in the storage areas. From the findings it the most used file movement control tool is the file tracking register (100%) which is used in all registries. The findings also indicate barcodes and computer systems are not used at all in the control of the file movement. File tracking cards are also used (78.9%) and physical check of files is also practiced in the registries by 89.5% of the respondents. Therefore only file tracking registers, file tracking cards and physical check of files is practiced by registry personnel in tracking movement of files in and out of the registries. The responses are as shown in the figure below:

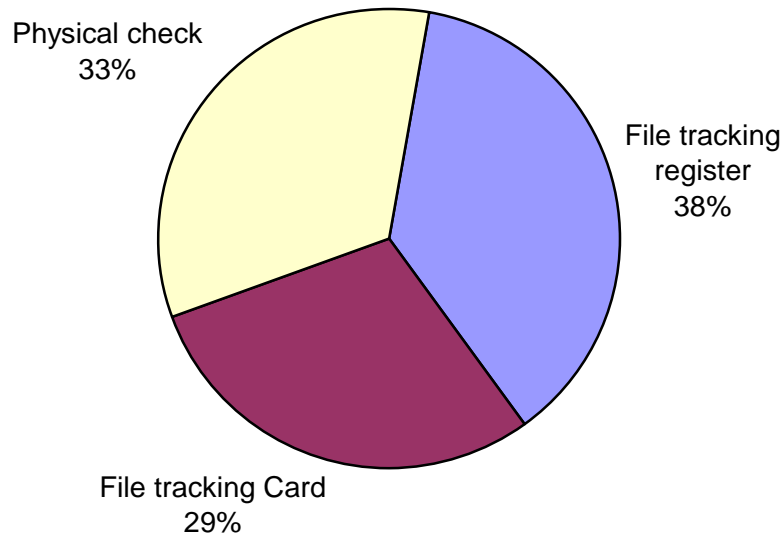


Figure 4.3: Record Tracking Instruments Used at the County Registries

4.4.2 Records Retrieval and Access

Records retrieval is the use of finding aids to make available to a user a record or file from its place of storage. It was noted the registries used only subject index as a retrieval tool. The registry personnel were asked if they experienced any problems in providing access to information to the users, 10(52.6%) indicated they experienced problems when retrieving and providing access to records for the users and 9(47.4%) indicated they experienced no challenges or problems. The figure below indicates the summary of the response.

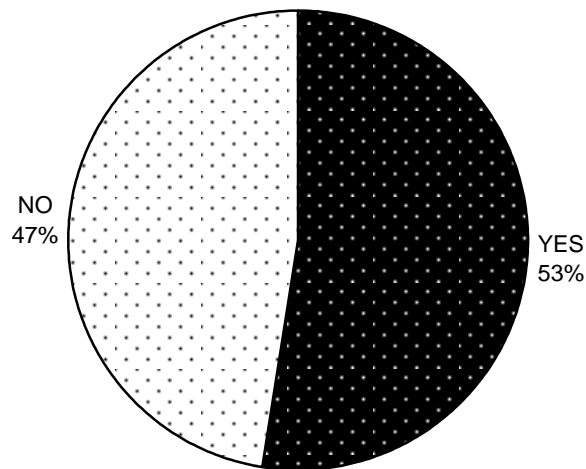


Figure 4.4: If Problems are Experienced by Staff when Providing Access to Information

4.4.2.1 Challenges Faced in Providing Access to Records

Those who responded with a yes on whether they experienced challenges in the provision of access to information, were further asked to indicate some of the problems they experience. The respondents were provided with a list of options (see question18 in Appendix I) and allowed to pick multiple responses.

According to the findings of the study, the most cited challenges included poor working conditions, lack of adequate facilities and equipment and retaining of files presented to action officers. These challenges were cited by all the respondents. The least challenge experienced is that of mix up of records whether current, semi-current or non-current due to lack of a records centre for semi-current records and an archive for permanent preservation of inactive records of enduring value. Table 4.8 provides a summary of the findings

Table 4.8: Challenges Faced in Providing Access to Records (n=10)

Problem Faced	No. Indicating Problem	Percentage
Poor working conditions	10	100
Lack of adequate facilities and equipment	10	100
Users do not understand roles and importance of the registries	8	80
Retaining of files by action officers	10	100
Registry staff lack adequate training	7	70
Lack of proper implementation of records management policy	8	80
Other(Mix up of current, semi-current and non-current records in the registries)	2	20

4.4.3 Records Retention

Proper records retention is the corner stone of an effective records management program. Records retention begins with records appraisal which is the process of determining the value of records which later transforms to the creation of a records retention schedule. The records retention schedule covers retention periods for records generated. All this is important if the retention schedule with retention periods are covered in a retention policy which provides guideline on how long records should be kept once created and what happens to those records once their retention periods are due. Question 20 and 21 of the questionnaire (see appendix I) yielded data relating to records retention in the county headquarters. The respondents were both records managers and registry staff.

When asked if the county headquarters does have a records retention policy, all the 24 respondents agreed by picking a Yes. Item 21 further asked if the policy covers all the three classes of records i.e. current, semi-current and non-current records. All the respondents agreed that the retention schedule does cover both current and semi-current records generated in the county. Ten (41.7%) respondents identified that the policy does cover non-current records (archives). This was mostly because most of those records were left to KNADS to determine the records disposition. Again this indicates that despite being one retention policy

it is not clearly understood by all records management personnel as expected. The respondents' views are as depicted below:

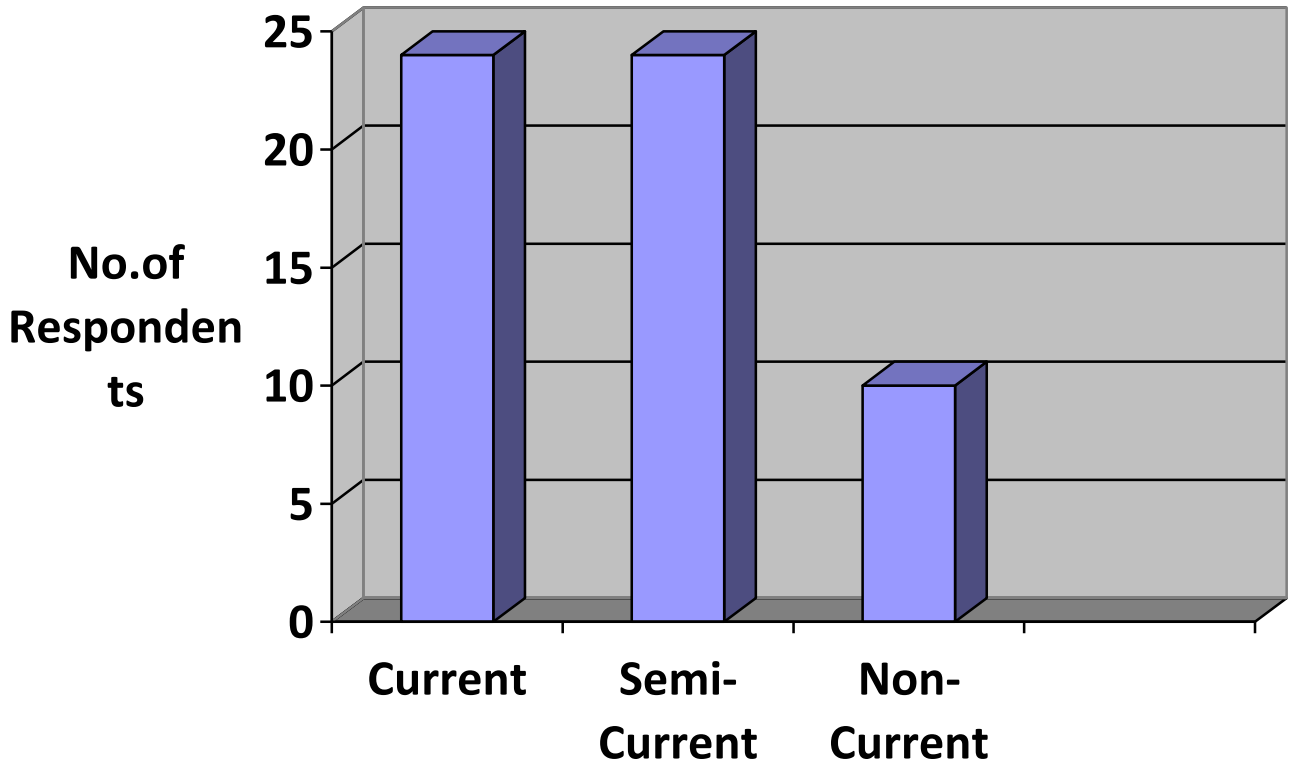


Figure 4.5: Classes of Records Covered in the Retention Policy

4.4.4 Records Disposal

Records disposal is the point in the records' life-cycle when they are either transferred to archives or destroyed. Records disposition occurs in various forms, namely physical destruction, transfer to an archival institution and migration to another medium such as microfilm or digitization (Kemoni 2007). Item 22-24 of the questionnaire (see appendix I). On finding out whether the county headquarters do have a records disposition program all the 24(100%) respondents indicated there is no records disposition program. All the 24(100%) respondents also agreed they do dispose records by transferring to the KNADS and only destroy records with the consent of the director of the KNADS in Kisumu. Therefore, Kisii County Headquarters does not have the mandate to destroy public records which they generate except transferring them to KNADS in Kisumu once the director of KNADS approves the same.

4.4.5 Disaster Management

One of the major threats to the safety and preservation of official records is the risk of disaster. Disaster is due to both man-made and natural causes. Fire can be caused by faulty electrical systems, or arson; flooding can occur as a result of heavy rains (like elnino) or burst water pipes and theft as a result of inadequate security. (Kingori and Otike 2010) Counter disaster management strategies yield many benefits for records and recordkeeping systems. They are also essential for achieving adequate records management practices. Implementing risk management techniques, impact analysis, good recordkeeping practices, establishing vital records programs and prevention and preparedness plans can reduce the likelihood of disaster or minimize the impact. (Government of South Australia 2007)

In order to establish whether the records management personnel and department in Kisii County Headquarters have implemented a disaster management program to ensure the safety of records and business continuity of the headquarters in case a disaster strikes the researcher included items 25 and 26 in the questionnaire (see appendix I).The respondents were asked if the headquarters had a disaster prevention policy and all the 24 respondents agreed there was none implemented but a committee had been set up by top management to come up with a disaster management program. This was found out through interviews with records managers and top management. The program will be inclusive and for the entire headquarters including a section for records management.

4.5 Professional Knowledge and Skills of Records Management Personnel

In order to ensure the management of records is up to professional standards. In Kenya especially the public sector for a long time records management has never been regarded to need professionals trained and skilled in records and archives management. Professional knowledge means a person has gone to college and university or enrolled in programs that offer records and archives management at certificate and above levels. The person must have experience in the field so as to ensure records management as a unit in the county headquarters is handled professionally. Skills in records management entail ability to perform records management functions such as records organization, appraisal, survey, filing, retention, disposition among others. Besides those functional skills it is also important that a records manager have budgetary skills, knowledge in drafting reports, training manuals, policies among others. A records management personnel should be able to communicate

effectively, motivate other members of staff, possess IT knowledge since organizations are adopting and even generating electronic records among other skills and knowledge.

Therefore the researcher sought to find out if those in charge of records management had adequate and relevant professional knowledge and skills required in managing records and records management functions in the county headquarters. Item 3-10 in the questionnaire (see appendix I) enabled the researcher to acquire the necessary data. The data acquired was presented in the sub-topics as follows:

- i. Education level and professional training
- ii. Accumulated experience

4.5.1 Education Level and Professional Training

Data for education and training was attained from records managers and registry staff. Questionnaire items 3 and 4(see Appendix I) sought to establish the highest levels of education and training received in records management and what other additional professional training the staff had acquired whether offered by the government, their former employers or at their own capacity so as to improve or update their knowledge and skills and training needs in records management. In item 3 of the questionnaire respondents were asked to indicate their highest education level.

Education Level

When asked to indicate their education levels the highest education level cited was undergraduate level which was cited by 3(12.5%) respondents while 14 (58.3%) of the respondents have attained diplomas and this is the most cited by the respondents. The study established that there was no records management personnel with a postgraduate education whether Masters or a PhD degree in records management or related field. The highest education level is undergraduate bachelor degree, which 3 (12.5%) respondents have. The lowest level of education is O- level by 2 (8.3%). Fourteen (58.3%) of the respondents pointed out that they have diplomas which is the education level that is possessed by the majority of respondents. Five (20.8%) respondents indicated their highest education level is certificate. The table below provides the summary of the findings:

Table 4.9: Education Level (n=24)

Educational Level	No. of Respondents	Percentage
O-level	2	8.3
Certificate	5	20.8
Diploma	14	58.3
Undergraduate degree	3	12.5
Post graduate level	0	0
Other	0	0

4.5.1.1 Education Level among Registry Staff

The researcher further separated and presented the findings as per the two categories i.e. records managers and the registry staff. The highest education level among the registry personnel was that of diploma and is also the most cited in the study meaning most registry staff have diploma education. Diploma scored 12(63.2%). Two(10.5%) of the registry staff have only attained o-level certificate and this is the lowest in terms of citing among the registry personnel. Certificate was cited by five (26.3%) respondents.

Table 4.10: Education Levels for the Registry Staff (n=19)

Education Level	No. of Respondents	Percentage
O-level	2	10.5
Certificate	5	26.3
Diploma	12	63.2

4.5.1.2 Education Level among Registry Staff

The findings among records managers who are only 5(100%) was of two categories. undergraduate and diploma. Three (60%) of the records managers have an undergraduate education while 2(40%) have diploma education.

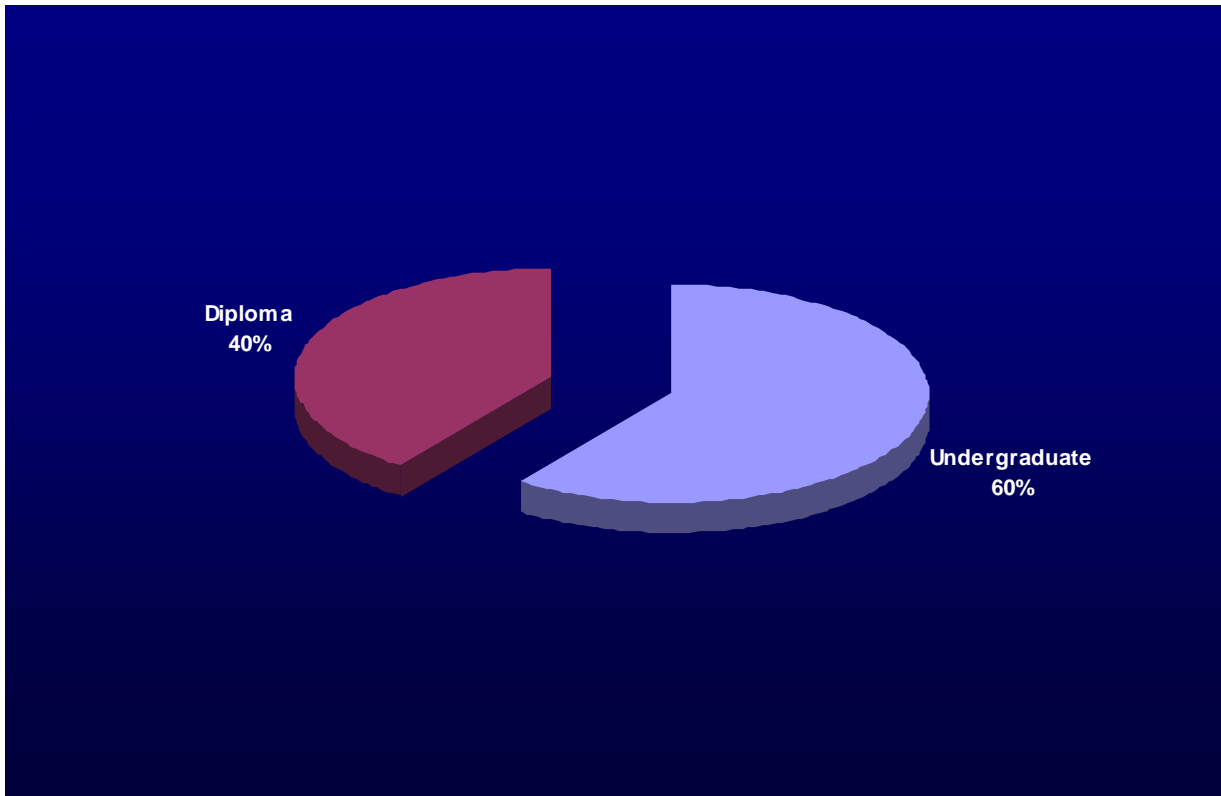


Figure 4.6: Education Levels for Record Managers

4.5.1.2 Highest Academic Level in Records and Archives Management among Records Management Staff

The study found out that five (20.8%) respondents do not have a training from college or university that is related to records management or similar field. Ten (41.7%) respondents have diplomas in records management, 6(25%) have certificate and the highest level of education that the respondents have achieved is undergraduate degrees with 3(12.5%) of the personnel.

Questionnaire items 5a and 5b (see Appendix I) required the respondents to indicate the training they have received in records management and what courses were offered them so as to update their knowledge and skills needs in records management. Respondents were asked to indicate if they had received any professional training in records management with a Yes or No. All respondents admitted they have received extra training in records management. The respondents were also required to indicate the kind of training they had received.

Table 4.11: Highest Academic Level in Records Management or Related Field (n=24)

Education Level	No. of respondents	Percentage
Certificate	6	25
Diploma	10	41.7
Undergraduate	3	12.5
None	5	20.8

Records Management Professional Training

The table below shows that the training that most respondents attended was the one week training on the importance of records management facilitated by a consultant to all members of staff of Kisii county headquarters which every respondent had attended. Training on electronic records management facilitated by Kisii University also had 100% attendance from the respondents. The least cited was Computer application certification which scored 20.8%. Table 4.12 provides the summary of the findings.

Table 4.12: Records Management Professional Training (n=24)

Type of Training	No. of Respondents	Percentage
One month training on records management by Kenya School of Government	18	75%
One week training for registry staff facilitated by KNADS	19	79.2%
Two weeks training on personnel and financial records facilitated by a consultant	8	33.3%
One week training on the importance of records management facilitated by a consultant to all members of staff of Kisii county headquarters	24	100%
Computer Application certification	5	20.8%
Training on electronic records management facilitated by Kisii University	24	100%

4.5.2 Accumulated Experience

Accumulated experience is the period one has been working on a certain position or amount of period one has been carrying out certain functions. This is important because it enables one

to carry out his/her duties effectively and also enable him or her make right decision when need arises especially due to similar events reoccurring and therefore minimize on making mistakes and also save the organization money spent on training one. Especially considering this is the first time Kisii became a county and considering the public expected an improvement on the services provided by the county government therefore there was the need to ensure records management supported these services efficiently and effectively. Item 6 of the questionnaire (see appendix I) asked the respondents to cite their experience in the positions the held. From the findings most records management personnel have an experience within 2-5 years (41.7%), followed with respondents having an experience below 1 year (29.2%). Five (20.8%) respondents have an experience between 6-10 years. Only 2(8.3%) of the respondents cited had experience of only a year. No respondents cited to have an experience of more than 10 years. The figure below presents the findings:

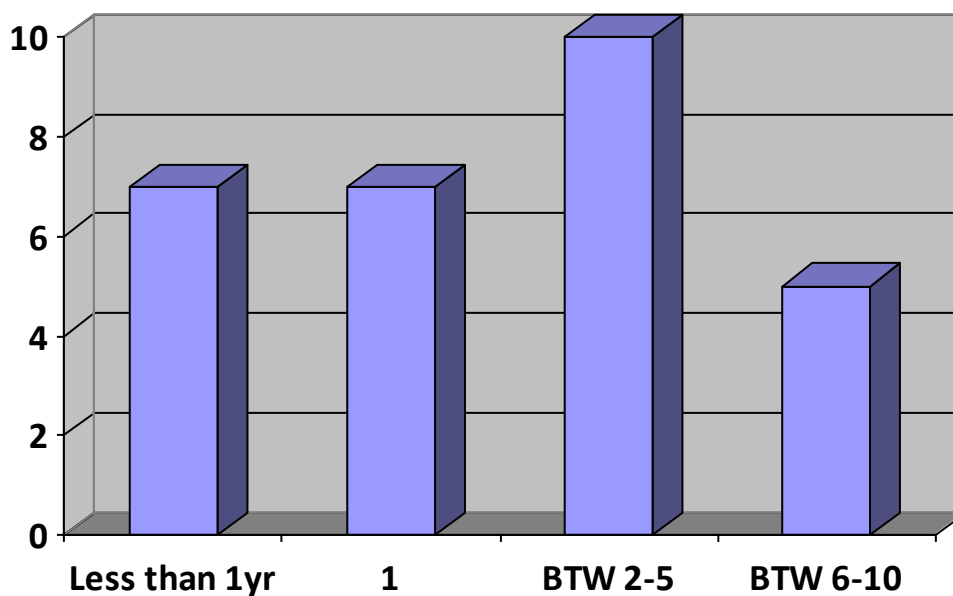


Figure 4.7: Accumulated Experience

4.6 Challenges Incurred in the Management of Records and Possible Solutions and Recommendations

This objective aimed at finding out the challenges the respondents incurred in providing recordkeeping services that would hinder their provision of effective, timely and efficient public services. The study involved all the 100 respondents so as to ensure to different views with regards to records management. The respondents were also asked to give recommendations that can address the issues. The findings will be presented in the following sub-topics:

- i. Current state of records management in Kisii County Headquarters
- ii. Appreciation of records management and its importance towards public service delivery
- iii. Top management support towards records management services
- iv. Challenges experienced by records management personnel in performing their duties
- v. Recommendations and suggestions by respondents

4.6.1 Current State of Records Management in Kisii County Headquarters

Questionnaire item 12 (see Appendix I) required the respondents to give their view on the current status of records management at the county headquarters. Most respondents, 50 (50%) cited the current status of records management to be good. Eight (66.7%) respondents on top management cited good and 11 (30.6%) clerical officers also cited poor. In total 6(6%) respondents cited the status of records management at the county headquarters to be very poor .The findings are summarized in the figure below:



Figure 4.8: State of Records Management in Kisii County Headquarters

4.6.2 Appreciation of Records Management and its Importance towards Public Service Delivery

Item 9 on the questionnaire required the respondents working as registries staff and records managers to cite their view of the appreciation of records management and records by other staff members. The total number of respondents was 24(100%) and they included registry staff who are 19 and records managers who are 5. From the findings poor scored the highest with 10 (41.7%).Four (16.7%) respondents cited very poor while both good and excellent were both cited by 5(20.8%) respondents. This indicates that records management personnel vary on whether records management was appreciated or not by other members of staff in Kisii County Headquarters. The findings are shown in figure 4.8

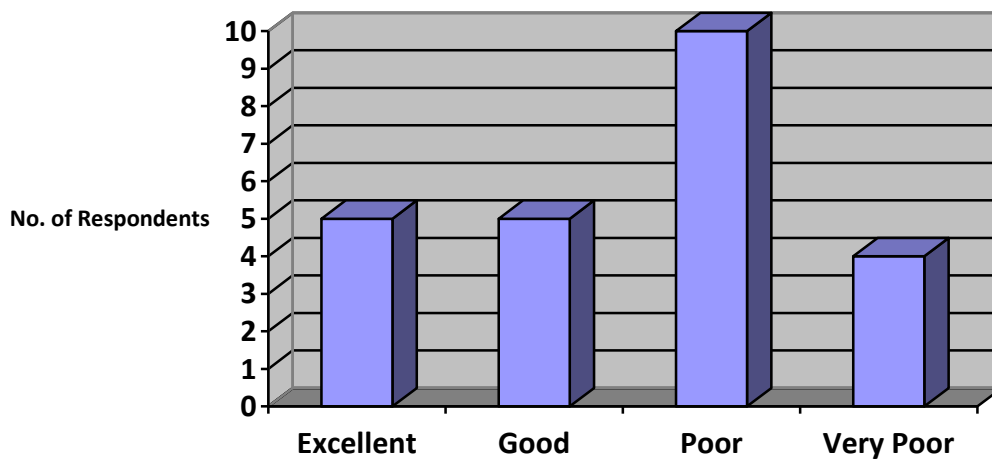


Figure 4.9: Appreciation of Records Management and its Importance towards Public Service Delivery

4.6.3 Top Management Support towards Records Management

Item 10 in the questionnaire (see appendix I) and Item 1 in the Interview schedule (see appendix II) asked the respondents to rate the support provided by top management towards records management functions and activities. Item 1 of the interview schedule required top management to cite if records management was important towards ensuring that proper public service delivery. All 12(100%) top management respondents responded with a yes on the question whether they perceived records management to be of importance towards provision of efficient public service delivery.

Item 10 of the questionnaire required the 100(100%) respondents were asked to rate the support provided by top management towards records management. Forty three (43%) respondents cited good as their rating of the support provided by top management to management of records. Thirty (30%) respondents rated the supported provided by top management as being poor while 11(11%) respondents cited very good. The lowest rate as per the respondents was excellent with 7(7. %) respondents and very poor which was cited by 9(9%) respondents. Good being the highest score with 43% meant, 7% to excellent and very good at 11% that meant top management support to records management staff and records management activities was not badly off, especially considering there was little appreciation on the role of records management towards provision of public services at the county headquarters. The findings are summarised in figure 4.9

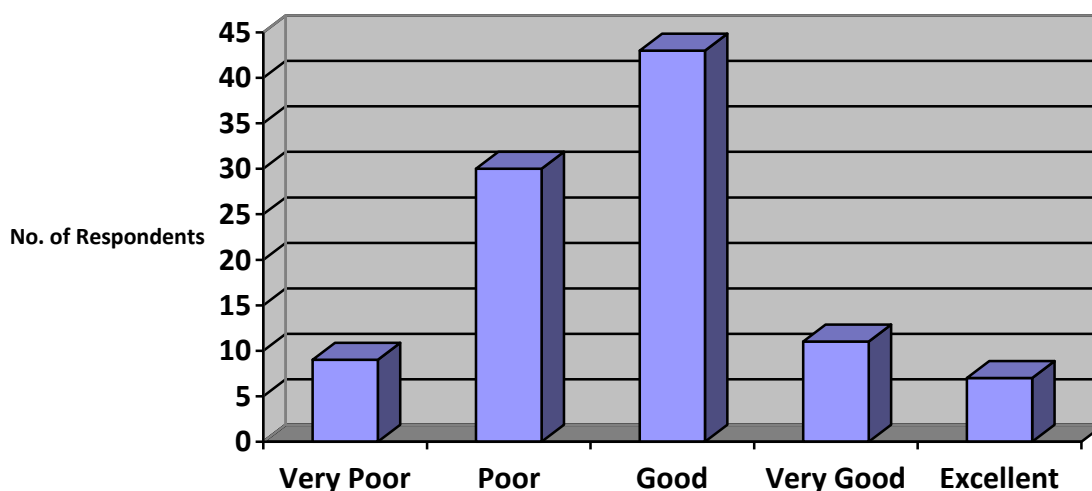


Figure 4.10: Top Management Support

4.6.4 Challenges Experienced in the Management of Records

The study sought to find out the Challenges experienced in the management of records in the county headquarters. Item 28 on the questionnaire(see appendix I) and item 6 on the interview schedule(see appendix II) posed to top management, record managers and registry staff and therefore a total of 36 respondents. The most cited challenge was lack of automated records management program which scored 91.7%. The challenges that followed were inadequate funding and lack of enough trained personnel with each scoring 88.9%. Lack of clear records management policy, standards, guidelines and procedures to guide the management of both paper and electronic records and the challenge of low priority being awarded to records management followed with each scoring 30%. Lack of equipment, supplies and facilities in registries was cited by 28% of the respondents and the lowly cited challenge was that of low salary paid to registry personnel which was cited by 8(22.2%) respondents. The findings are shown in Table 4 .13

**Table 4.13: Challenges Experienced in Managing Records at the County Headquarters
(n=36)**

Challenges	No.of Respondents	Percentage
Inadequate funding	32	88.9%
Lack of enough trained personnel	32	88.9%
Lack of equipment, supplies and facilities in registries	28	77.8%
Lack of clear records management policy, standards, guidelines and procedures to guide the management of both paper and electronic records	30	83.3%
Lack of automated records management program	33	91.7%
Low priority given to records management program	30	83.3%
Any other	8	22.2%
Low salaries for registry staff		

4.6.5 Recommendations and Suggestions by Respondents

In order to identify strategies to be adopted to address the challenges identified above, respondents were asked in item 29 of the questionnaire (see appendix I) and item 9 on the interview schedule (see appendix II). The questions were posed to all the 100(100%) respondents. Data from these items was content analysed, that is, organized around themes and presented in a descriptive manner.

On the top management staff category the highest recommendation according to the citations given, were adequate and continued training of records management personnel to improve their skills and automation of records management functions and digitize paper records with each being cited by 9(75%) of the respondents. The least cited among top managers was allocation of funds to records management which was cited by 3(16.7%) respondents. Top management did not cite provide more storage facilities, equipment and space since some registries are squeezed, improve the working conditions of records management personnel for example better pay so as to motivate them and implementation of policies, standards and guidelines as some of the recommendations.

Among the action officers the most cited recommendation was allocation of more funds to records management functions and activities and automation of records management functions and digitization of paper based records that were cited by 20 (71.4%) respondents each. The least cited among the action officers was adequate and continued training of records management personnel to improve their skills which had 42.9% response. The action officers did not give provision of more storage facilities, equipment and space since some registries are squeezed, improvement the working conditions of records management personnel for example better pay so as to motivate them, training of users of records on the importance of records, records management, so as to appreciate the role of records management in promoting service delivery and implementation of policies, standards and guidelines as some of the recommendation towards the improvement of records management functions.

The registry personnel and records managers cited all the recommendations on the table above. Among the registry staff the highest cited recommendation were provision of more storage facilities, equipment and space since some registries are squeezed, improvement of the working conditions of records management personnel for example better pay so as to motivate them and adequate and continued training of records management personnel to improve their skills. Each those recommendations was cited by 17(89.5%) of the respondents. All the five (100%) records managers cited adequate and continued training of records management personnel to improve their skills and allocation of more funds to records management functions and activities

The clerical officers did not cite implementation of policies, standards and guidelines as one of the recommendations. Automation of records management functions and digitization of paper based records scored highest among the clerical officers. Thirty(80.6%) of the clerical officers respondents recommended the automation of records management functions and digitization of the paper records so as to improve records management at the county headquarters. Table 4.14 provides the summary of the findings

Table 4.14: Recommendations and Suggestions by Respondents

Recommendations	TM (n=12)	AO (n=28)	R S (n=19)	RM (n=5)	CO (n=36)
	Percentage	Percentage	Percentage	Percentage	Percentage
Implementation of policies, standards and guidelines	–	–	42.1	60	–
Adequate and continued training of records management personnel to improve their skills	75	42.9	89.5	100	41.7
Training of users of records on the importance of records, records management, so as to appreciate the role of records management in promoting service delivery.	50	-	52.6	60	58.3
Allocation of more funds to records management functions and activities	16.7	71.4	78.9	100	22.2
Improve the working conditions of records management personnel for example better pay so as to motivate them	-	-	89.5	80	69.4
Automate records management functions	75	71.4	68.4	80	80.6

4.7 Summary

Chapter Four presented and analysed data, in accordance with the research objectives and research questions. It provided a summary of the research findings. The use of questionnaires and interview schedule in collecting data, enabled the researcher to obtain reliable and verifiable data. The chapter discussed the findings generated by the study in themes that correspond to the study objectives

CHAPTER FIVE
SUMMARY OF RESEARCH FINDINGS, CONCLUSION AND
RECOMMENDATIONS

5.1 Introduction

This chapter provides a summary of research findings of the study, conclusions and recommendations. The chapter starts by summarizing the findings which are presented to reflect the research questions of the study.

5.2 Summary of Research Findings

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

5.2.1 What Records Management Program, Policies and Standards have been put in Place to Ensure Proper Records Management at the County?

Kisii County headquarters does not have an implemented records management program or policy in place. There is only a draft records management policy that is yet to be implemented. The policy despite being in a draft has been made available to all departments though some have not yet gone through it and some only remember a few elements in the policy. The policy's main objective is to ensure uniform and controlled system of managing records in the headquarters. The policy was adopted from previous system of government which was then Kisii Municipal Council. The draft policy covers the following elements; recordkeeping best practices, reference to records management standards, responsibilities of each records management personnel in the county headquarters, guidelines on how records management such as disposition, filing, storage etc. ought to be carried out and cover electronic records management. Understanding of these elements and if they are covered in the policy varies from one respondent to another something that can be attributed to lack of implementation and creation of awareness of the policy among staff members.

5.2.2 How are Records Adopted from Previous Local Governments Managed?

Before the enactment of the current Kenyan constitution, Kisii County Headquarters was Kisii Municipal council headquarters. At the time the public services were only provided to people in Kisii municipal. With the enactment of the current constitution and after the general election which was held on 4th March 2013, Kisii Municipal was merged with other six municipalities from nine constituencies to form Kisii County and the headquarters were

retained in Kisii former headquarters to the municipal. The finding on the status of records from previous system of government was as follows; most records management personnel felt the status of previous records has not changed in any form while there were some who pointed out that the status of those records and their management had changed. The respondents who pointed out that the status of the records had changed gave the following as some of the changes; loss of some records, and files, misfiling and records not in proper order as expected due to the rearrangement of departments, registries and offices, damage of records was also another state of records from the different system of government with some records being torn, during transfer or due to negligence.

The records generated in previous system of government have been preserved as archives, Transferred to the current registries and some pointed out some records have also been destroyed. Some respondents indicated there was a plan underway to convert those records to electronic format through scanning which was to be done in collaboration with KNADS.

5.2.2.3 What Strategies are used to Ensure Proper Records Management at the County Headquarters?

Strategies mean how records were handled in their entire continuum i.e. from creation to disposition. That means creation and capture, use and maintenance and finally disposition. The registries do have file movement tracking systems in place to ensure records do not get lost. Some of the methods used in tracking files include use of file registers, file tracking cards and registry staffs also do a physical census of files in their custody.

On provision of access and retrieval services the finding aids used were indexes. But this services are not without challenges and some of the challenges experienced include poor working conditions, lack of adequate facilities and equipment, users do not understand roles and importance of the registries, retaining of files by action officers and some who even open files without the consent of registry personnel, registry staff lack adequate training and lack of proper implementation of records management policy to help in governing use of records in the departments so as to avoid misuse, retaining and opening of files with authority from relevant authority. Other issues raised by records management personnel were mix up of current, semi-current and non-current records in the registries.

Records retention in the county headquarters was governed by a policy which covered current records, semi current and non-current records. But on non-current records the policy was not

clear among the respondents since there was no archive for preserving archives and only director of KNADS was allowed to inspect records and determine which ones to take to the archives and which ones to destroy. Hence the fate of inactive records is not with the records management personnel at the county but KNADS. The county does not have a records disposal program and archives are transferred to the KNADS centres.

Kisii County Headquarters has not implemented a records management disaster management program to ensure safety of records especially vital records. Most of the vital records are stored in the top secret registry and some at the Kenya National Archives and Documentation Services Centre. The county has set up a disaster management committee to help the county to come up with a disaster management program that will also cover records.

5.2.2.4 What Skills, Training and Competencies do those Responsible with the Management of Records Possess?

The personnel in charge of records have o-level education to undergraduate degrees. Out of the twenty personnel only two have O-level education and only three have undergraduate degrees and the rest have diploma education as their highest education level. The professional training received members of the county include the following; one month training on records management by Kenya School of Government, one week training for registry staff facilitated by KNADS, two weeks training on personnel and financial records facilitated by a consultant

One week training on the importance of records management facilitated by a consultant to all members of staff of Kisii county headquarters, some staff members do have computer Application training, and training on electronic records management facilitated by Kisii University

The highest in terms of accumulated period of experience the highest number of personnel have an experience between two to five years, no records management personnel has experience above ten years. Only one member of staff has 1 year experience and the rest have less than that.

5.2.2.5 What are the Challenges Encountered in the Management of Records that Affect Service Delivery and What are the Possible Solutions to the Challenges Identified?

The current state of records management according to most respondents is good but there were also respondents who cited poor and very poor. Meaning the state is not satisfactory. Appreciation of the importance of records management at the county headquarters by other

members of staff is poor. Top management support was ranked at good. Some of the challenges identified that hinder good records management at the county included the following; inadequate funding, lack of enough trained personnel, lack of equipment, supplies and facilities in registries, lack of clear records management policy, standards, guidelines and procedures to guide the management of both paper and electronic records, lack of automated records management program , low priority given to records management program and functions and also some respondents cited low salaries for registry staff.

The respondents also gave the following as recommendations that can help improve records management at the county, the recommendations and suggestions. They included; implementation of policies, standards and guidelines, ensuring adequate and continued training of records management personnel to improve their skills, training of users of records on the importance of records, records management, so as to appreciate the role of records management in promoting service delivery, allocation of more funds to records management functions and activities, improve the working conditions of records management personnel for example better pay so as to motivate them, automate records management functions and digitize paper records and lastly provision of more storage facilities, equipment and space since some registries are squeezed

5.3 Conclusion

Poor records management practices would have negative consequences on public service delivery. Records and information are the life bloods of any organization and therefore they ought to be well managed for any organization whether public or private to achieve its objectives. Poor records management hinders public service delivery in ways such as it will lead to fraud and lack of ways of detecting it, it will lead to wastage of resources, it will hinder the protection of rights of the county and those of the public or citizens they serve, poor records management will also lead to creation and keeping of unwarranted records, the public will lose the protection and preservation of their institutional memory among other issues.

Records management program is therefore important to any organization. There is the need to have a records management approved by top management and implemented in the organization. Its elements such the policies, guidelines and procedures must be clearly stated and understood by all users of the records in the organization and those managing those

records. The system must be effective for both paper based and electronic records management, it must also have a disaster management plan that includes handling of vital records. The system or program must clearly outline responsibilities of each records management staff, required skills and competencies for every records management position. The primary function of the program must be to facilitate the free flow of information and to ensure that information is available rapidly where and when it is needed. As Wamukoya and Mutula (2006) points out “weaknesses in government recordkeeping would contribute to lowering of the general standard of service offered to its clients or the public.”

Kisii County Headquarters have not implemented a records management policy and they lack a clear records management program that is supported with guidelines, procedures, policies or standards and responsibilities of the staff. Though the study identified there was a draft policy, still it is not clearly understood and adhered to by the staff members including those in charge of records management. This is mainly attributed to lack of it being implemented or discussed by all staff members as a procedure during its drafting. A good policy should have been drafted with the staff being consulted from time to time. This will enable them feel part of the program and also so as to ensure the policy does cover every aspect that person or team responsible for its drafting might have overlooked.

The county uses indexes in the registries in helping retrieve records in the registries, and to track the movement of those records to avoid loss, file registers and file tracking cards have been adopted. Despite that still it emerged that records creation was not controlled the labelling and naming of files was not uniform and some officers still retained some files in their offices. The county does have a retention policy that covers current, semi-current and non-current records though it is not clear on non-current records because as the study found out some inactive records were still held in the registries. Professionally registries are for the management of current records. The county lacks record centres and archives. The county does not have a disposal program or plan and therefore records for destroying or transferring to the archives to the archives is done by the director of KNADS Kisumu branch. The county headquarters does not also have a disaster management even for its own vital records. Lack of a records management disaster management program shows how records are not seriously considered to be vital at the county especially in ensuring efficient and effective services to the public. It also shows the poor state of record keeping at the county.

The study also sought to find out the knowledge, skills and competencies of those managing the records at the county. It was found out that most registry staff have diploma level of education while two members of staff had o-level education, no registry staff member had education of undergraduate level. On the records managers, three had undergraduate degrees while two had diploma level of education. These indicate the need for the staff members to improve and upgrade their education level especially in the field of records management or any other related field. This will enable them be able to make informed decisions in future regarding records management and how it can be improved at the county.

The respondents pointed out challenges they experienced which included inadequate funding or low allocation of money for records management, lack of enough trained personnel to help manage records efficiently, lack of equipment, supplies and facilities in registries, lack of clear records management policy, standards, guidelines and procedures to guide the management of both paper and electronic records, lack of automated records management program to help improve records management services for example by making it faster, help reduce storage space, improve on records and information dissemination whereby multiple users can access a single simultaneously, there was also low priority given to records management. All this challenges does hinder delivery of services the county might run into problems experienced in the municipal system of government that existed before and the main goal of the constitution was to help improve services offered to the people at the very basic unit which is the grassroots. To the above cited challenges users and those in charge of handling the records gave recommendations that can help improve the status of records management at the county. Some of the recommendations they gave included; the need for implementation of policies, standards and guidelines, provision of adequate and continued training of records management personnel to improve their skills, the users of records should also be trained especially on the on the importance of records and records management, so as to appreciate the role of records management in promoting service delivery. There is also the need to allocate more funds to records management functions and activities, top management should also improve the working conditions of records management personnel for example better pay so as to motivate them.

Records management today is shifting from manual system to electronic system, organizations are adopting electronic records management systems and this came up as one of the recommendations by the respondents; that there is the need to automate records

management services to help improve efficiency. The respondents also recommended provision of more storage facilities, equipment and space since some registries are running out of space.

5.4 Recommendations

The study identified various issues which affect record management practices in Kisii County Headquarters. The study therefore makes recommendations to address the records management issues identified that affect public service delivery. The recommendations address suggested are in line with the study objectives.

5.4.1 Implement Policies, Standards, Guidelines and Procedures

There is the need to develop and implement records management policies, standards, guidelines and procedures that will help improve the management of records in the county. Since Kisii County Headquarters is public institution, it is important that it consults with Kenya National Archives and Documentation Service on developing or improving the draft policy, which standards to adopt, coming with the guidelines and procedures for various functions. The county can adopt internationally accepted standards such as ISO 15489 standard and adopt other Kenyan standards such as Cap 19 and Cap 14 among others

After implementing the policies, standards, guidelines and procedures there is need to have a mechanism to see to it that each member of staff abides by those regulations and that severe disciplinary actions are taken to those who fail to comply with them. This is after the study found out that most staff members did not comply with the recommended draft policy given to them. Some action officers created their own files in disregard to the policy. The study also revealed that some members of staff borrowed records and did not return them as required or as agreed.

5.4.2 Automation of Records Management Services

To help improve public service delivery at the county it is necessary that the county adopt ICTs in the management of records. The county should digitize their records acquire a system for managing them. ICTs will help enhance creation, maintenance, access, use, storage and preservation and security of records. The study revealed there were plans underway to

digitize paper records. This should be done but not before restructuring the manual system and ensure it has improved. There should be a records survey to determine the volume of records that need digitization, the location of those records and the nature and condition of those records. Then the records management professionals should conduct a records appraisal to determine the value of those records. This is important because it will enable the records to be separated i.e current records, semi- current and non- current records. It is also important that the county also establish electronic records management policy, standards and guidelines to help ensure proper management of the records. Members of staff should also be trained on using the electronic records management system in place. Through ICTs performance of public services will be enhanced since use ICTs will guarantee faster records creation, retrieval and access thus improving on decision making, ensure security of records and provision of services to the public.

5.4.3 Training Programs for Records Management Personnel

In order for the records management staff to update and improve their skills there is the need for the county to identify and develop programs in records management in form of short term courses, workshops and advanced education for those without records and archives knowledge. The training should be on based on Training Needs Assessment (TNA) and provided to records managers, registry staff, clerical officers, action officers and secretaries since they are the ones handling records in the county. Training Needs Assessment means conducting a training a training based on areas identified to be of weakness among staff members or of need to the county for example electronic records management training to help staff successfully implement, use and guide others users on how to use EDRMS if need arises to implement one.

5.4.4 Implement Records Management Awareness Programs for Non Records Management Staff

This study revealed lack of awareness on the importance of records management in the provision of public services. Most staff members did not see the need for records management, or put any seriousness in taking care of records and abiding to records management policy in place. Therefore there is the need for the county to establish a records management awareness programs that will be run by records management professionals to help sensitize staff on the importance of records management of records in the provision of public services and the need to provide full support to their records management staff. The

programs can be rolled out in the form of workshops, seminars or walk in to various departments hence training the staff on the job and also training them on the content of the policies, procedures and guidelines.

5.4.5 Implementation of a Records Management Disaster Management Program

The study revealed that the county has not implemented a records management disaster management program. These means that in case a disaster strikes there will be loss of information or the response might be slow due to lack of a disaster management program. There is need for the county to develop in consultation with records managers a disaster management program that will incorporate identification of potential disasters to the records, their mitigation measures, and recovery from the disaster. The plan should take into consideration the protection of vital records, by identifying an off-site storage for them. The disaster management plan should also take into consideration preservation of archives and conservation of records that have suffered deterioration for example tissue repair and restoration. This can be done through identification of organization that will be consulted in case those needs arises. This should be included in the plan.

5.5 Suggestion for Further Research

This study investigated the role of records management in public service delivery in the county governments with specific reference to Kisii County Government Headquarters. The study identified issues and based on the findings recommends further research on the issues discussed below.

In order to improve service delivery or access to services by the public or clients of certain organizations, various organizations public or private are adopting ICTs in their varies functions. There is a slow adaptation of ICTs in records and archives management services in the public sector. These include the county governments. The study recommends further studies to identify how ICTs can be implemented and used to help improve records management functions in the county governments. The studies should include what systems, software, hardware and ICT skills are required to help improve records and archives management so as to improve public services.

Kenya is yet to revise its records and archives management laws to suit county government records and archives management. This study recommends further studies on laws, standards

and policies that can help ensure standardized records management in all the counties and also ensure records are protected at the county governments. The study also recommends revision of the Kenyan laws such as Cap 19 that affect records and archives management so as to ensure they cover management of records and archives at the counties.

The study also established there was lack of awareness on the importance of records management and lack of support from other members of staff to records management personnel and records management generally. The established this was mostly due to attitude. Therefore there is the need for further research on how records management can be marketed to help create awareness on its importance in provision of services to the public. Further research should include what triggers the negative attitude towards records management, why does records and records management get minimal support in public sector and how this can be changed.

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APPENDIX I

QUESTIONNAIRE FOR RECORDS MANAGEMENT PERSONNEL

Dear Sir/Madam,

I am a student of Master in Library and Information Sciences at The University of Nairobi department of Library and Information Sciences, as part of degree requirements I am conducting a study on **“THE ROLE OF RECORDS MANAGEMENT IN PUBLIC SERVICE DELIVERY IN COUNTY GOVERNMENTS IN KENYA”** To help collect relevant data I have prepared the questionnaire below and I am requesting you to kindly find time and fill. All the information provided will be kept confidential and will be used for this study only. Please follow the instructions given when filling.

GUIDE FOR COMPLETING THE QUESTIONNAIRE

1. Please answer questions by making a tick (ü) or a cross (X) next to the correct answer and explain where necessary.
2. Use “N/A” for not applicable questions, avoid skipping some questions.
3. If writing space is not enough use separate page and write the question number next to the answer

1. Please indicate which department you are in

.....
.....

2. What is your current job title?

.....
.....

3. What is your highest education level?

O-level

Certificate

Diploma

Undergraduate degree

Post graduate level

Other, please
specify.....
.....

4. What is your highest academic training level in records management or related field

Certificate

Diploma

Undergraduate

Post graduate

None

5. a) Do you have any other professional training related to records and archives management?

Yes No

b) If yes which one(s)

i.

ii.

iii.

iv.

6. How long is your experience in the current field of work specialisation in years?

Less than a year

1 year

2-5

6-10

More than 10

7. Does Kisii County Headquarters have an implemented records management policy?

Yes

No

8. If yes, which of the following aspects are covered in your records management policy? (Please tick all the applicable options)

i. Has best record keeping practises

ii. Makes reference to records management standards

iii. Has clearly outlined responsibilities of each records management personnel in the county headquarters

iv. Provides guidelines on how records management such as disposition, filing, storage etc. ought to be carried out

v. Does it cover electronic records management

vi. Other, please specify

.....
.....

9. How would you rate appreciation of records management by other non-records management members of staff

Very poor

Poor

Good

Excellent

Very excellent

10. How would you rate support granted by top management towards supporting records management activities

Very Poor

Poor

Good

Very Good

Excellent

11. How would you rate your knowledge of electronic records management in general?

Excellent

Very good

Good

Poor

Very poor

12. How would you rate the state of records management in Kisii County Headquarters

Excellent

Very good

Good

Poor

Very poor

13. Did the change of Kisii from local authority to county affect the status of records

Yes

No

14. If yes explain

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

15. How are records from previous system of government being handled? (Please tick all the applicable options)

- Preserved as archives
- Transferred to the current registries
- Destroyed
- Digitized

Other, please specify.....

.....

16. Do you have tools for controlling file/records movement

- Yes No

17. If yes which tool(s) do you use to track records? (Please tick all the applicable options)

- i. File tracking register
- ii. File tracking card
- iii. Use of barcodes
- iv. Physical check of files/records in the storage areas
- v. Use of computer systems

Other please specify

.....

18. Do you experience any problem in providing access to information to the users?

Yes

No

19. If yes what problems? (Please tick all the applicable options)

i. Poor working conditions

ii. Lack of adequate facilities and equipment

iii. Users do not understand roles and importance of the registries

iv. Retaining of files by action officers

v. Registry staff lack adequate training

vi. Lack of proper implementation of records management policy

Other, please specify

.....

20. How would you rate the speed at which a file is retrieved for a user in the registry?

Very Slow

Slow

Fast

Very Fast

21. Do you have a records retention policy

Yes

No

22. If yes which records are covered in the retention schedule?

Current records

Semi-current records

Non-current records

23. Do you have a records disposition programme?

Yes

No

24. If yes how are the records disposed?

Transfer to the archives

Physical destruction

25. Do you prepare a records disposition certificate once the records are destroyed?

Yes

No

26. Do you have a disaster management program?

Yes

No

27. If yes, which of the following disasters does your disaster prevention plan cover?

(Please tick all the applicable options)

Floods

Earthquakes

Computer failure

Theft

Mishandling of records

Pest infestation

Unauthorized access

Leaking water pipes

Any other (Please specify)

.....
.....

28. Which challenges do you face to ensure effective records management in the county headquarters?

- Inadequate funding
- Lack of enough trained personnel
- Lack of equipment, supplies and facilities in registries
- Lack of records management policy
- Lack of automated records management program

29. What suggestions can you recommend to help improve records management in the county?.....

.....

.....

.....

THANK YOU VERY MUCH FOR YOUR TIME

APPENDIX II

INTERVIEW SCHEDULE TOP MANAGEMENT

Interview schedule for top management on “The Role of Records Management in Public Service Delivery in County Governments in Kenya:”

I am a student of Master in Library and Information Sciences at The University of Nairobi department of Library and Information Sciences, as part of degree requirements I am conducting a study on “**THE ROLE OF RECORDS MANAGEMENT IN PUBLIC SERVICE DELIVERY: CASE STUDY OF KISII COUNTY GOVERNMENT HEADQUARTERS**” The purpose of writing is to request you to find some time for an interview, which will enable me come up with factual and relevant data, relating to records management practises and public service delivery in the county.

1. Do you think records management is important towards provision of efficient services to the public

Yes

No

2. Are the services you provide supported by records management?

Yes

No

3. Are the records you request for always provided on time?

Yes

No

4. Does the County headquarters have a records management policy

Yes

No

5. If No do you plan to implement one?

Yes

No

6. Which challenges do you face to ensure effective records management in the county headquarters

Inadequate funding

Lack of enough trained personnel

Lack of equipment, supplies and facilities in registries

Lack of clear records management policy, standards, guidelines and procedures to guide the management of both paper and electronic record

Lack of automated records management program

Low priority given to records management programme

Any other (Please specify)

.....
.....

7. Is the county government taking any step towards addressing the challenges faced in the management of records?

Yes

No

8. If yes please specify

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

9. What suggestions can you recommend to help improve records management in the county.....

.....
.....

Thank you for your time and support

APPENDIX III

DETERMINING SAMPLE SIZE FROM A GIVEN POPULATION

N	S
10	10
15	14
20	19
25	24
30	28
35	32
40	36
45	40
50	44
55	48
60	52
65	56
70	59
75	63
80	66
85	70
90	73
95	76
100	86
110	86
120	92
130	97
140	103
150	108
160	113
170	118
180	123
190	127
200	132

Adopted from (Krejcie and Morgan, 1970)

N is Population Size

S is Sample Size