AN EXAMINATION OF RECORDS MANAGEMENT PRACTICES FOR IMPROVED SERVICE DELIVERY IN LAIKIPIA COUNTY GOVERNMENT, KENYA

BY

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A THESIS SUBMITTED TO THE GRADUATE SCHOOL IN PARTIAL FULFILLMENT OF THE REQUIREMENTS FOR THE AWARD OF MASTER’S IN INFORMATION SCIENCE DEPARTMENT OF LIBRARY AND INFORMATION STUDIES FACULTY OF INFORMATION SCIENCE AND TECHNOLOGY

KISII UNIVERSITY

OCTOBER, 2017
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DEDICATION

I dedicate this thesis to my family, my loving parents, Mr. Charles Mwangi and Mrs. Agnes Wangechi, my brothers, Martin Nduiga and Dennis Githinji, for their prayers, encouragement and the immense space they hold in my heart.
ACKNOWLEDGEMENT

I am immensely indebted to my Supervisors, Dr. Festus K. Ng’etich and Dr. Pharaoh Ochichi, for their scholarly inspiration and leadership in the fulfillment of this study. I also acknowledge all other lecturers who participated in the MISC course. I also thank my classmates for their amazing support throughout the program. A big thank you to my friends Florence Muthoni, Lucy Muhuga, Mercy Obiri and Rosemary Miriti who believed in me and never got tired of telling me that I could do it, even when I was about to give up. Special mention must go to my loving parents for their financial support and for making it possible for me to complete my studies. I also wish to thank Kisii University administration for providing a conducive learning environment and a chance to pursue my masters with their institution. I cannot forget to acknowledge that throughout the whole course, God has been my Supreme Provider.
ABSTRACT

An effective records management program is a major element of the governance of any organization. However, despite this crucial role played by records management, there is a consensus amongst researchers that many organizations, including county governments, pay little attention to the management of records. In Kenya county government departments are under legislative obligations to adopt a systematic and organized approach to the management of records. For example, the National Archives and Records Service of Kenya Act (Act No. 43 of 1996) requires government departments to develop, implement and maintain proper records management systems. The purpose of this study therefore was to examine records management practices in Laikipia County Government. The objectives of the study were to establish records management practices in Laikipia County Government, identify records management policies in Laikipia County Government, determine the record management system in Laikipia County Government and suggest effective and efficient records management practices for Laikipia County Government. A descriptive research design was used in this study. The target population comprised of all the 101 employees of Laikipia County Government directly involved in the management of records. The sample size was determined through the census technique since the target population was small. A total of 101 respondents were selected for the questionnaire and five for interviews. Quantitative data and qualitative data were collected using questionnaire and interview schedule. Reliability and validity of the data instruments was ensured by conducting a pre-test to 10% of the target population of each department in Nyandarua County Government, making a total of 10 record officers. To analyze the data collected, descriptive analysis and content analysis methods were used and an appropriate computer software package (Statistical Package for Social Sciences version 22) was employed to assist in analysis. The major findings of this study were that: record management practices in Laikipia County Government were inefficient; the county government lacked RM policies; a centralized records management system was ineffective for Laikipia County government and the County Government faced major challenges in managing its records. The study recommends for formulation of Records Management policies, decentralization of Record Management systems, budgeting and training of Record Management practitioners in Laikipia County Government.
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<thead>
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<tbody>
<tr>
<td>ERMS</td>
<td>Electronic Records Management Systems</td>
</tr>
<tr>
<td>ICT</td>
<td>Information Communication Technology</td>
</tr>
<tr>
<td>IRMT</td>
<td>International Records Management Trust</td>
</tr>
<tr>
<td>ISO</td>
<td>International Standards Organization</td>
</tr>
<tr>
<td>LC</td>
<td>Laikipia County</td>
</tr>
<tr>
<td>RDA</td>
<td>Records Disposition Authorization</td>
</tr>
<tr>
<td>RM</td>
<td>Records Management</td>
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<td>RMP</td>
<td>Records Management Program</td>
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<td>RMS</td>
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CHAPTER ONE

INTRODUCTION AND BACKGROUND TO THE STUDY

1.0 Introduction

This chapter covers the background information, purpose, objectives, research questions, assumptions, scope, limitations, theoretical framework and the conceptual framework that was used in this study.

1.1 Background Information to the Study

The background information to this study includes an introduction to records management, records management in government organizations and records activities in Laikipia County Government.

1.1.1 Records Management

Records management is a fundamental activity of any given organization. Records are vital to every aspect of governance process and institutions of all kinds should highly embrace records management. According to ISO 15489, as cited by Healy (2001), “records management is a field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposal of records, including the processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records.” What actually keeps the public service going in any modern system of government is having recorded information, which is used for planning, decision making and controlling. For any effective planning, decision-making and controlling to take place, there must have been timely access to records (Amina, 2011).
Records are essential to businesses of all organizations. They improve the effectiveness of operations and document services in organizations by supporting the delivery of services, supporting administration, documenting rights and responsibilities of individuals and evidence of the work in public authorities. Implementation of proper records management leads to good public management since government activities are based on access to information contained in records (Smith, 2008).

According to Kulcu (2009), records are created and maintained to meet the goals and objectives of an organization. Records are the memories of an organization and are used in decision making and the basis of legal defensibility. Without records, governments would find it difficult to address social issues such as poverty, crime, social grants, AIDS, land information, and even the provision of basic services such as water and electricity (Makhura, 2005). Provision of information to people in every corner of the world would positively affect socio-economic and political development.

1.1.2 Records Management in Government Organizations

Fust and Graf (2002), as cited in Ngoepe (2008), suggest that records management is an essential part of government operations in all developing countries. Records management is a discipline that has become very popular in government institutions, non-governmental institutions, private institutions, industries and the society at large. Managing records is the foundation that any government body requires in order to provide effective services and fulfill its purpose of existence. This purpose includes enhancing accountability towards its citizens and protection of citizens’ rights.
Managing records is one of the cornerstones of effective delivery of public services. Governments require proper records to evaluate past performances and also to make future goals. Client satisfaction, quality performance of tasks, and measurable outcomes are increasingly becoming important responsibilities which depend on accessible and efficient records in all institutions (IRMT, 2000).

Today, governments are increasingly recognizing the fact that information is an important component of good governance. Governments are expected therefore, to manage records properly so as to use it to make prompt decisions, enhance accountability and transparency, and to meet their own information requirements (Nengomasha, 2009). Consequently records enable governments to improve service delivery, efficiently use available resources and respond to opinions of its citizens.

According to Ngulube (2004), organizations should ensure proper records management are in place to make possible that valuable information is not last loss of records would unable track of activities to the organizations concerned. Records last within an organization can neither be re-created nor replaced hence the need for proper records management practices (Yusuf & Chell, 2005).

According to Sturges (2000), very little effort has been put on proper records management in Africa. The situation in most developing countries records management is not a major concert for the information. With the rise of inform communication technologies today, Africa and the developing world must emphasis on the preservation and conservation challenges of electronic records. Managing information and records are vital assets to public institution and government agencies. They help agencies plan for short term and long term activities that are beneficial to the institution proper records
management is important because it makes government accountable, help in decision making outlines duties, and enable growth enhances a corporate memory of an organization and drives communication within organizations.

Despite the fact that all East and Southern African member countries have been subject to the public sector reforms demanded by the World Bank (WB) and the International Monetary Fund (IMF), most of their official records have not changed much to enhance transparency and accountability in government. Political, cultural, managerial and technological factors in East and Southern Africa regions have been posing enormous challenges in the management of records (Wamukoya & Mutula, 2005).

Wamukoya and Mutula (2005) further note that East and Southern Africa member countries are faced with great challenges in the creation and preservation of records. These challenges include absence of organizational plans for managing records, low awareness of the role of records management in support of organizational efficiency and accountability, lack of coordination in handling records, absence of legislation, policies and procedures to guide the management of records, absence of core competencies in records and archives management, absence of budgets dedicated for records management, poor security and confidentiality controls, lack of records retention and disposal policies and the absence of migration strategies for records.

Despite the crucial role played by records, many organizations and government institutions have paid little attention to proper records management. Records management in most public institutions has not been considered as a strategic management function. The situation hinders governments from achieving efficiency, democracy, accountability,
and improved services to citizens. In many African countries, the management of records has been considered weak over the years.

1.1.3 Records Management in Kenya

Records that are properly managed and made accessible to citizens enhance a free democracy for governments. Records are not only essential to the government or for historical purposes but also through archives enables citizens to exercise their rights and criticize the strengths and weakness of their government (Kemoni, 2008). The Kenyan constitution 2010 gives citizens the right to access to government information leading to growth in Freedom of information under article 35 (Access to information).

According to Mitullah and Waema (2005), for the Kenyan government to achieve vision 2030 and enhance efficiency and effectiveness of service delivery the driving force will be the implementation of information communication technologies on the management of information. Government agencies require creating systems that enable access of credible information to be in a position to make prompt decision for its citizens (Ngoepe, 2004).

According to Mnjama (2003), records management practices in African countries run in falling systems. Mnjama (2003) further notes that the falling records management systems in African countries drag behind the developments of individual governments. The state of the records management has contributed to increased corruption cases, inefficient and poor governance. Like other countries, Kenya National Archives and documentation service is responsible for all government records and assisting government agencies in managing records in an internationally accepted manner. Records should be stored in a manner that enables quick retrieval.
Effective records management practices by governments leads to effective and efficient public procurement process based on the recorded information in records (Michael, 2009). Many African countries and developing countries lack systematic approach in the management of records. Poor records management undermines transparency and accountability hence leading to corruption and loss of public funds. According to Fust and Graf (2002), sound management of records is a base for all governments to provide public services and enhance democracy in a state.

The use of information communication technologies in the management of records has created challenges in the management of both public and private organizations (Brendan, 2012). The study further indicated that governments in Africa and many developing countries are adopting the use of ICTs in providing services to citizens. According to Miller (2004), the automation of records management practices will not be successful in Africa and other developing countries if the present processes are not structured accordingly. The Kenya National Archives and Documentation Center has a rich collection on Kenya that helps in enhancing democracy through provision of information to citizens. According to Mnjama (2003), the Kenya National Archives and Documentation Center is seen as a success by African countries and other developing countries. The study further indicates that management of records in the public sector is chaotic where legislations in the management of records are not adhered to by the public service.

According to Ngulube and Taylor (2006), accurate and readily accessible judicial records minimize the delays in results and corruption cases. Government agencies create, use and disseminate a larger volume of records and information than any other organization.
These records are important to citizens as they enhance democracy and also hold a
government accountable (Tafor, 2003). Governments should continuously and
permanently manage their records since it needs to be accountable to its citizens for the
decisions made in its governance (Currall and Moss, 2008). Governments and
organizations are required to automate the records system to comply with the
advancements in technology which is a necessity today.

According to a study by Kemoni and Ngulube (2008), despite the efforts of the Kenya
National Archives and Documentation Centre to provide advice to government
departments, records management has not been adequately implemented. The Kenya
National Archive has faced numerous challenges in advising government departments on
records management issues. The challenges include lack of adequate human and financial
resources, lack of support from senior government officers, and inadequacies in existing
legislations on the management of records. The Kenya National Archives and
Documentation centre has not been able to assist in development of records management
programs within the government (Mnjama, 2003).

1.1.3 Laikipia County

Laikipia County is one of the 47 counties in Kenya established under the 2010
constitution of Kenya. The county was among the districts of the former Rift Valley
province. The county of Laikipia is the 15th largest county in Kenya in terms the size of
the land. It is bordered by; Samburu County to the North; Isiolo County to the North
East; Meru County to the East; Nyeri County to the South East; Nakuru county and
Nyandarua County to South West and Baringo County to the West. Laikipia county
covers an area of 9,462km². The county government headquarters of Laikipia is located
in Nanyuki town. The county experiences both dry and rainy seasons and has cool temperatures. It relies on economic activities mainly cereal farming, tourism, ranching and greenhouse horticulture (Laikipia county Government Website).

Laikipia county has five sub-counties that include; Laikipia West, Laikipia North, Laikipia Central and Nyahururu. The five administrative counties fall under three constituencies namely; Laikipia North constituency, Laikipia East constituency and Laikipia West constituency. The most developed towns in the county are Nyahururu and Nanyuki which was triggered by their role as the headquarters of Nyandarua and Laikipia districts respectively in the former administrative structure. The towns act as points of connection to other counties in Kenya.

There are 518 Early Childhood Development Education (ECDE) centers, 340 primary schools and 96 secondary schools in the county. The county has one university, three university campuses and five youth polytechnics. Housing in the county is mostly of semi-permanent structures with 18% of the households in 22 centers having access to electricity. Laikipia County lies between latitudes 0018’’ and 37024 East. The county covers a size area of 2,338,111 acres with an attitude between 1500m above sea level at Ewaso Nyiro basin in the North and 2,611m in the South (Laikipia County Government).

Laikipia County Government uses records to do its daily transactions and operations. Paper-based records are popular in the county government with a limited number of electronic records. The county government has fifteen departments whose records are managed by record managers, registry clerks, clerical officers, ICT managers, human resource and administrators. The records are maintained and stored in the central registry
while others are maintained in their respective departments (according to personal communication).

1.2 Statement of the Problem

Records management is an important activity in all organizations. Poor management of records can lead to difficulties in retrieval of information, with volumes of records clogging up office space. This situation undermines the effectiveness, accountability, and efficiency of the organization’s functions, leading to poor decision making, corruption, fraud, and abuse of the rights of the citizen (Sichalwe, Ngulube & Stiwell, 2011).

The Constitution of Kenya 2010 ushered into the country a new system of governance where some national government functions and services were devolved to county governments. The new devolved system consists of 47 county governments. Every county in Kenya is required by law to decentralize its functions and provision of services to sub-county levels (Chapter 11, Part 2, Article 176 (2). The undertaking of devolved functions by county governments leads to generation of numerous records. In order for these governments to succeed in providing effective service delivery, they need to adopt sound records management practices. However, since county governments are relatively new entities, there is little research available on how they carry out records management activities. It is against this context that this study was designed to examine records management activities and recommend effective records management practices for Laikipia County Government, Kenya.
1.3 Purpose of the study

The purpose of this study was to explore records management trends in the Laikipia County Government departments.

1.4 Objectives of the study

The objectives of this study were to:

i. establish the current state of records management practices in the county government departments

ii. establish whether records management policies, procedures and filing systems have been implemented in the County government departments

iii. evaluate the performance of the records management system in the County government departments

iv. identify challenges facing records management systems in the provision of records facilities in Laikipia County Government, Kenya

1.5 Research Questions of the study

This study sought to answer the following research questions:

1. What is the current state of records management practices in the county departments?

2. Are there records management policies, procedures and filing systems in place in the county government departments?

3. Has the county government records management division established a relationship with other information stakeholders both internally and externally,
and how does this relationship or lack of it impact on records management in the department?

4. What challenges are faced in the management of records in Laikipia County Government?

1.6 Assumptions of the study

This study was based on the assumption that public records in Laikipia County government are not effectively managed as a strategic resource. The study was also built on the assumption that records management policies are not adhered to.

1.7 Scope of the study

The study was conducted in Laikipia County Government. It would have been good to conduct research across the 47 counties but due to time allocated for the study and lack of enough resources it would be impossible to travel in 47 counties. Therefore, in this view the researcher chose Laikipia County Government.

1.8 Significance of the study

The findings of this study would aid Laikipia County Government, other county governments and organizations to enhance efficiency and effectiveness in managing their records for improved service delivery. The findings intend to complement other existing studies and contribute to the body of knowledge in the records management field. The research findings also hope to form a firm foundation for other researchers in the area of records management.
1.9 Limitation of the study

Some respondents had specialty in ICT, secretarial and business management which limited their understanding on the concept of professional records management. Some respondents cited that they were uncomfortable filling questionnaires for the safety of their positions. To overcome these limitations, the researcher clarified questions when conducting data collection. The researcher also assured respondents that anonymity would be upheld in the study.

1.10 Theoretical Framework

According to Ngulube (2003), most organizations fail to base their records management practices on existing theories of records management. In the management of records, the rules that guide investigation of researchers into issues, challenges or concepts are determined by records management theories (Nengomasha, 2009). The study introduced the Records Lifecycle Theory and the Continuum Theory. The two theories indicate the principles and practice that guide Records Management.

1.10.1 Records Lifecycle Theory

The Records Lifecycle theory which was developed in the 1930s at the National Records and Archives Administration of the United States of America is based on the concept that a record has a biological life (Luyombya, 2010). The theory divides records into three stages: a record is born (created), lives (used and maintained) and dies (disposed of) (IRMT, 1999). Figure 1.1 illustrates these three stages. The lifecycle concept starts when records are first arranged, maintained and used by their creators. It continues when records are stored for future use and in the record centers with its final stage being the
transfer to archival institutions of records selected to have permanent value (Yusof & Chell, 2000).

**Figure 1.1: The Life Cycle Concept of Records**

Source: Adapted from IRMT (1999)

The life cycle theory is an analogy of a living thing which is born, lives and dies. Similarly, a record is created, maintained and used in its current stage and finally disposed through total destruction or transfer to archival repository if found to have permanent value (IRMT, 1999). In the current stage, current records are maintained and frequently used in the offices of their creators and registries. Appraisal is done, where semi current records are stored in record centers pending ultimate disposal. In the non-
current stage, records no longer needed are destroyed while those with permanent value are preserved as archives in archival repositories.

1.10.2 Continuum concept

According to IRMT (1999), the continuum concept is a consistent and coherent process of records management throughout the life of records, from the development of record-keeping systems through the creation and preservation of records, to their retention and use as archives.

Table 1.1: The continuum concept

Four actions that continue or recur throughout the life of a record

<table>
<thead>
<tr>
<th>Process Order</th>
<th>Process</th>
<th>Records management actions</th>
<th>Archives management Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Identification &amp; acquisition</td>
<td>creation of receipt</td>
<td>selection or acquisition</td>
</tr>
<tr>
<td>2</td>
<td>Intellectual control</td>
<td>classification within a logical system</td>
<td>Arrangement and description</td>
</tr>
<tr>
<td>3</td>
<td>Access</td>
<td>maintenance and use</td>
<td>reference and use</td>
</tr>
<tr>
<td>4</td>
<td>Physical control</td>
<td>disposal by destruction or transfer as archives</td>
<td>Preservation</td>
</tr>
</tbody>
</table>

Source: Ngoepe (2008)

In the continuum concept, there is no boundary between the management of archives and records, since current records would become archives at creation stage. The concept
advocates for archivists actively managing records right from creation stage unlike waiting for the end of the life cycle. In this concept, managing records is seen as a continuous process (Ngoepe, 2008). According to Nengomasha (2009), the continuum theory accepts that records have a life cycle, but the stages are extended particularly in electronic environments. The theory is underpinned by the notion that record managers and archivists have to work collectively to care for organizational records. The record managers and archivists ought to work in tandem throughout the life cycle of records. The continuum concept is more appropriate for the management of electronic records unlike the lifecycle model that was ideal for paper records (Xiami, 2001).

1.10.3 Linkage of the theoretical framework to the study

According to Luyombya (2010), the continuum theory offers the best model for managing electronic records while the life cycle theory provides a framework for the management of paper-based records. This study was guided by both the Records lifecycle theory and the Continuum theory. This is because Laikipia County Government, according to personal communication still uses a lot of paper-based records with limited electronic records that are in use. The records lifecycle theory was used as a principle in the management of paper-based records in the county government of Laikipia. The continuum theory was also used to guide the management if electronic records in the county. The study borrowed the merits of each theory in regard to records management.

1.11 Conceptual framework

A conceptual framework explains mainly graphically or in narrative form, the key concepts to be studied and the presumed relationships between them. The conceptual
framework used for this study show how the independent and dependent variables interact to affect the outcome.

**Figure 1.2: Conceptual Framework**

In the conceptual framework depicted in Figure 1.2, effective records management practices in Laikipia County Government would lead to improved service delivery, enable effective services, reduce corruption cases, enhance accountability in operations, enhance good governance and help in making prompt decisions. Top management support, skilled staff, records management systems and records management policies would influence the effective management practices of Laikipia County Government.
positively. Lack of management support, unskilled staff, lack of records management systems and lack of records management systems would lead to poor records management practices hence leading to delayed services, increased corruption, and lack of accountability, poor governance and poor decision making.

1.12 Definition of Terms

Active records

Records which are required and referred to constantly for current use, and which need to be readily accessible for use on day-to-day activities at Laikipia County government

Electronic record

Documents that are created in Laikipia County government using specialized Hardware and Software and are in machine readable formats

Inactive records

Records for which the active and semi-active retention periods have lapsed and which are no longer required in carrying out the functions in Laikipia County Government.

Record

Recorded information kept, in any form, created or received and maintained by Laikipia County government in pursuance of legal obligations or in the transaction of business and kept as evidence of such activity.
Record keeping

Record keeping involves making and maintaining complete, accurate and reliable evidence of Laikipia County government transactions in the form of recorded information.

Records management

Records management is a field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposal of records at Laikipia County government.

Public record

Public records are all books, papers, maps, photographs, recorded tapes, financial statements, statistical tabulations, or other documentary materials or data, regardless of physical form or characteristic, made or received by any officer or employee at Laikipia County government.
CHAPTER TWO
LITERATURE REVIEW

2.0 Introduction

This chapter reviews literature that is related to records management practices. It highlights the general view of records management practices, records management policies for both manual and electronic environments, record management systems and suggestive measures for effective and efficient records management.

2.1 General Overview of Records Management Practices

It has been widely accepted that information is now regarded as an asset equivalent to capital, man power, and physical assets such as land and buildings. It is one of the most vital strategic assets any organization can possess. Therefore, it is important for organizations to give recorded information high priority (Yusof, 2008).

All sorts of organizations create records in their daily activities Government institutions in the course of doing business also create a variety of records. Within organization records are either created internally or externally. According to Thomassen (2002), in every business the creation of records is a vital part. Records are created as evidence of business processes in institutions. The creation of records requires legal requirements. The importance of records keeping includes three domains which include the business domains cultural domain and the accountability domain. Organization using records really on them in providing evidence for decisions made without records supervision of employees in public organizations cannot be possible. Organizations would have
difficulties assessing the transactions executed and the manner in which the actions were performed by relevant individuals (Wamukoya, 2000).

Wamukoya (2000) further indicates that records have primary and secondary functions. The primary functions of records are the functions their creators had while creating them. The primary value is beneficial to the creator of the record or to the office from which they originated. Records with primary functions are used for accounting purposes, administrative reasons, legal and financial purposes and for the control of activities in organizations. Records management helps organizations in identifying the extent to which they adhere to laws governing them, support the decision making process, enhance accountability and minimize risks (Yusuf & Chell, 2005). Records with the secondary function are those whose creators create them without having their value in mind. The secondary function is acquired by the records after the primary function has diminished. In the management of records the records go through different stages in their cycle. Records are created, stored, used and maintained until they are no longer required by their creators. Records are also permanently preserved due to their enduring value (Ngoepe, 2003).

Records are very important to the operation of any institution. They serve as memory and provide evidence of past events to the institutions. Proper records management practices right from creation maintenance and ultimate disposal makes records a vital asset. However, poor records management practices reduce efficiency, effectiveness and increase costs in organizations. Records act as evidence of what an organization does. In its daily activities records documents its business transactions for future use.
According to De Wet & Du Toit (2000), records management activities have challenged tremendously over the years. The management of records has evolved from the paper-based records to electronic records in different media. Different factors have triggered these changes in the management of documents in organizations. The changes in management of records have not changed the importance of records management. Organizations still creates records to support daily activities and for future references.

Since the development in writing, individuals have been keeping records in different forms. Inventions since the ancient man to date have changed the way in which individuals and organizations manage records hence bringing an impact in records management. According to Kemoni & Wamukoya (2000), the use of computer based system for the management of records developed globally in 1950s. The study further indicates that the development of computer usage in records management has increased speed in retrieval, diversity and flexibility in information management. Today volumes of records are created electronic or converted in electronic forms. Records regardless of their format used to be properly managed by their organization due to their values.

Public and private sectors have failed to notice the importance of records management. With the expansion of creation of information today, organizations of all kinds must acknowledge the need to best preserve, manage, store and organize their records (Moloi, 2007). Institutions require a tracking system for their records which contain important information. Good management involves expenditures in time and effort make plans and prompt decisions about their labor force and facilities. Only a small number dedicate their time to records management (Connor, 2005). Records are essential to operations in offices, and whose loss would cause problems to an organization. Records are used by
organizations to document the replacing and hiring of new employees, purchasing of equipments and machinery, salaries, pensions and promotions.

According to Kanzi (2010), for a proper records management program, a record manager should be designated and delegated the responsibility of records in an organization. The study further points out that the record manager should develop and implement record management policies. Recorded information keeps the civil service running in any modern government agency require records to serve its citizen and staff members. Poor record keeping programs would lead to inefficiency in administration and loss of vital information in organizations (Popoola, 2000). Records are important to both their creators and the end users (De Wet and Du Toit, 2000). The transformation from the manual system to a paperless world creates problems in the management of records. The implementation of records management policies and the training of staff would be helpful in the automation of records.

According to Kemoni (2008), effective records management practices leads to enhanced public service delivery. Records management is a vital resource in any public sector. Proper records management enhances efficiency and effectiveness in the public service sector. Kemoni (2008) further points out that lack of proper records management practices in county office may lead to poor governance, poor decision making, lack of accountability and increased corruption cases. Musembi (2004) indicates that poor record management has consequences to public agencies such as poor service delivery and members of the public losing confidence.
According to Ngoepe (2008), inspite of judicial requirements emphasizing the importance of proper records management practices, there is a proposition that in practice this is not taken seriously. Government records are important to both the government that created them and also to its citizens. Records hold information that keeps the government functioning. Records reveal how governments operate and respond to needs of its citizens. Government bodies which manage records properly experience several benefits that include quick and easy retrieval of records, prevention and track of fraud and corruption, making informed decisions, and protection against litigation (Ngoaka, 2011).

In the absence of records, private and public institutions cannot keep track of various actions and transactions of their daily activities in legal and business transactions. Records act as prove that various transactions were carried out effectively. Records management practices are also important because they harness records that are important resources in institutions.

According to Stilwell, Ngulube and Sichalwe (2011), in most public agencies, including government bodies, the management of records has not been considered a strategic resource. Records enable governments to meet the legal and regulatory, financial requirements, and to protect their rights and assets. Proper records management practices would enable governments to enhance democracy, transparency and protection of citizens.

Records management is an important support tool therefore in organizations. It enables organizations to cope with legal requirements. Records are used by organizations as evidence in litigation against them, as organizations may need to defend themselves in
courts of law at some point in their lives. In such a case, records would be a key resource. If that time were to come, records would provide prove that an organization acted responsibly at a particular time. Governments through proper records management are accountable to their citizens while non-government institutions are accountable to their employees and clients (Weisinger, 2011).

The main task of records management and records management practitioners is to assist employees manage records effectively in their desks, cabinets and computers. RM helps employees to know how to organize materials so that users can access them at ease. Records management also assists record managers to identify vital records, know how to preserve and dispose non-current records.

2.2 Record Management Policies

Records management policies provide guidelines on the importance of proper records management in meeting the objectives on an organization (IRMT, 2009). IRMT (2009), further argues that policies are only relevant while used. Organization should not only develop records management policies but should also provide mechanisms to ensure that the policies are implemented. In addition, the policy requires being flexible so that it is amendable to accommodate the legal obligations culture and functions of an organization. According to Ngoepe and Ngulube (2004), policies should be reviewed regularly to ensure relevance to the organization. Management of records irrespective of its format is vital to organizations than ever before.

According to Healy (2001), the objective of the records management policies is to facilitate creation, maintenance and use of records for as long they are needed. The
absence of a records management policy would lead to unaccountability in the public sector, since it would be too difficult to track an organization’s activities and functions. The main purpose of having record management policy is to ensure that government agencies capture, maintain and protect a corporate memory of its actions and be accountable to its citizens or to those it serves (Kanzi, 2010). The study further states that record management officers must ensure that the record management policy is implemented in such a manner that all members in an organization are familiar with them. The policies should also be reviewed regularly to suit the emerging record trends in organizations.

According to IRMT (2000) the records management policies should provide protection to records and enhance access to the holding of the archival institutions. Records management policies are guides for effective and efficient records management practices in an organization. A records management policy demonstrate the importance of managing records to employees and stakeholders; outlines activities of record managers, provides guidelines for management of records and communicates the intentions of the records management program.

According to Fitsimmons (2011), a records management policy helps individuals in making informed decisions and in accessing documents. The policy serves both paper-based records and electronic records. The study further indicates that: records are well secured; properly stored and accessible; retention and disposal schedules followers and training of staff on proper management of records. Proper records management includes laws regulating information, policies and regulations, adequate and qualified human
resources to manage the records management systems. In most developing countries the laws governing records management are weak (Chebani, 2005)

According to Gwinnett (2002), record management policies are important for any institution to identify record retention and disposal periods. Proper records management programs require policies that control the management of records in organizations. The policies should be well documented according to the state laws of institutions concerned. The record policies in place should monitor records right from creation of ultimate disposal (Macleod, Hare and Johare 2004). Records management practitioners should be trained on documented policies. It should also be ensured that staff members implement the policies on their daily activities.

According to Kemoni (2007), lack of records management policies would lead to difficulties in establishing efficient and effective records management systems in organizations. Kemoni (2007) further indicates that lack of records management policies would obstruct the role of public service providers. According to Franks (2013), organizations rely upon comprehensive records and information management policy that draws best practices for the management of records. The record and information management policy guide the management of records resulting from all business activities in an organization. Regulatory compliances are required to safeguard vital records in organizations from unnecessary risks and help control costs.

Organizations without record management policies would have difficulties in deciding as to what documents should be kept and which ones should be discarded. Keeping records which are valueless only serves to waste space time and resources. Records management
policies hence help clear the clutter and boost efficiency in organizations. Employees require guidelines to manage records and information in their computers and in their files. Policies enhance efficiency in organizations by giving clear guidelines on the management of records at their different phases.

According to Smith (2008), many organizations operate with informal records management policies and in most cases are not written down. Written policies are advantageous to organizations since they enable all employees to familiarize with the policies and thus eliminating uncertainty. The study further notes that written policies provide authoritativeness in the management of records and ensures effectiveness in business operations.

According to Mampe and Kalusopa (2012), for a records management program to be successful, there should be procedures, policies, and standards in place to govern management of records. The policies and procedures serve as guidelines for the management of records in organizations. Record management policies should serve all records in organizations, regardless of their formats. The record management guidelines must be consistent to both electronic and paper based records.

According to Fitsimmons (2011), good policies ensure that values held within an organization are considered in all decisions made. Records management policies are guidelines to their respective organizations which allow them operate various operations such as retention and disposal of records. Policies should govern records right from creation to disposal stage.
Records management policies provide a conducive environment for proper management of records. They enable organizations to allocate resources as outlined in the policies, putting control over coordination, sharing of records, creation of organizational records and their maintenance at all levels. However, Ngulube (2002) notes that most governments have not taken policy formulation seriously in relation to records.

2.2.1 Records management Standards and legislations

According to Luyombya (2010), the International Standard on Information and Documentation – Records Management ISO 15489 was the first international standard for records management that was introduced in 2001. The international standard for records management guides the management of records, in public and private organizations. The standard guides the creation, capture, use and maintenance of records. The standard also provides guidelines for an organization to develop procedures that ensure records created are accurate, authentic, reliable and complete.

Luyombya (2010) further indicates that the standard acts as a guideline on the practices of proper records management which should be adopted by senior officers in organizations, record managers and all creators of records. Standards enhance records management practices in organizations by clarifying the purpose and value of the records. Standards and procedures should be employed uniformly in the management of records regardless of their format or physical location (Keakopa, 2007).

According to ISO 15489 it is important for any organization that requires proper management of both manual and electronic records. The international standard ensures that records are managed well right from creation to their ultimate disposal. The standard
is vital for institution which needs to gain confidence to its clients on the accuracy of records they purport.

According to whether records are in paper based formats or electronic formats there is need to manage them through established standards and procedures. Records management standard ensure that records are secured and managed appropriately and also emphasis on effective and efficient retrieval of records. Records management practices are made possible in organizations through following the documented standards. Proper records management practices advocates that institutions should provide evidence through the regulatory environment of records in their possession. The regulatory environment includes codes of conduct and ethics, standards and statutes. Different organizations have different regulatory elements on records management (Kalasopa and Ngulube, 2012).

The Public Archives and Documentation Service Act, Cap 19 in Kenya, is the principal law that governs management, preservation and disposal of public records. The Act mandates the Director of the Kenya National Archives to: Examine any public records and advise on their care, preservation, custody and control, Require transfer to the custody of the Kenya National Archives and Documentation Service public records he considers should be housed in the National Archives, and Authorize the destruction of public records judged to be of no further administrative or reference value to the creating office (Cap 19, Constitution of Kenya, 2010).

The Records Disposal Act, Cap 14 in Kenya facilitates the management and disposal of court records. The Act mandates the Chief Justice and the Attorney General, in consultation with the Director of the Kenya National Archives and Documentation
Service to make rules for the disposal of court records (Cap 14, Constitution of Kenya, 2010).

2.3 Record Management Systems

Records, which play a critical role in institutions, must be managed properly. Efficient systems and procedures for the creation, organization and disposition of records have to be created. Storage and management of large volumes of records can be expensive particularly in the public sector. In a paper based environment, volumes of information keep accumulating in offices hence causing challenges, in terms of storage space and retrieval. Records management systems are used to share and manage information in organizations (Fineberg, 2011).

Organizations use records management systems as a tool to manage records. Both manual and automated records management systems are used to support record management processes right from creation to disposal. The systems establish storage locations and the creation of records in Organizations. Records management systems are established by organizations to guide on the creation and capture, maintenance and storage of records.

According to IRMT (2000), the symptoms to poor records management systems are:

- Unauthorized access to records
- Difficulties in retrieval of records
- Loss of control over the creation, use and maintenance of records and
- The ease of manipulating electronic records.

According to IRMT (2000), the public sector record keeping systems in most countries are weak to a point where they do not meet the goals and objectives of the public
agencies. The study further indicates that the loss of control of records has consequences to citizens from humble backgrounds that do not have the strength to fight for their rights. Records practitioners and information users realize challenges in information retrieval but lack knowhow on solving the banning issues. Very few public institutions appreciate the importance of maintaining records management systems.

According to Bowen and Johnston (2005), an effective records management system is important in every organization with management elements such as the record life cycle and the record continuum model. Organizations without record management systems would remain stuck in their day-to-day activities. In a centralized records management system records are generated or used by more than one organizational unit, but are under the care of RM unit. On the other hand, in a decentralized records management system, records are created and used by a single unit within an organization. Current retention schedules represent an inventory of information holdings and act as a basis for record management systems.

2.3.1 Electronic Record Management System

Electronic record management systems are used for managing electronic records. Organizations use electronic record management systems to manage the creation, use, maintenance and disposal of records created electronically for the purpose of providing evidence of organizational activities (Mcleod, 2005).

The National Archives of Australia (2000) defines an electronic records management system as computer systems used for the management of electronic and non-electronic records contained in an information technology using computer hardware and software.
Records management practitioners view record keeping systems broadly not only as records alone but also the creators of records, records management policies, storage of records, technologies in management of records and procedures enhancing access and use of records. Electronic document management systems are programs used by organization to manage records electronically from creation to disposal. The systems provide security, enhance access and execute disposition of records in organizations. The National Archives of Australia (2000) further indicates that an electronic records management system must fit all records in the system.

According to Franks (2003), electronic records management systems consist of software, hardware, policies and processes that automate the organization, regulate the use, maintenance and dissemination of records regardless of media. Electronic records management systems include retention scheduling and disposition programs for records.

2.3.2 Filing System

According to Cox (2000), filing systems are methods of arranging records by placing them in predetermined locations using a particular classification method. Cox adds that there are five types of filing systems namely: alphabetic, numeric, subject, chronological and geographical. Alphanumeric is a common filing systems which involves the combination of both letters and numbers.

With the demise of the typewriters and the rise in use of the word processor, majority of documents in business institutions are now created in electronic formats. Practices used by organizations to manage electronic records have not changed in relation to its growth. The study further indicates that electronic records are virtual and not physical hence need
special filing and management practices. According to the National Archives of Australia (2003), a well-planned filing system is sufficient for the management of records. Difficulties in retrieval of records in organizations are caused by poor filing systems or lack of one. Organizations create volumes of records on daily basis and hence the need to have an organized filing system to enable quick retrieval. Due to the advancements in technology, organizations have adopted the use of both paper organization and databases as retrieval systems. The main purpose of an organized system is to enable retrieval of the right document at the right time (Lawson, 2008).

A good filing system provides two major benefits to those using it that is precise retrieval and timely retrieval. Filing systems that result in records taking too long, would only give part of information required, or give back much more than needed. Poor filing systems is generally attributed to factors that include inadequate management attention, poor organization and structure of files, poor labeling and indexing procedures, uncontrolled growth of records, high incidents of missing, misfiled or lost records, poorly trained personnel and lack of record keeping procedures (Bowen and Johnston 2005).

2.3.3 Records Inventory

Deciding what should be kept and for how long is an important task for public sector bodies. According to Franks (2013), “organizations with established record programs must continue to make adjustments to their policies and practices. A record inventory is important to ensure that an organization understands the types of records they have, the format they are in and their storage locations. Record inventories are prepared to facilitate the evaluation, appraisal and organization of records”. The importance of a records inventory is to give information for evaluation of current and past record keeping
practices. The inventory guides organization in preparation of records retention and disposal schedules.

Record retention policies provide organizations with guidelines for the care of records, how long to retain them, their maintenance and procedures for disposing the records. Retention policies reflect the length of time that records have operational, cultural, legal, historical, research or historical value. Retention period for records are based on the value of the information and the laws governing the records thus varying from state to state (Conner, 2005).

2.3.4 Disposal of Records

Organizations should ensure that their records management systems facilitate the retention and disposal of records. The system determines the retention period of records and ensures proper maintenance, use and quick retrieval of records. After the retention period is due, records are transferred to the archival repositories while those with no value are destroyed (Makhura, 2005). Government institutions are responsible for informing their employees on the importance of retaining and destroying records in regard to set policies, rules and regulations. According to the Kenyan Constitution, the National Archivist in Kenya:

i. Determines classification systems to be applied by government bodies;

ii. Examines public records with a view to issuing disposal authorities on all public records to enable governmental bodies to dispose of records no longer required for functional purposes;
iii. Determines the conditions subject to which records can be microfilmed or electronically reproduced to ensure that the requirements for archival preservation are addressed timorously

iv. Determines the conditions subject to which electronic records systems should be managed to ensure that sound records management practices are applied to electronic records systems from the design phase onwards;

v. Inspects public records to ensure that governmental bodies comply with the requirements of the National Archives and Records Service in Kenya.

Effective disposal of records is vital for efficient records management in organizations. Disposition ensures that organizations manage records necessary for the conduct of current business. During disposal of records preparation should be done appropriately following rules and regulations. The management of records in the public sector remains chaotic due to lack of disposal of public records by many civil servants (Mnjama, 2003). According to the National Archive of Australia (2000), a record retention schedule is the heart to a proper records management program. The records retention schedule guides records practitioners on how long records should be retained and when they should be disposed when no longer required by an institution. The schedules help an organization is saving record management cost.

Records disposition refers to activities related to the retention and destruction of records created in organizations. It involves decisions made about retaining documents with permanent value as archives and destroying those that are no longer needed by agencies (Abuku, 2014). The study further indicates that a retention and disposal schedules is well established while archival materials are determined during the early phases of their life.
cycles. According to Goldberg (2000), weeding is an important task in the management of records which involves removal of unwanted information from collections. Weeding eliminates over-crowded situations in offices and making it easier for the record practitioners. In the lifecycle of records, disposal is the final stage in the management of records which is an important phase.

According to Yusof (2008), paper records are managed long after creation and hence take up valuable office space. Management of paper-based records involve transferring the records to a record center which in most organizations act as a dumping ground for records. Effective records disposition programs manage records by scheduling them, ensuring they are properly stored and providing disposal services. Records in organizations should either be destroyed or transferred to the archives for permanent preservation. Disposition is an important practice in the management of records. The practice avoids costly build-up of backlogs of records which fill office space. The disposal phase is the phase in which records no longer required by an organization are destroyed or transferred to the archival institutions (Makhura, 2005).

2.4 Factors hindering effective and efficient Records Management

According to Erima and Wamukoya (2012), organizations face various challenges in the management of records. Lack of records management guidelines act as the cause of challenges facing records management in institutions. The study further cited lack of a record management program, unqualified records professionals, and strained record management budgets as challenges facing management of records. In developing countries, there has been a rise in the deterioration of management of records over years.
This has greatly affected the efficiency, effectiveness, accountability service provision, and violation of human rights and legislations (IRMT 2009).

According to Mnjama (2004), most countries in Africa experienced major problems in the management of records which included untidiness in the record storage areas, misplacement of file, and lack of file control tools. The study also indicated other problems were lack of retention and disposal schedules and lack of proper supervision of staff.

Ngoepe (2008) indicates that there are various risks associated with the poor management of records. Lack of proper records management in organizations would lead to the following:

1. Loss of assets
2. Litigation risks
3. Loss of legal rights and failure to comply with legislation
4. Time wastage in retrieval of records and location of misplaced documents
5. Compliance risks

Many organizations are faced by numerous challenges in managing records that include; traditional records practices, the exponential growth of information, knowing what to keep, lack of disposal procedures, improper policies and procedures and unskilled personnel. To overcome these factors, organizations should; extend record management practices, conduct appraisal regularly, identify records to retain, proper disposition,
implementation of records management policies and training in records management (Cox, 2000).

According to Mnjama and Wamukoya (2004), East and Southern Africa member countries experience major challenges in the preservation of records. The challenges pointed out include lack of organizational plans in the management of records, low awareness of the importance of records management for efficiency and accountability in organizations, lack of proper handling of records. Lack of records retentions and disposal policies and absence of budgets devoted for records management.

The poor state of the management of records in Kenya is aggravated by; failure by top management to establish proper records management objectives and practices, failure to hire qualified staff for the management of records and archives, lack of proper supervision in their registries lack of training in records & archives management and failure to provide adequate storage facilities in the registries (Mnjama, 2003). The maintenance and preservation of records includes a series of activities in place to enhance long term preservation and accessibility to the information they contain.

Organizations face major challenges in the management of electronic records. According to Wamukoya and Mutula (2005), problems of managing electronic records include:

1. Lack of policies and guidelines in managing e-records;
2. Lack of skills and knowledge on management of e-records;
3. Lack of know-how on management of e-records among records personnel;
4. Lack of long-term preservation methods for e-records; and lack of know-how in selecting appropriate hardware and software for management of electronic records.
Records management practitioners are facing challenges in the need to destroy vast amounts of paper rather than systematically managing information circulation in the society. With the vast volumes of records produced by organizations records management has become a challenge. According to National Archives of Australia (2000), poor storage conditions of records would lead to destruction of information and records that lead to significant expenses in conservation and preservation programs. Implementation of information technology in the management of records is another challenge facing information managers in this decade. Information technology has a great value in managing documents but most organizations have not fully embraced the concept due to the changes it brings and the diverse organizational culture.

Globally, countries are faced by challenges in the management of the volumes of records created on daily basis. This is evident in countries with limited finances allocated for records, and lack of skills on proper records management practices. Officers find difficulties in retrieval of records for action (Shephard, 2006). According to Otuama (2010), challenges faced by organizations in the management of records include; absence of archival repositories, lack of funds, lack of storage facilities and absence of records management policies.

According to Mnjama (2003), Kenya like many other countries has National Archival institutions that are responsible for the management of public records. The study indicates that poor records management in Kenya is not only aggravated by problems within government institutions but also the failure of the Kenya National Archives and Documentation Center in advising government agencies appropriately.
Ngoako (2011) suggests application of information communication technology as a key solution to challenges facing the management of records. ICT would improve efficiency in retrieval and access of records, enhance security of records and provide a better interaction between users and creators of information.

2.5 Knowledge Gap

A study by Currall and Moss (2008) correlates with Nengomasha (2009) that governments are today recognizing the fact that information is a key component in governance. Mitulla and Waema (2005), indicate that the Kenyan government requires the implementation of Information Communication Technologies in information management to be in a position to achieve vision 2030. Non-government organizations are accountable to their clients through proper records management while governments exercise democracy to their citizens. This platform shaped this study so as to examine records management practices in county governments in Kenya which are relatively new entities of governance.

2.6 Chapter Summary

In this world of change, information has become the most dominant resource for the success of organizations. In particular, information is critical if organizations have to meet increasing regulatory and legal requirements. A records management program is mandatory and not a choice to all institutions. Institutions operating without a proper records management systems are likely to experience litigation and corruption problems, amongst other problems. The literature reviewed has pointed out that institutions should ensure that they have a path through which records reach designated destinations without
any delays or interruptions. The literature also viewed the importance of records management policies that are vital in guiding record management practitioners. The literature acknowledges the need for records management systems in organizations and outlines measures that would enable organizations management records effectively to enhance service delivery.
CHAPTER THREE
RESEARCH METHODOLOGY

3.1 Introduction
This chapter describes the research methodology that was employed by the study. Specifically, the chapter outlines research design, target population, sample and sampling techniques, instruments of data collection, data collection procedures and methods of data analysis.

3.2 Research Design
According to Denzin and Lincoln (2003), as cited by Lwoga (2009), “a research design describes a flexible set of guidelines that connect theoretical paradigms first to strategies of inquiry and second to methods for collecting empirical materials”. A mixed method design was used where a quantitative approach was employed, with an aspect of qualitative in data collection and analysis. For the purpose of this study, a descriptive design was used. According to Kombo and Tromp (2006), the purpose of descriptive research is description of the state of affairs as it exists. It can be used when collecting information about people’s attitudes, opinions, habits or any of the variety of education or social issues. The descriptive design was used to describe events in relation to records management in Laikipia County government. The technique used for this study beneath descriptive methodology was the case study approach.

3.3 Area of the Study
The study focused on Laikipia County Government which is one of the 47 county governments in Kenya. The county government of Laikipia was chosen since time and
resources allocated for the research study would make it impossible to travel across the 47 counties.

3.4 Population of the Study

According to Burns (2000), a population is the entire collection of all observations of interests to the researcher. Target population is defined as that population to which a researcher wants to generalize the results of a study. The target population for this study comprised of all the 101 employees of Laikipia County Government who were directly involved with management of records.

3.5 Sample and Sampling techniques

Sampling is defined as the selection of some part of an aggregate or totality on the basis of which a judgment or inference is made while a sample is a subset of a particular population (Kothari, 2004). The principal aim of selecting a sample and studying it is to acquire the maximum information about the population with the least amount of time, money and energy (Rao, 2008).

According to Kothari (2004), when the universe is a small one, there is no use resorting to a sample survey. The census technique was employed in this study, data being collected from every member of the target population. This technique was employed because the population of interest was small. Census was used so as to minimize chances of eliminating important cases from the study. Table 3.1 below illustrates the sample population.
Table 3.1: Sample Population

<table>
<thead>
<tr>
<th>Designation</th>
<th>Number of Employees</th>
</tr>
</thead>
<tbody>
<tr>
<td>Record Managers</td>
<td>3</td>
</tr>
<tr>
<td>Registry clerks</td>
<td>9</td>
</tr>
<tr>
<td>Clerical officers</td>
<td>21</td>
</tr>
<tr>
<td>Secretaries</td>
<td>30</td>
</tr>
<tr>
<td>ICT managers</td>
<td>12</td>
</tr>
<tr>
<td>Human resource</td>
<td>11</td>
</tr>
<tr>
<td>Administrators</td>
<td>15</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td><strong>101</strong></td>
</tr>
</tbody>
</table>

Source: Laikipia County Management Government (2015)

3.6 Data collection methods and instruments

This study used questionnaires and face to face interviews as methods of data collection. All the 101 respondents were given questionnaires to fill. In addition, five departmental heads were interviewed.

3.6.1 Questionnaires

The questionnaires were designed based on the objectives of the study. The questionnaires had two broad parts: the first part included background information of the respondents and the second contained the research questions. Questionnaire was used due to their ability to collect enormous quantity of data within the quickest possible time (Rao, 2008). The questionnaires were administered to the respondents through drop and pick method.
3.6.2 Interview schedules

The researcher constructed semi-structured interview schedules that facilitated and enabled the face to face interviews to be conducted. A total of five interviews were conducted comprising of departmental heads in the registry, accounts, human resource, administration and ICT to supplement the primary data collected from questionnaires.

3.6.3 Piloting of the instruments

A pilot, or feasibility study, is a small experiment designed to test logistics and gather information prior to a larger study as well as the specific pre-testing of a particular research instrument such as a questionnaire or interview schedule, in order to improve the latter’s quality and efficiency (Lancaster, Dodd and Williamsom, 2004). Pilot testing is essential in a study since it helps in refining research instruments so that they capture the intended information. The pilot test helped in identifying ambiguities in the questionnaires and interviews and also ascertained their reliability and validity. Pre-test of data collection tools was done to ten officers in various departments of Nyandarua County Government where questionnaires were administered and interviews conducted. Sufficient time was spared within the time schedule of the study, for this important phase.

According to DeVellis (1991), as cited by Mugenda (2008), Reliability is a measure of the degree to which a research instrument would yield the same results or data after repeated trials. Validity is the extent to which differences found with a measuring instrument reflect true differences among those being tested (Kothari, 2004). Piloting was done to ensure reliability of the data collection instruments. Questionnaire questions and the interview questions found unsuitable for this study were reframed. Experts in the area of study also appraised and amended the instruments to ensure validity.
3.6.5 Ethical issues

Ethical standards involve virtues of honesty, compassion and empathy when dealing with subjects or other things in research (Mugenda, 2008). The researcher considered ethical issues during the research. Respondents were explained the purpose of the study and use of data collected. Anonymity of the respondents and confidentiality were upheld. The researcher asked permission from the county government management to administer questionnaires and to conduct interviews. The respondents were given the freedom to ignore items they did not wish to respond and were at liberty to decide not to corporate at any stage of data collection.

3.7 Data collection procedures

The university wrote an introductory letter to National Council of Science and Technology, seeking permission, on behalf of the researcher, to conduct the research. The student also wrote a letter to Laikipia County Government seeking permission to collect data. Upon response from the county secretary, the researcher commenced data collection. Questionnaires were administered through drop and pick method. After the questionnaires were filled by the respondents, the researcher collected them at an agreed date. Interviews were also conducted on an agreed date by both the researcher and respondents.

3.8 Methods of Data analysis

Data analysis refers to the process of generating value from the raw data (John, 2007). The researcher prepared data and interpreted it using descriptive analysis method which included frequencies and proportions. Data was also analyzed using the content analysis method which involved grouping of notes taken during interviews, through use of key
words and themes. An appropriate computer software package namely the statistical package for social sciences (SPSS, Version 22) was employed to assist in analysis.

3.9 Chapter Summary

This chapter focuses on the methodology that was used in the study. The methodology was used by the researcher while conducting the research. The chapter has detailed research design to be used in this study, area study, and population, sampling techniques, data collection procedures and methods of data analysis.
CHAPTER FOUR
DATA PRESENTATION, ANALYSIS, RESULTS AND DISCUSSIONS

4.1 Introduction

This chapter analyses, presents and discusses the data obtained during this study. The findings are presented according to the records management themes delivered from the objectives of the study. The study covered the following records management themes:

i) records management practices

ii) records management policies

iii) records management system

iv) records classification systems

v) digitization of records

vi) records inventory and disposition

vii) challenges facing records management

4.2 Response Rate of Respondents

The sample size consisted of 101 respondents; 3 record managers, 9 registry clerks, 21 clerical officers, 30 secretaries, 12 ICT managers, 11 human resource, and 15 administrators. The response rate was as shown in table 4.1.
### Table 4.1: Response Rate of Questionnaire Respondents (N=76)

<table>
<thead>
<tr>
<th>Designation</th>
<th>Sample Population</th>
<th>Response</th>
<th>Response rate (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Record managers</td>
<td>3</td>
<td>2</td>
<td>66.67</td>
</tr>
<tr>
<td>Registry clerks</td>
<td>9</td>
<td>7</td>
<td>77.78</td>
</tr>
<tr>
<td>Clerical officers</td>
<td>21</td>
<td>18</td>
<td>85.71</td>
</tr>
<tr>
<td>Secretaries</td>
<td>30</td>
<td>23</td>
<td>76.67</td>
</tr>
<tr>
<td>ICT managers</td>
<td>12</td>
<td>7</td>
<td>58.33</td>
</tr>
<tr>
<td>Human resource</td>
<td>11</td>
<td>8</td>
<td>72.73</td>
</tr>
<tr>
<td>Administrators</td>
<td>15</td>
<td>11</td>
<td>73.33</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>101</strong></td>
<td><strong>76</strong></td>
<td><strong>75.25</strong></td>
</tr>
</tbody>
</table>

From the table 4.1, out of the 101 questionnaires administered, the study achieved an overall response rate of 75.25% with the highest response rate being that of clerical officers at 85.71% and the lowest being that of ICT managers at 58.33%. After several follow ups the researcher observed the reason for non response rate being respondents’ busy schedules which made it impossible to achieve a 100% response. A total of five interviews were conducted achieving a 100% response rate.
4.3 Respondents’ Background Information

The section provides the background information of the respondents that include their highest level of education and their skills and competence in regard to management of records. The experience of the respondents has also been presented in this section.

4.3.1 Education Level of the respondents

The study also sought to find out the highest levels of education of the respondents. The results were as shown in the table 4.2.

Table 4. 2: Distribution of Respondents by Education Level (N=76)

<table>
<thead>
<tr>
<th>Educational level</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Certificate</td>
<td>36</td>
<td>47.37</td>
</tr>
<tr>
<td>Diploma</td>
<td>24</td>
<td>31.58</td>
</tr>
<tr>
<td>Bachelors</td>
<td>14</td>
<td>18.42</td>
</tr>
<tr>
<td>Masters</td>
<td>2</td>
<td>2.63</td>
</tr>
<tr>
<td>Doctorate</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Total</td>
<td>76</td>
<td>100.0</td>
</tr>
</tbody>
</table>

From the table 4.2, most of the respondents 47.37% were certificate holders, followed by diploma holders at 31.58%. 18.42% of the respondents were bachelor degree holders while only 2.63% had masters. None of the respondents had a doctorate degree.
4.3.2 Respondents’ area of specialization

The study sought to find out the area of specialization of the respondents. Figure 4.2 illustrates the specialization of the respondents.

**Figure 4.1: Specialization of the respondents**

![Bar chart showing specialization distribution]

As reflected in figure 4.2 above, majority of the respondents 58% (44) had specialized in RM, 12% (9) had specialized in ICT, 21% (16) had specialized in secretarial studies while the minority 9% (7) had specialized in business management studies. The findings indicated that majority of the respondents had specialty in record management hence deemed qualified to manage records.

4.3.3 Work experience of the respondents

The respondents were asked to indicate their work experience in years. The responses were as shown in the table 4.3.
Table 4.3: Work experience of Respondents (N=76)

<table>
<thead>
<tr>
<th>Rank</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>1-5yrs</td>
<td>24</td>
<td>31.58%</td>
</tr>
<tr>
<td>6-10yrs</td>
<td>25</td>
<td>32.89%</td>
</tr>
<tr>
<td>11-15yrs</td>
<td>19</td>
<td>25.00%</td>
</tr>
<tr>
<td>16yrs &amp; over</td>
<td>8</td>
<td>10.53%</td>
</tr>
<tr>
<td>Total</td>
<td>76</td>
<td>100.0%</td>
</tr>
</tbody>
</table>

From the table 4.3, majority of the respondents 32.89% had a work experience between 6-10 years with 31.58% of the respondents having a work experience of between 1-5 years. However, 25.00% of the respondents had a work experience between 11-15 years while only 10.53% had a work experience of 16 years and above. These results indicated that respondents had experience which positively influenced the management of records. The experience was also important since it would help individuals managing records make right decisions during certain events due to repeated circumstances over periods of time.

4.4 Records management practices

The first objective of the study was to establish records management practices in Laikipia County government. The data obtained is presented in the following sub-headings:

i. Understanding of the term records

ii. Records created in the course of work

iii. Physical location of records
iv. Provision of information

v. Allocation of appropriate resources

vi. Retrieval of records

vii. Availability of file equipments

viii. Records management for service delivery

4.4.1 Understanding of the term records

Interview respondents were asked to give their view on the meaning of the term records. Interviews revealed that majority 80% (4) of the respondents were able to correctly define records while only 20% (1) had difficulties in explaining its meaning. The results indicate that the senior authorities in the management of records in Laikipia County Government were clearly aware of the meaning and importance of records.

4.4.2 Records created in the course of work

Interview respondents were asked to indicate the type of records they create in the course of their work. Majority 60% (3) of the respondents indicated that they created general records while the other 40% (2) indicated that they created personnel records and case records in their course of work in Laikipia County Government. The findings indicate that Laikipia County Government creates different types of records and hence the need for appropriate records management practices.
4.4.3 Physical location of records

The purpose of asking a question in this section was to establish the location of records in LC government. Figure 4.3 below overleaf illustrates.

**Figure 4.2: Location of records**

As reflected in figure 4.3 above, 67% (51) of the respondents indicated that the records were located in the central registry while 33% (25) indicated that records were located within their various departments. The study revealed that a large number of records within the county government were located in the central registry with a minimal number being located in the departments.

4.4.4 Provision of information

The respondents were asked to rate on a scale of 1 – 5 their level of agreement on location of records having a positive impact on the provision of information. The results are indicated in the table 4.4 below.
Table 4.4: Positive impact of location of records on provision of information (N=76)

<table>
<thead>
<tr>
<th>Ranks</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strongly Disagree</td>
<td>22</td>
<td>28.9</td>
</tr>
<tr>
<td>Disagree</td>
<td>20</td>
<td>26.3</td>
</tr>
<tr>
<td>Neutral</td>
<td>3</td>
<td>3.9</td>
</tr>
<tr>
<td>Agree</td>
<td>18</td>
<td>23.7</td>
</tr>
<tr>
<td>Strongly Agree</td>
<td>13</td>
<td>17.1</td>
</tr>
<tr>
<td>Total</td>
<td>76</td>
<td>100.0</td>
</tr>
</tbody>
</table>

Majority of the respondents 55.26% (42) expressed that the physical location of the registry had a negative impact on provision of information in the County Government. However, 40.79% (31) of the respondents believed that the location of the RM unit within the Central registry had a positive impact on provision of information. The minority 3.95% (3) of the respondents were not certain if the location of records had a positive or negative impact in the provision of information. Interview respondents confirmed that majority of the records were located in the central registry while others were located in the departments. Interviews revealed that it was difficult to easily access records due to the distance between their offices and the central registry. Others argued that the central registry lacked enough space and equipments to enable proper records management. The findings of this study revealed that having different registries to serve distinct units would suit Laikipia County Government. The results of this study are in
agreement with a study conducted by Ngoepe (2008), which recommends consideration of adoption of decentralized registries.

4.4.4 Allocation of appropriate resources

The study further sought to establish the perception of the respondents with respect to the allocation of appropriate resources in records management. The respondents were asked to rate on a scale of 1 – 5 their level of agreement on allocation of appropriate resources (finances/equipment). Table 4.5 overleaf illustrates the findings.

Table 4.5: Allocation of appropriate resources (N=76)

<table>
<thead>
<tr>
<th>Ranks</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strongly Disagree</td>
<td>22</td>
<td>28.9</td>
</tr>
<tr>
<td>Disagree</td>
<td>30</td>
<td>39.5</td>
</tr>
<tr>
<td>Agree</td>
<td>14</td>
<td>18.4</td>
</tr>
<tr>
<td>Strongly Agree</td>
<td>10</td>
<td>13.2</td>
</tr>
<tr>
<td>Total</td>
<td>76</td>
<td>100.0</td>
</tr>
</tbody>
</table>

From the study findings, 68.42% (52) of respondents disagreed that appropriate resources had been allocated for the management of records while 31.58% (24) agreed. The study findings indicate that lack of appropriate resources is a situation that needs to be addressed by Laikipia County Government to support and improve the management of records. Finances and equipments are key resources in the management of records. Finances assist organizations purchase relevant equipments for records management systems. Appropriate equipments would enhance efficiency and effectiveness in the use
and storage of records in the county government. The findings of this study are in agreement that has shown the importance of appropriate facilities and adequate finances in the management of records in county governments (Abuki, 2014).

**4.4.5 Finding aids used in retrieval of records**

Interview respondents were requested to indicate the type of finding aids used in retrieval of records in Laikipia County Government. Interview respondents mentioned file registry cards, census and bring up diary as finding aids used in retrieval of records in Laikipia County Government. Further interview respondents indicated that the available finding aids were not efficient for the retrieval of records in the county government. Records officers experienced challenges in retrieving records in Laikipia County Government. The study indicates that finding aids for the retrieval of records in Laikipia County Government needed polishing and update to fully meet their purposes. The study also revealed that finding aids needed regular update to fit the collection and to identify missing and misfiled records in Laikipia County Government.

**4.4.6 File equipments used**

The study sought to find out the file equipments used in the management of records in the county. Majority 50% (38) of the respondents revealed that cabinets were used as file equipments in the county government, 27.63% (21) indicated files while 13.16% (10) indicated shelves. Only 9.2% (7) indicated computers as file equipments in Laikipia County Government. The findings indicate that Laikipia County Government had minimal electronic records in place despite the numerous paper-based records.
4.5 Records management policies

The second objective of the study was to identify records management practices used by Laikipia county government. The study sought to find out whether Laikipia County Government had a records management policy and whether officials were managing records according to those policies. The findings were presented in the following subheadings:

i. Availability of records management policies

ii. Respondents’ perception on source of information regarding RM policies

The responses on the availability of records management policies were as shown in table 4.6 below.

Table 4.6: Availability of records management policies (N=76)

<table>
<thead>
<tr>
<th>Ranks</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strongly Disagree</td>
<td>24</td>
<td>31.6</td>
</tr>
<tr>
<td>Disagree</td>
<td>38</td>
<td>50.0</td>
</tr>
<tr>
<td>Neutral</td>
<td>_</td>
<td>_</td>
</tr>
<tr>
<td>Agree</td>
<td>14</td>
<td>18.4</td>
</tr>
<tr>
<td>Strongly Agree</td>
<td>_</td>
<td>_</td>
</tr>
<tr>
<td>Total</td>
<td>76</td>
<td>100.0</td>
</tr>
</tbody>
</table>

From the table 4.6 above, majority 81.58% (62) of the respondents indicated that Laikipia County Government did not have records management policies regulating the
management of records. Only 18.42% (14) indicated that Laikipia County Government had records management policies. All interview respondents expressed that the county government did not have record management policies. Majority 60% (3) of the interview respondents indicated that they had to create their own policies when need be in the cause of managing their records. The other 40% (2) indicated that they have been working under instructions from their seniors since there were no written record management policies. These results indicate that there was inconsistency in the management of records in Laikipia County Government. Record management practitioners having to create policies to suit various situations would be termed chaotic and improper in the management of records.

4.5.1 Respondents’ perception on source of information regarding RM policies

The study sought to find out how staff members were informed of record management policies. The study also sought to find out if Laikipia County Government had a written statement explaining the care of records. Table 4.7 below illustrates the findings.

Table 4.7: Source of information on RM policy (N=76)

<table>
<thead>
<tr>
<th>Response</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Training Sessions</td>
<td>11</td>
<td>14.5</td>
</tr>
<tr>
<td>During Orientation</td>
<td>6</td>
<td>7.9</td>
</tr>
<tr>
<td>Not Applicable</td>
<td>55</td>
<td>72.4</td>
</tr>
<tr>
<td>Colleagues</td>
<td>4</td>
<td>5.3</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>76</strong></td>
<td><strong>100.0</strong></td>
</tr>
</tbody>
</table>
As reflected in table 4.7 above, majority 72.4% (55) of the respondents indicated that they were not informed of RM policies. However, 14.5% (11) indicated training sessions as sources of information on RM policies while 7.9% (6) mentioned orientations. A further 5.3% (4) mentioned their colleagues as sources of information. Interview respondents were asked whether the county government had a well written statement explaining the care of records. All interview respondents indicated that the county government did not have a well written statement explaining the care of records. Interviews revealed that officers managing records did not have specific policies assigning them responsibilities for specific record functions and hence created appropriate policies for their juniors.

The interview respondents were asked to give their view on the effectiveness of records management policies. Interview respondents indicated that records management policies used in the county were not effective since they were made by individuals to suit particular situations. The study findings are in line with a study by Nengomasha (2009), which indicated that there was absence of procedures and policies for the management of records in the public service.

4.6 Records Management system

The study objective three of the study was to determine records management systems used in Laikipia county government. The study sought to find out whether Laikipia County Government had a functioning records management system in place and whether the respondents were aware of it. The data acquired was presented in the following sub-topics:

i. Availability of a records management system
ii. Records classification system

Interview respondents were asked whether the county government had a running records management system. Majority of the respondents 80% (4) indicated that Laikipia County Government had a centralized records management system in place while 20% (1) indicated that the county government did not have a running record management system. Some respondents argued that the program in place was not running effectively due to lack of resources, records management receiving less attention and inadequate staffing.

From this study it was revealed that the centralized records management system in place was inappropriate and inefficient for the management of records. The findings of this study correlates with Amina (2011) which indicated that organizations require effective and efficient systems for the management of records.

4.6.1 Records classification system

This study sought to find out if Laikipia County Government had organized records classification system sand whether officials were managing records according to it. The responses were as shown in table 4.8.

Table 4.8: Availability of an organized records classification system (N=76)

<table>
<thead>
<tr>
<th>Response</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>42</td>
<td>55.3</td>
</tr>
<tr>
<td>No</td>
<td>34</td>
<td>44.7</td>
</tr>
<tr>
<td>Total</td>
<td>76</td>
<td>100.0</td>
</tr>
</tbody>
</table>
As shown in table 4.8, 55.3% (42) of the respondents indicated that Laikipia County Government had an alphanumeric records classification system while the other 44.7% (34) indicated that the county didn’t have an organized records classification system. Interview respondents expressed that Laikipia County Government did have an alphanumeric records classification system that was not familiar to all record management practitioners. However, 47.36% (36) of the respondents indicated that they kept records according to the file plan while the other 52.63% (40) didn’t keep records according to the plan. Most respondents 56.58% (43) indicated that they were not able to locate file reference numbers using the file plan while the other 43.42% (33) indicated they could.

All interview respondents recognized the presence of the RM classification system but further expressed that the system was not fully adopted and hence reducing chances of providing the intended benefits. Some respondents further indicated that they filled records according to dates or subjects. From this study it was revealed that Laikipia County Government adopted alphanumeric records classification system which was not familiar to all RM practitioners. This could indicate that training was required on the use of the alphanumeric records classification system. The results concurred with Bowen and Johnston (2005) study that concludes that poor filing systems would generally be attributed by poorly trained personnel.

4.7 Digitization of records

The study sought to find out whether the county government had digitized its records. The findings are illustrated in the table 4.9 below.
Table 4. 9: Digitization of records (N=76)

<table>
<thead>
<tr>
<th>Ranks</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strongly Disagree</td>
<td>33</td>
<td>43.4</td>
</tr>
<tr>
<td>Disagree</td>
<td>36</td>
<td>47.4</td>
</tr>
<tr>
<td>Agree</td>
<td>5</td>
<td>6.6</td>
</tr>
<tr>
<td>Strongly Agree</td>
<td>2</td>
<td>2.6</td>
</tr>
<tr>
<td>Total</td>
<td>76</td>
<td>100.0</td>
</tr>
</tbody>
</table>

In this study, 90.78% (69) of the respondents indicated that the county government had not digitized its records management program while 9.2% (7) argued that the record management program was digitized. Interview respondents indicated that lack of finances and managerial support hindered the digitization of records in the county. This study revealed that Laikipia County Government had not digitized its records. The study findings are in agreement with Luyombya (2010) that conclude the problem hindering digitization in the public service included; absence of ICT facilities, inappropriate managerial structures, insufficient finances and lack of resources.

4.8 Records inventory and disposition

The section presents findings on the availability of records inventory and whether the county government disposed its records.
4.8.1 Inventory of records

The study sought to find out if the county government regularly conducted inventory programs for their records. The respondents were asked to rate on a scale of 1 – 5 their level of agreement on the conduction of inventory programs regularly. The responses were as shown in table 4.10 below.

Table 4. 10: Records inventory (N=76)

<table>
<thead>
<tr>
<th>Ranks</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strongly</td>
<td>31</td>
<td>40.8</td>
</tr>
<tr>
<td>Disagree</td>
<td>33</td>
<td>43.4</td>
</tr>
<tr>
<td>Agree</td>
<td>9</td>
<td>11.8</td>
</tr>
<tr>
<td>Strongly Agree</td>
<td>3</td>
<td>3.9</td>
</tr>
<tr>
<td>Total</td>
<td>76</td>
<td>100.0</td>
</tr>
</tbody>
</table>

Majority of the respondents, 84.21% (64) disagreed while only 15.79% (12) of the respondents agreed. The study results indicated that the county government lacked record inventory programs for the effective management of records. These findings imply that the lack of inventory programs in the county headquarters would limit the chances of disposal of records in the county government since records inventory as a guide in the retention and disposal periods of records.
4.8.2 Disposal of records

The study sought to find out whether non-current records were destroyed in the county government. The responses were as shown in table 4.11 below.

Table 4.11: Destruction of non-current records (N=76)

<table>
<thead>
<tr>
<th>Response</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>19</td>
<td>25.00</td>
</tr>
<tr>
<td>No</td>
<td>57</td>
<td>75.00</td>
</tr>
<tr>
<td>Total</td>
<td>76</td>
<td>100.0</td>
</tr>
</tbody>
</table>

From the table 4.11 above, majority 75% (57) of the respondents indicated that non-current records were never destroyed while the other 25% (19) indicated that the non-current records were destroyed. Interview respondents were asked how they dealt with records no longer required by the county government. Majority of the respondents 60% (3) indicated that records remained dumped in the registry. On the other hand, 40% (2) of the respondents mentioned an offsite location within the county government as a facility for non-current records. This study shows that records were not destroyed in the county government.

The study also sought to find out whether LC government had a guide determining records to destroy or keep. All respondents indicated that the county government did not have a guide to determine the destruction and preservation of records. During the interview process all respondents acknowledged that records were never disposed and the county government didn’t have retention schedules in place. The results of this study
correlate with a study by Ngoepe (2008), which concludes that most organizations never destroyed their records and lacked retention schedules.

4.9 Challenges facing records management

The fourth objective of the study was to determine effective and efficient records management practices for Laikipia County Government. The study sought to establish the challenges encountered by officers in the management of records in the county. The responses were as shown in table 4.12 below.

Table 4. 12: Challenges facing records management (N=76)

<table>
<thead>
<tr>
<th>Challenges</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Wrong authorities managing records</td>
<td>13</td>
<td>17.1</td>
</tr>
<tr>
<td>Lack of enough personnel</td>
<td>38</td>
<td>50.0</td>
</tr>
<tr>
<td>Lack of storage equipments</td>
<td>44</td>
<td>57.9</td>
</tr>
<tr>
<td>Lack of storage space</td>
<td>39</td>
<td>51.3</td>
</tr>
<tr>
<td>Unqualified staff</td>
<td>35</td>
<td>46.1</td>
</tr>
<tr>
<td>Lack of management support</td>
<td>53</td>
<td>69.7</td>
</tr>
</tbody>
</table>

From table 4.12 above, the main challenges indicated by the respondents were lack of management support 69.7% (53) and lack of storage equipments 57.9% (44). Other key challenges included: Lack of storage space 51.3% (39); Lack of enough personnel 50.0% (38) and lack of qualified staff 46.1% (35). Wrong authorities managing records 17.1% (13) was also identified by a few respondents as a challenge. Interview respondents
confirmed that the county government experienced various challenges including lack of management support, unqualified staff and inadequate infrastructure. The results of this study are in agreement with studies conducted by Wamukoya and Mutula (2005) and Abuki (2014) that indicate that challenges facing RM in the public sector include: lack of top management support on records management practice; lack of skills and training amongst records management practitioners; paucity of records management policies; record managers being employed at a low level; financial resource cuts and records management units reporting to senior managers that do not have an idea on Records management.

4.9.1 Suggestions to address challenges facing records management

The study sought to find out suggestions to address challenges facing records management in Laikipia County Government.

Table 4. 13: Suggestions to address challenges facing records management (N=76)

<table>
<thead>
<tr>
<th>Suggestions</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Automation and Digitalization</td>
<td>65</td>
<td>86.67</td>
</tr>
<tr>
<td>Budget and Purchase of Storage equipments</td>
<td>53</td>
<td>69.74</td>
</tr>
<tr>
<td>Training Staff</td>
<td>44</td>
<td>57.89</td>
</tr>
<tr>
<td>Employing Skilled Personnel</td>
<td>11</td>
<td>14.47</td>
</tr>
<tr>
<td>Proper allocation and Designation</td>
<td>5</td>
<td>6.58</td>
</tr>
</tbody>
</table>

From the table 4.13, the major solutions indicated by respondents to address challenges facing records management in the county governments were automation and digitization
86.67% (65) and budget and purchase of storage equipment 69.74% (53). Other solutions indicated by the respondents included training staff 57.89% (44), employing skilled personnel 14.47% (11) and proper allocation and designation 6.58% (5). Based on the results of interviews, training and budgeting were the major solutions to challenges facing records management in Laikipia County Government. The results of this study concurred with a study by Abuki (2014), which recommends automation of records management functions, training of staff, allocation of funds to records management and provision of storage facilities and staff as solutions to challenges facing records management.

4.10 Methodological Triangulation

The two data collection methods, namely questionnaire and interview employed for this study achieved the research objectives. When it came to the first objective, which was to establish records management practices in Laikipia County Government, the two data collection methods were in agreement that the county government lacked proper records management practices. When it came to the second objective, which was to identify records management policies in Laikipia County Government, again the two data collection methods were in agreement that Laikipia County Government lacked proper records management policies.

In the third objective, which was to determine records management systems used in Laikipia County Government, questionnaires and interviews were in harmony that the centralized records management system used in Laikipia County Government was inefficient for the management of the county records. Finally, on the last objective which was to suggest effective and efficient records management practices for Laikipia County
Government, data gathered through questionnaires and interviews indicated that the county government experienced challenges in records management that included: lack of management support, unqualified staff, and inadequate infrastructure. The two data collection instruments were also in agreement on the possible solutions for challenges facing management of records in Laikipia County Government.

4.11 Chapter Summary

This chapter presents the presentation of data analyzed in accordance with the research the objectives and research questions from the study. The study has been presented using themes generated from the objectives of the study. The findings of the reliable data collected from questionnaires and interview schedules have been discussed. The methodological triangulation has also been presented in this chapter.
CHAPTER FIVE

SUMMARY OF THE FINDINGS, CONCLUSIONS AND RECOMMENDATIONS

5.1 Introduction

This chapter provides a summary of the research findings of the study, conclusions and recommendations.

5.2 Summary of the findings

The study was guided by four specific objectives namely; to establish records management practices in Laikipia County Government, to identify records management policies used in Laikipia County Government, to determine records management systems used in Laikipia County Government and to suggest effective and efficient records management practices for Laikipia County Government.

Regarding records management practices, respondents indicated that majority of records in Laikipia County Government are managed in the central registry while others are managed in the departments of their creators. Records inventories were not regularly done to identify records that required total destruction or permanent preservation. Appropriate resources had not been allocated for the management of records in the county government.

The findings revealed that Laikipia County Government lacked appropriate finding aids for the retrieval of records. Officers experienced challenges while retrieving records in the county government. The findings also indicated that appropriate resources had not been allocated for the management of records in Laikipia County Government.

Regarding records management policies, Laikipia County Government did not have records management policies regulating the management of records. Majority of the
respondents were unaware of any available records management policies. The study also revealed instances of record management practitioners formulating policies to suit daily operations and transactions.

The findings indicated that the county government used a centralized records management system which was inefficient for the management of records. The system in place was not known by all records management practitioners. The study also revealed that the centralized registry system was inappropriate for the management of records in the county government.

The study identified several challenges facing records management in the county government with the main ones being lack of management support and lack of storage equipments. Other key challenges included: Lack of storage space, Lack of enough personnel and lack of qualified staff. Wrong authorities managing records was also identified by a few respondents as a challenge. Automation of records, appropriate budgeting and purchasing of storage equipments were considered key solutions to challenges faced in the management of record in LC government.

5.3 Conclusions

From the above findings, the study made the following conclusions:

1. Laikipia County Government had not fully embraced the concept of records management. The management of records in the county had not been acknowledged as a key resource in achieving goals and objectives of the county government.
2. The county government did not have records management policies in place to govern the management of records. A records management policy should have been drafted and implemented to guide staff members in managing records effectively.

3. Implementation of proper records management systems in Laikipia County Government relies on the top management support. Attempts to implement proper records management systems would fail without the managerial support. The county government requires a records management system that would support both paper based and electronic records. The system should outline duties of all individuals involved in the management of records in Kenya.

4. The centralized records management system used in Laikipia County Government was inappropriate due to the distance between the central registry and the distinct departments. This indicates the need for large organizations to use decentralized registry systems in managing their records.

5. Laikipia County Government had not disposed its records over years. The county government lacked inventory and disposition programs for the management of records. The county government does not have a record center or archive to manage their semi-current and non-current record hence causing delays and difficulties in retrieval of records.

6. Laikipia county government lacked adequate resources in the management of records. The county government lacked finances and equipments for the RM systems.
7. The study sought to find out the skills and competencies of employees managing records in the county. Some of the records management practitioners in Laikipia County Government lacked requisite skills in the management of records. Records management practitioners in Laikipia County Government required more training on the professional concept of records management to improve service delivery. These indicate that the staff members are required to upgrade their skills on records management practices.

8. Records management due to the advancements in technology is moving from the manual systems to the automated systems. Despite the changes in technology, Laikipia County Government had put little effort in digitizing its records. The county government needs to automate records to enhance efficiency.

9. The study sought to find out finding aids used to access and retrieve records in the county. Appropriate finding aids were needed for the management of records in Laikipia County Government to enhance efficiency and improve service delivery. The county government requires to prepare appropriate finding aids to assist staff in retrieving records.

10. Finally, the study concluded that the county headquarters experience several challenges in the management of records with the greatest being lack of management support and lack of storage equipments. The challenges facing records management hinders service delivery in Laikipia County Government.
5.4 Recommendations

From the above conclusions, the following recommendations were arrived at to address issues identified affecting the management of records in Laikipia County Government.

1. Proper records management enhances service delivery in organizations. Laikipia County Government management should emphasize more on the management of records and include record management practices in their annual budgets.

2. Record management officers should report to the right authorities, be well qualified and enough to enhance efficiency and effectiveness in the management of records.

3. A decentralized registry system should be established to avoid unnecessary delays in accessing files.

4. The county government should formulate records management policies to guide the officers in the management of records

5. Digitization of records in Laikipia County Government should be done to improve service delivery and improve efficiency in operations of the county governments.

6. The management should also plan for internal and external training for their record staff members to familiarize with the new trends in the field.

7. Automation of the records management system should be considered in the management of records in Laikipia county government.
8. The county government should work closely with the Kenya National Archives and documentation center in the disposal of records in the county.

5.5 Suggestions for Further Research

Since the study was focused only on Laikipia County Government, future studies can consider expanding the scope by including the other 46 county governments in Kenya.

Studies can also be focused on the education, training and recruitment processes of RM staff to be employed in county governments to fill the gap being experienced so as to enhance service delivery, by having enough and qualified records staff.

Other studies would consider establishment of records management policies in county governments in Kenya, which would help the counties come up with records management policies to guide the RM practices.

Studies can also be considered on the disaster preparedness programs in county governments in Kenya.

The study further recommends studies on the implementation of Information Communication Technologies to improve service delivery in counties in Kenya.
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Records Management Journal, (11)3


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United Kingdom. London: International records management trust


Lawson, G. (2008), Record Retrieval: Importance of Records Retrieval for modern Libraries, Revised and Updated. Austin, TX: Texas State Library and Archives


S.A


*Records Management Journal,* 13(2), 91-101


In information Research Vol. 9. No 3.


Ngulube, P. 2004. Fostering accountability: opportunities and challenges faced by records managers in changing societies. Paper read at Access Information Management Services’


APPENDIX I

LETTER OF INTRODUCTION

Winnie Gathoni Mwangi

P.O BOX 930

Nyahururu

July 2015

Dear Sir/Madam,

RE: PERMISSION TO CONDUCT RESEARCH

I am currently taking a Master’s Degree program in Information Science at Kisii University, Nairobi campus, under the Faculty of Information Science and Technology (FIST). My research is on examination of records management practices for improved service delivery in Laikipia County Government, Kenya for improvement of service delivery. I am therefore seeking your assistance and facilitation to be able to complete my course. The information you will provide will be used exclusively for academic purposes and will be treated with confidentiality.

Your cooperation will be highly appreciated. Thank you in advance.

Sincerely,

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

WINNIE GATHONI MWANGI. MIN12/20345/14
Ref:CGL/HR/6/VOL.5(35) Dated : 21st August 2015

Winnie Gathoni Mwangi
P.OBOX 930-20300
NYAHURURU
CELL: 0724858058
Email: winniemwangi26@yahoo.com

RESEARCH PROJECT

Reference is made to your request dated 6th August, 2015 to carry a research study on examining records management practices in Laikipia County Government in an endeavor to better Laikipia County and enable you complete your studies.

Your request to undertake research is approved under the following conditions:
1. That the request is granted on mutual respect and recognition that both parties will benefit from the findings of the research.

2. That you shall not disclose to any third party any confidential information or any information concerning the County Government of Laikipia, employees, stakeholders or partners. Confidential information for the purposes of this research shall include, but shall not be limited to all exchanged information and/or knowledge, trade secrets both oral and written transmitted by any means whatsoever and without generality to the foregoing matters financial, legal, technical and other knowledge exchanged or obtained in any manner whatsoever by you in the course of this research.

3. That the research will be conducted using the methodologies appearing in the proposal submitted to the County Government of Laikipia.

4. That the County will not pay you anything in form of remuneration/allowance during the research period.

5. That the County will not be responsible for any personal insurance at the place of work.

6. That during your research, you will adhere and observe existing serve Regulations.

7. That you will adhere to the official dressing codes during the duration of the research.
8. You will observe confidentiality and security of tools, equipment and documents placed under your disposal.

9. That you will maintain good working relations with colleagues and members of Public.

It is my considered view that the research findings will provide valuable lesson and assists in the realization of the County’s Vision and Mission.

A.W NGUJIRI

FOR: COUNTY SECRETARY/HEAD OF PUBLIC SERVICE

C.C. Chief Officer-County Administration & Public Service Management

I…………………………………………………………………agree to the terms and condition set there above.

Signature…………………………………………………………Date………………..
APPENDIX 111

QUESTIONNAIRE

INTRODUCTION

Dear Sir/Madam,

My name is Winnie Mwangi. I am carrying out a research for my masters thesis at Kisii University. The title of the study is “an examination of records management practices for improved service delivery in Laikipia County Government, Kenya”. I am hereby requesting you to assist me in completing this questionnaire in order to achieve my research objectives. The information provided will be purely for academic purposes and will be treated with confidentiality. Your participation in facilitating the study is highly appreciated.

SECTION A: BACKGROUND INFORMATION OF THE RESPONDENTS

Please select the correct answer by ticking (√) appropriately in the provided brackets.

1. Gender (Tick one only)

   Male □   Female □

2. Designation ______________________________

3. What’s your highest level of educational?

   Certificate ( ) Diploma ( ) Bachelor’s ( ) Masters ( ) Doctorate ( )

   What is your area of specialization in 4 above? .................................

4. Work experience (Tick one only)

   1-5 yrs ( ) 6-10yrs ( ) 11-15yrs ( ) 16yrs and above ( )
SECTION B

1. Where are records located within the county government?

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

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

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

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

2. Please indicate your degree of agreement with each statement by using the following rating scale, 5= strongly Agree ( ), 4= Agree ( ), 3= Neutral ( ), 2=Disagree ( ), 1= strongly disagree

(To the table below, kindly tick where appropriate)


<table>
<thead>
<tr>
<th></th>
<th>5</th>
<th>4</th>
<th>3</th>
<th>2</th>
<th>1</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. The location of records has an impact on the provision of information</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>b. Records management has been allocated the appropriate resources (finance/equipment)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>c. The county government conduct record inventory programs regularly</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>d. The county government has digitized its records management program</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
3. Please indicate your degree of agreement with each statement by using the following rating scale, 5= strongly Agree ( ) 4= Agree ( ) 3= Neutral ( ) 2 =Disagree ( ) 1= strongly disagree

(To the table below, kindly tick where appropriate)

<table>
<thead>
<tr>
<th>a. The county government has a records management policy in place</th>
<th>5</th>
<th>4</th>
<th>3</th>
<th>2</th>
<th>1</th>
</tr>
</thead>
<tbody>
<tr>
<td>b. The records management policy is reviewed at regular basis</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>c. Staff members manage records according to this policy</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

4. How are the staff members informed of the policy?

………………………………………………………………

………………………………………………………………

………………………………………………………………

………………………………………………………………

5. Is there a disposition program for records in the county government?

Yes  □

No   □
6. Does the county government have an organized records classification system/file plan?

Yes ☐

No ☐

If Yes, State……………………………………………………………

7. Do you file records according to the file plan?

Yes ☐

No ☐

8. Are you able to allocate file reference numbers according to the file plan?

…………………………………………………………

…………………………………………………………

9. What challenges do you encountered in the management of records in the County government that affect service delivery?

…………………………………………………………

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…………………………………………………………
10. What suggestions do you offer to these challenges?

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

11. What file equipment do you use in management of records in the county governments?

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

Thank you for your time and input!
APPENDIX IV

INTERVIEW SCHEDULE

Good morning/afternoon/evening Dear Interviewee ……….

My name is Winnie Mwangi. I am conducting a study for my master’s thesis at Kisii University. The title for the research is “An Examination of Records management Practices for improved service delivery in Laikipia County government, Kenya.

You have been selected to participate in this interview. The information you will provide will be purely for academic purpose and will be treated with strict confidentiality. Please feel free to ask questions for further clarifications. I look forward to your support and cooperation.

Thank you.

Date of interview ____________________

Rank of interviewee _________________

Gender of interviewee _______________

Section 1: Records Management Practices in the county government

1. What is your understanding of the term records?
2. Which records do you create in the course of your work?
3. Does the county government have a functioning records management system?
4. What benefits does the RM system bring forth in running various activities?
5. What challenges are encountered in the management of records in the county?

Section 2: Record management Systems

1. How do you deal with records, which are not being used or no longer required?
2. What guides are used in determining, which records/files to destroy or keep?
3. What methods of disposition are adopted?
4. What finding aids are used in retrieval of records in the county government?

Section 3: Record Management Policies

1. Does the county government have a well written statement explaining the care of records?
2. Name any policies which assign you responsibilities for specific records functions.
3. How effective are the record management policies?
APPENDIX V

INTRODUCTION TO NACOSTI

The Director,
National Council of Science and Technology [NACOSTI]
P. O Box 30623 00100
NAIROBI

Dear Sir/Madam,

RE: INTRODUCTION LETTER FOR WINNIE MWANGI – MIN12/20345/14

This is to confirm that the above mentioned student is a bonafide member of Faculty of Information Science and Technology of Kisii University. She is undertaking a course leading to Masters of Information Science.

She has successfully completed her coursework and is now embarking on research. Any assistance accorded to is highly appreciated.

Thank you.

Yours faithfully,

[Signature]

Dr. Alice S. Wongamor
Coordinator – Postgraduate Programmes

KISII UNIVERSITY
NAIROBI CAMPUS
POST GRADUATE PROGRAMMES OFFICE

2 AUG 2015
APPENDIX VI

NACOSTI RESEARCH PERMIT

THIS IS TO CERTIFY THAT:

MISS. WINNIE GATHONI MWANGI

of MISH UNIVERSITY, NAIROBI CAMPUS,

has been permitted to conduct research in

LAIKIPIA COUNTY

on the topic: AN EXAMINATION OF

RECORD MANAGEMENT PRACTICES FOR

IMPROVED SERVICE DELIVERY IN

LAIKIPIA COUNTY GOVERNMENT, KENYA

for the period ending

31st November, 2015

Permit No: NACOSTI/P/15/80856/8411

Date of Issue: 3rd November, 2015

Fee Collected: Ksh. 1,000

Director General

National Commission for Science,
Technology & Innovation

Signature

National Commission for Science,
Technology & Innovation

101
APPENDIX V11

RESEARCH AUTHORIZATION

NATIONAL COMMISSION FOR SCIENCE, TECHNOLOGY AND INNOVATION

Telephone: +254-20-2213471, 2241349, 310571, 2219420
Fax: +254-20-318245, 318249
Email: secretary@nacosti.go.ke
Website: www.nacosti.go.ke
When replying please quote Ref: No. NACOSTI/P/15/80606/8441

9th Floor, Utalii House
Uhuru Highway
P.O. Box 30623-00100
NAIROBI-KENYA

Date: 3rd November, 2015

Winnie Gathoni Mwangi
Kisii University
P.O. Box 402-40800
KISII.

RE: RESEARCH AUTHORIZATION

Following your application for authority to carry out research on “An examination of records management practices for improved service delivery in Laikipia County Government, Kenya,” I am pleased to inform you that you have been authorized to undertake research in Laikipia County for a period ending 1st November, 2016.

You are advised to report to the County Commissioner and the County Director of Education, Laikipia County before embarking on the research project.

On completion of the research, you are expected to submit two hard copies and one soft copy in pdf of the research report/thesis to our office.

Said Hussein
FOR: DIRECTOR GENERAL/CEO

Copy to:

The County Commissioner
Laikipia County.

The County Director of Education
Laikipia County.

## APPENDIX VI

### PLAGIARISM REPORT

<table>
<thead>
<tr>
<th>Similarity Index</th>
<th>Internet Sources</th>
<th>Publications</th>
<th>Student Papers</th>
</tr>
</thead>
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<tr>
<td>19%</td>
<td>15%</td>
<td>5%</td>
<td>10%</td>
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</table>

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APPENDIX 1X

CERTIFICATE OF PUBLICATION

This is to certify that the paper ID: ART20177571 entitled
An Examination of Records Management Practices for Improved Service Delivery in Laikipia County Government, Kenya

Authored

By

Winnie Gathoni Mwangi

has been published in Volume 6 Issue 10, October 2017
in
International Journal of Science and Research (IJSR)
The mentioned paper is measured up to the required standard.

[Signature]

Editor in Chief, International Journal of Science and Research, India