EVALUATION OF RECORDS MANAGEMENT PRACTICES AT
THE PARLIAMENTARY SERVICE COMMISSION OF KENYA

BY

FAITH MUTHONI NJERU

A Thesis Submitted in Partial Fulfilment of the Requirements for the Award of the
Degree of Master of Science in Records and Archives Management, Department of
Library, Records Management and Information Studies, School of Information
Science

MOI UNIVERSITY
ELDORER

2018
DECLARATION

DECLARATION BY THE CANDIDATE:

This is my original work and has not been presented for an award of a degree in any other university

Faith Muthoni Njeru
IS/MSC/RAM/008/13
Signed…………………… Date……………………………

DECLARATION BY THE SUPERVISORS

This research project has been submitted for examination with our approval as the University Supervisors.

Dr. Andrew Chege
Department of Library, Records Management and Information Studies
Signed...................................................... Date……………………………

Dr. Emily Ng'eno
Department of Library, Records Management and Information Studies
Signed...................................................... Date……………………………
ABSTRACT

Records in any organization is the most basic and crucial asset. Recorded information requires effective and efficient Records management practices to ensure ease of access and retrieval. Management of records in Parliamentary Service Commission (PSC) is majorly characterized by poor Records management practices. The Aim of the study was to evaluate records management practices at the parliamentary Service Commission and to suggest ways in which these practices can be enhanced. The objectives of this study were: to establish the existing records management practices at the Parliamentary Service Commission; to examine whether records management practices conform to national legislations, policies and guidelines; to examine whether records management practices at the Parliamentary Service Commission conform to records management standards; to establish challenges facing the Parliamentary Service Commission records management practices and to suggest how records management practices can be enhanced by use of best practices. The study adopted a mixed research method using case study approach. The study population was 360 with a sample size of 279 involving policy makers, policy implementers and operational staff. The study used probability sampling method in which stratified sampling technique was used to categorize the respondents. Data was collected through interviews and administration of questionnaires using predesigned questionnaires and interview schedule. A pilot study was conducted to pre-test the validity and reliability of data collection instrument using pre-test check list. The key findings of the study were that: there is no framework for effective and efficient records management; there are no institutional policies, guidelines and regulations for records management and basic record management skills among staff were inadequate. The study concluded that records management is not adequately effective and efficient. The study recommended that: the Parliamentary Services Commission should develop an operational framework for effective and efficient records management, to formulate institutional policies guidelines and regulations for records management and provide basic records management skill to staff.
ACKNOWLEDGEMENT

My sincere and deep appreciation goes to my supervisors, Dr. Andrew Chege and Dr. Emily Ng'eno, for their unwavering support, guidance and constructive criticism from the beginning of this research project to the end. I owe a lot of gratitude to both of them for their inspiration, encouragement and guidance on choosing the research topic.

I also wish to extend my special appreciation to all my friends and colleagues for their encouragement and support in the course of writing this research project. May the Almighty God bless you abundantly.
DEDICATION

This work is dedicated to my late parents and my children for their continuous encouragement and support during the study.
TABLE OF CONTENTS

DECLARATION .................................................................................................................. ii
ABSTRACT ....................................................................................................................... iii
ACKNOWLEDGEMENT ................................................................................................... iv
DEDICATION ..................................................................................................................... v
TABLE OF CONTENTS ..................................................................................................... vi
LIST OF TABLES .............................................................................................................. xi
LIST OF FIGURES ............................................................................................................ xii
LIST OF ABBREVIATIONS AND ACRONYMS ............................................................... xiii

CHAPTER ONE ................................................................................................................. 1

INTRODUCTION AND BACKGROUND INFORMATION .................................................. 1

1.1 Introduction ................................................................................................................. 1
    1.1.1 Characteristics of a Record ................................................................................. 2
    1.1.2 Records Management ......................................................................................... 4

1.2 The Parliament of Kenya ............................................................................................ 6
    1.2.1 National Assembly ............................................................................................ 7
    1.2.2 The Senate ......................................................................................................... 8
    1.2.3 Establishment of the Parliamentary Service Commission ................................. 8
    1.2.4 Overview of the Parliamentary Service Commission ......................................... 9
        1.2.4.1 Mission, Vision, Mandate, Values and Functions of the PSC ....................... 10
            1.2.4.1.1 Mission of the Parliamentary Service Commission .............................. 10
            1.2.4.1.2 Vision of Parliamentary Service Commission ................................... 10
            1.2.4.1.3 Mandates of the Parliamentary Service Commission ....................... 10
            1.2.4.1.4 Values of the Parliamentary Service Commission ........................... 11

1.3 Statement of the Problem ........................................................................................... 13

1.4 Aim and Objectives of the Study .............................................................................. 14
    1.4.1 Aim of the Study ............................................................................................... 14
    1.4.2 Objectives of the Study ..................................................................................... 14
    1.4.3 Research Questions .......................................................................................... 15

1.5 Assumptions of the Study ......................................................................................... 15
1.6 Significance of the Study ........................................................................................................... 16
  1.6.1 Theoretical Significance ........................................................................................................ 16
  1.6.2 Practical Significance ............................................................................................................ 16
  1.6.3 Policy-related Significance .................................................................................................... 16
1.7 Scope and Limitations of the Study ......................................................................................... 16
  1.7.1 Scope of the Study ................................................................................................................ 16
  1.7.2 Limitations of the Study ........................................................................................................ 16
1.8 Operational Definition of Terms and Concepts ...................................................................... 17
1.9 Chapter Summary ..................................................................................................................... 19

CHAPTER TWO ................................................................................................................................. 20

LITERATURE REVIEW AND THEORETICAL FRAMEWORK ............................................. 20
2.1 Introduction ............................................................................................................................. 20
2.2 Theoretical Framework ........................................................................................................... 20
  2.2.1 Records Management Models ............................................................................................. 23
    2.2.1.1 Records Life Cycle Model .............................................................................................. 23
    2.2.1.2 Records Continuum Model ............................................................................................ 25
    2.2.1.3 Relevance of the Continuum Model to the Present Study ............................................ 32
      2.2.1.3.1 Continuum Model Strengths .................................................................................... 34
      2.2.1.3.2 Weaknesses of Continuum Model .............................................................................. 36
2.3 Review of Related Literature ................................................................................................. 37
  2.3.1 Records Management Practices .......................................................................................... 37
  2.3.2 Records Management Legislation ...................................................................................... 40
  2.3.3 Legislation Relevant to Records Management in Kenya .................................................... 42
  2.3.4 Records Management Policy .............................................................................................. 45
  2.3.5 National Policy on Records Management in Kenya .......................................................... 47
  2.3.6 Records Management Standards ......................................................................................... 48
  2.3.7 Challenges facing Records Management ............................................................................ 54
2.4 Conceptual Framework ........................................................................................................... 58
2.5 Chapter Summary ..................................................................................................................... 60
CHAPTER THREE ......................................................................................................................... 61
RESEARCH METHODOLOGY ....................................................................................................... 61
3.1 Introduction .............................................................................................................................. 61
3.2 Research Method ...................................................................................................................... 61
3.3 Research Design ...................................................................................................................... 63
   3.3.1 Survey Design ................................................................................................................ 64
   3.3.2 Case Study ...................................................................................................................... 64
      3.3.2.1 Strengths and Weaknesses of Case Study Designs ................................................. 66
3.4 Study Population ..................................................................................................................... 67
3.5 Sampling Procedure .............................................................................................................. 68
   3.5.1 Sample Size ................................................................................................................... 70
3.6 Data Collection Instruments .................................................................................................. 71
   3.6.1 Administration of Questionnaires ............................................................................... 71
   3.6.2 Interviews .................................................................................................................... 72
3.7 Validity and Reliability of Data Collection Instruments ....................................................... 73
   3.7.1 Validity of Data Collection Instruments .................................................................... 73
   3.7.2 Reliability of Data Collection Instruments ................................................................ 74
   3.7.3 Pretesting Data Collection Instrument .................................................................... 74
3.8 Data Presentation, Analysis and Interpretation ................................................................. 75
3.9 Ethical Considerations .......................................................................................................... 76
3.10 Chapter Summary ................................................................................................................ 77

CHAPTER FOUR .......................................................................................................................... 78
DATA PRESENTATION, ANALYSIS AND INTERPRETATION ................................................ 78
4.1 Introduction .............................................................................................................................. 78
4.2 Response Rate ........................................................................................................................ 79
4.3 Records Management Practices ............................................................................................ 81
   4.3.1 Procedures to Manage Records ................................................................................ 81
   4.3.2 Procedures on the Creation and Capture of Records ................................................. 82
   4.3.3 Procedures on the Creation, Capturing, using, managing and Keeping Records 83
   4.3.4 Highest Record Management Related Professional Training .................................. 84
   4.3.5 Security Measures on Record Management .............................................................. 86
4.3.6 Records Management Manual in Place for the Guidance of Managing Records 87
4.3.6.1 Aspects covered in the Record Management Manual ...................... 87
4.3.7 Records Classification Scheme .................................................. 89
4.4 Records Management Legislation ................................................. 91
4.4.1 Legislation and Guidelines for Records Management at P.S.C .................. 91
4.4.2 Coverage of Legislation on Management of Records ......................... 92
4.4.3 Records Management Practices in Compliance with Legislations ........... 93
4.5 Records Management Policy ....................................................... 94
4.5.1 Records Management Policy ..................................................... 94
4.5.2 Policy Adoption at Top Management Level .................................... 95
4.5.3 Policy Defines Clearly and Adequately the Records Management Programme. 96
4.6 Record Management Standards .................................................. 98
4.6.1 Awareness of any Standards Managing Records ................................ 98
4.6.2 Use of Record Standards Management ....................................... 98
4.6.3 Purpose of Records Management Standards .................................. 100
4.7 Challenges Facing the PSC Records Management .................................. 101
4.7.1 Steps towards Addressing Challenges .......................................... 102
4.8 Suggestions on Enhancing Records Management Practices ..................... 103
4.9 Chapter Summary ........................................................................ 104
CHAPTER FIVE: ........................................................................... 105
SUMMARY OF THE FINDINGS, CONCLUSION AND RECOMMENDATIONS 105
5.1 Introduction .................................................................................. 105
5.2 Summary of Findings .................................................................... 105
5.2.1 Records Management Practices at the Parliamentary Service Commission...... 105
5.2.2 Records Management Legislation .............................................. 106
5.2.3 Records Management Standards .............................................. 107
5.2.4 Challenges Facing the PSC Records Management ................................ 107
5.2.5 Suggestions for Enhancing Records Management Practices at Parliamentary Service Commission .................................................. 108
5.3 Conclusion ..................................................................................... 108
5.4 Recommendations ......................................................................... 110
5.4.1 Good Management of Records Practices .......................................................... 110
5.4.2 Records Management Policy, Legislation and Standards .............................. 111
5.4.3 Training Programs for Records Management Personnel .............................. 112
5.5 Suggestion for Further Research ..................................................................... 113
REFERENCES ............................................................................................................. 114
APPENDICES: ........................................................................................................... 125
APPENDIX 1: INTRODUCTION LETTER ................................................................. 125
APPENDIX 2: INTERVIEW SCHEDULE FOR THE POLICY MAKERS ...................... 126
APPENDIX 3: INTERVIEW SCHEDULE FOR THE POLICY IMPLEMENTERS .............. 131
APPENDIX 4: QUESTIONNAIRES FOR TECHNICAL STAFF ..................................... 137
APPENDIX 5: PRE-TEST CHECKLIST FOR THE INTERVIEW SCHEDULE AND
QUESTIONNAIRES ........................................................................................................ 142
APPENDIX 6: TABLE FOR DETERMINING SAMPLE SIZE FROM A GIVEN
POPULATION ............................................................................................................. 144
APPENDIX 7: CENTRAL ENTRANCE TO THE PARLIAMENT HOUSE BUILDING IN
NAIROBI .................................................................................................................... 145
APPENDIX 8: INSIDE VIEW OF THE RENOVATED NATIONAL ASSEMBLY CHAMBER 146
APPENDIX 9: RESEARCH AUTHORIZATION LETTER .............................................. 147
APPENDIX 10: RESEARCH PERMIT ......................................................................... 148
LIST OF TABLES

Table 3.1: Study Population.................................................................68
Table 3.2: Study Sample Size ................................................................71
Table 4.1: Response Rate....................................................................80
Table 4.2: Procedures to Manage Records ..........................................81
Table 4.3: Procedures on the Creation and Capture of Records ..........82
Table 4.4: Procedures on the Creation, Capturing, Using, Managing and Keeping Records ...............................................................................................................................83
Table 4.5: Security Measures on Records Management ....................86
Table 4.6: Records Management Manual in Place for the Guidance of Managing Records ...............................................................................................................................87
Table 4.7: Legislation and Guidelines for Records Management at P.S.C ..........................................................91
Table 4.8: Coverage of Legislation on Management of Records .......92
Table 4.9: Records Management Policy ................................................95
Table 4.10: Policy defines clearly and Adequately the Records Management Programme ...............................................................................................................................96
Table 4.11: Awareness of any Standards Managing Records .............98
Table 4.12: Purpose of Records Management Standards ..................101
Table 4.13: Challenges Facing Parliamentary Service Commission Records Management ...............................................................................................................................102
Table 4.14: Respondents’ Suggestions on Enhancing Records Management Practices 104
LIST OF FIGURES

Figure 2.1 Life cycle of records ................................................................. 24
Figure 2.2: Records Continuum Model ......................................................... 30
Figure 2.3: Conceptual Framework .......................................................... 59
Figure 4.1: Highest Record Management related Professional Training ............ 85
Figure 4.2: Aspects Covered in the Record Management Manual ..................... 88
Figure 4.3: Records Classification Scheme .................................................. 89
Figure 4.4: Classification Scheme for Efficient Carrying out Functions ............... 90
Figure 4.5: Records Management Practices in Compliance with Legislations .......... 94
Figure 4.6: Policy Adoption at Top Management Level .................................. 95
Figure 4.7: Use of Record Standards Management ......................................... 99
Figure 4.8: Steps towards Addressing Challenges ......................................... 103
## LIST OF ABBREVIATIONS AND ACRONYMS

<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>DRM</td>
<td>Digital Records Management</td>
</tr>
<tr>
<td>DRMS</td>
<td>Digital Records Management Systems</td>
</tr>
<tr>
<td>ESARBICA</td>
<td>East and Southern Africa Regional Branch of the International Council on Archives</td>
</tr>
<tr>
<td>GoK</td>
<td>Government of Kenya</td>
</tr>
<tr>
<td>ICA</td>
<td>International Council on Archives</td>
</tr>
<tr>
<td>ICT</td>
<td>Information and Communication Technology</td>
</tr>
<tr>
<td>ICTs</td>
<td>Information and Communication Technologies</td>
</tr>
<tr>
<td>IRMS</td>
<td>Integrated Records Management system</td>
</tr>
<tr>
<td>IRMT</td>
<td>International Records Management Trust</td>
</tr>
<tr>
<td>ISO</td>
<td>International Standards Organisation</td>
</tr>
<tr>
<td>IT</td>
<td>Information Technology</td>
</tr>
<tr>
<td>KNADS</td>
<td>Kenya National Archives and Documentation Services</td>
</tr>
<tr>
<td>LEGCO</td>
<td>Legislative Council</td>
</tr>
<tr>
<td>OP</td>
<td>Office of the President</td>
</tr>
<tr>
<td>PSC</td>
<td>Parliamentary Service Commission</td>
</tr>
<tr>
<td>RAM</td>
<td>Records and Archives Management</td>
</tr>
<tr>
<td>RM</td>
<td>Records Management</td>
</tr>
<tr>
<td>RMS</td>
<td>Records Management System</td>
</tr>
<tr>
<td>RMU</td>
<td>Records Management Unit</td>
</tr>
</tbody>
</table>
CHAPTER ONE
INTRODUCTION AND BACKGROUND INFORMATION

1.1 Introduction

Records are a valuable business asset. They are the lifeblood of the organisation’s businesses and should, therefore, be treated with the utmost concern and care. One of the key ways organisations are held accountable for their actions is through evidence of business transactions in the form of records. Records and archives provide a platform to access information by researchers, scholars, students, journalists, lawyers, and other people who may want to know about people, places, and events in the past (Magara, n.d).

Without an organised records and archives framework, a deficit in access to information is created. Such deficit contributes to inadequate and improper decision making within organisational and national establishments.

The success of any organisation is dependent upon an effective records management practice that ensures the right records are made available when needed for effective operation. Records management programme is an integral part of any organisation’s standard business operation. It ensures a smooth flow of information within and outside an organisation, leading to effective management that facilitates easy retrieval of readily identifiable and economically managed information.

Shepherd (2006), contends that records which are managed as part of an appropriate records management programme will help the organisation to conduct business in an efficient and accountable manner, deliver services consistently, support managerial
decision-making and transparent policy formulation and ensure continuity in policy execution, management and administration.

The introduction of computers in the middle of the twentieth century affected the role of records management in underpinning effective administration and businesses operations as organisations were beguiled by the impressive characteristics of digital technology, particularly in the creation, storage and retrieval of information along with apparently reliable security features. It is essential for organisations to have reliable record keeping systems for their sustainability, particularly for censorship and retention policies, intelligence, security and intellectual property purposes (Cox, 2001).

According to Shepherd (2006), there are three key values which can be met by good records. First, organisations use records in the conduct of current business, to enable decisions to be made and actions to be taken. Secondly, organisations use records to support accountability, when they need to prove that they have met their obligations or complied with best practices or established policies. Thirdly, records may also be used for cultural purposes: to promote awareness and understanding of corporate history. Records, therefore, need to be captured, managed and safeguarded in an organised system in order to retain their value as formal corporate records.

1.1.1 Characteristics of a Record

Records are part of organisational memory and are used to support organisational management. Cox (2001) states that the evidential value of a record can only exist if content, structure and context are preserved. The context is the link between different records that belong together, and also to the process where the record was created.
Managing Electronic Records (2004) by International Records Management Trust (IRMT) 2009 points out that content, context and structure are the key characteristics of a record and are defined as follows.

Content refers to the complete and sufficient information about a record which implies the message being conveyed by the record. Context refers to the information that enables users to identify a particular record. The elements of identification of a record include the title, author and the date the record was created. Context also provides information on the type of business transactions that generate the record. It facilitates an understanding of the history of the record and it is very crucial in ensuring authenticity and reliability of a record. Structure refers to the physical attributes of a record describing the format. It is concerned with how a record is organised and the linkage to other records.

According to International Records Management Standards ISO 15489:2001 (ISO) a record should correctly reflect what was communicated or decided or what action was taken. It should be able to support the needs of the business to which it relates and be used for accountability purposes. ISO 15489:2001 asserts that effective records should have the following qualities:

(a) Authenticity

An authentic record is one that can be proven to be what it purports to be, to have been created or sent by the person identified, and created or sent at the time purported. This requires that any alterations to a record are authorised, access is monitored and users are authenticated.
(b) Integrity

Integrity means that a record has to be kept as a complete set of all documents that it is made up of. Records should be securely maintained to prevent unauthorised access, alteration, damage, or removal. The quality should ensure that the record possesses a verifiably incorruptible data/content and can identify the intellectual qualities of information that make it authentic. Retention rules need to be applied at the folder level to ensure that full context of the documents is maintained until the prescribed destruction date of the full record.

(c) Reliability

Reliability means that records are an accurate representation of the transaction that they describe and can be depended upon. This can only be achieved by the components of a record being captured as part of the business process that they describe.

(d) Usability

Usability means that a record can be located, retrieved and readily available. This includes the accessibility and use of records for as long as required. There should be a contextual linkage of records which should carry the information needed for an understanding of the transactions that created and used them.

1.1.2 Records Management

There is no universally accepted definition of the term "records management" and this is an indication that the discipline of records management is dynamic (Yusof and Chell, 1999). International Standardization Organisation (ISO 15489-1:2001) defines records
management as the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records. From the perspective of the public sector in Kenya, records management is the application of systematic control of all recorded information in an organisation, which entails designing and directing a programme aimed at achieving economy and efficiency in the creation, use, maintenance and disposal of records (Musembi, 2005).

National Archives and Records Service of South Africa (2006) states that records management is a process of ensuring the proper creation, maintenance, use and disposal of records to achieve efficient, transparent and accountable governance. In short, sound records management ensures that all the records that governmental bodies create in the conduct of their official businesses are and remain authoritative and authentic. Sound records management implies that records are managed in terms of an organisational records management programme governed by an organisational records management policy.

International Standardization Organisation (ISO 15489-1:2001) states that records management includes activities such as setting policies and standards; assigning responsibilities and authorities; establishing and promulgating procedures and guidelines; providing a range of services relating to the management and use of records; designing, implementing and administering specialised systems for managing records; and integrating records management into business systems and processes.
Managing records is one of the cornerstones for effective delivery of public services. Sound records management delivers transparency by documenting and providing evidence of an activity, a decision or an agreement. Barrett 2002 observes that “records are an indispensable element of transparency both within government and externally in the private sector”. Records must be accurate and complete, with appropriate access and effective maintenance.

Records management is a key business process that underpins strategic planning, decision-making and operational activities. In the context of the Parliamentary Service Commission (PSC) operations, records provide the information by which the Commission meets and discharge its obligations to its clients.

1.2 The Parliament of Kenya

Parliament is Kenya’s central political institution of governance and derives its mandate from the people. The road to the present-day Parliament of Kenya has been long and not without drawbacks, with similar experiences replicated in many other jurisdictions around the world. The powers and duties of Parliament are expressly conferred upon it by the Constitution of Kenya. In many respects, Kenya’s Parliament mirrors that of many other African and Commonwealth states. Kenya existed under the British rule for more than 40 years, had a British model of government imposed upon it at independence, and soon became a one-party state headed by a popular leader.

The history of legislature in Kenya is an example of steady progress from colonial autocracy to a true modern democracy (Slade, 1967). By accommodating cultural and
historical realities the Parliament of Kenya has continued to allow for opposition and dissent within the system, while also providing stability for the governed to co-exist amidst diversity.

As a country with a colonial past, the transition process has also evolved through two distinct phases: the pre-independence era and the post-independence Parliament. These two phases amplify the transition process for the Parliament of Kenya. However, the trajectory of Parliament to exercise its constitutional mandate over time was shaped and weakened by subsequent amendments to the independence Constitution.

On 27th August 2010, Kenya promulgated a new Constitution, with Parliament playing a central role in the process. The new constitutional dispensation established a bicameral legislature consisting of the National Assembly and the Senate and composed of 350 and 68 members, respectively. This is the single most significant change in the architecture of Parliament since independence. (The Constitution of, Kenya, 2010)

1.2.1 National Assembly

The National Assembly consist of 350 members, who include 290 members each elected by the registered voters of single member constituencies, 47 women each elected by the registered voters of the counties, each county constituting a single member constituency, 12 members nominated by parliamentary political parties according to their proportion of members of the National Assembly, to represent special interests including the youth, persons with disabilities and workers, and the Speaker. The key roles of the National Assembly include representing the people of the constituencies and special interests, deliberating on and resolving issues of concern to the people, enacting legislation,
determining the allocation of national revenue between levels of government, exercising oversight over national revenue and expenditure, reviewing the conduct in office of the President, Deputy President and other State officers and approval of declarations of war and of states of emergency. (The Constitution of, Kenya, 2010)

1.2.2 The Senate

The Senate consists of 68 members of whom forty seven are elected by the registered voters of the counties, each county constituting a single member constituency, sixteen are women members nominated by political parties according to their proportion of county members of the Senate elected in terms of Article 90 of the Constitution, two men and two women representing both the youth and persons with disabilities, and the Speaker. The key roles of the Senate are to represent the counties and the interests of the counties and their governments; to participate in law making by considering, debating and approving Bills concerning counties; to determine allocation of national revenue among counties; to exercise oversight over national revenue allocated to county governments; and to participate in the oversight of State officers by considering and determining any resolution to remove the President or Deputy President from office. (The Constitution of, Kenya, 2010)

1.2.3 Establishment of the Parliamentary Service Commission

The reign of the 8th Parliament’s (1998–2002) was significant for the beginning of the autonomy of Parliament from the dictatorial hands of the Executive that had reduced it to a rubber stamp over the years. Parliament enacted the Parliamentary Service Act of 2000 following a constitutional amendment in 1999. The Parliamentary Service Act made
provision for the Parliamentary Service and for the establishment of the Parliamentary Service Commission (PSC) that provides leadership and management to the Parliamentary Service employees. Staffers who serve Parliament are now employees of the Parliamentary Service Commission and are no longer answerable to the civil service. (The Constitution of, Kenya, 2010)

1.2.4 Overview of the Parliamentary Service Commission

In its quest to attain an autonomous and independent status from the Executive, the 8th Parliament enacted the Constitution of Kenya (Amendment) Act (No. 3 of 1999), which established the Parliamentary Service Commission (PSC). In 2000, the Parliamentary Service Act was enacted to operationalise the said Constitution of Kenya (Amendment) Act. The PSC is one of the independent commissions whose establishment can be linked to the much hyped constitutional reforms in Kenya. Parliamentary Service Commission Strategic Plan (2012)

Members of Parliament are facilitated to discharge their mandates by staff employed by the PSC, which was established under Section 45B of the repealed Constitution and Chapter Eight of the current Constitution of Kenya. Under Article 127 of the Constitution, PSC consists of the Speaker of the National Assembly as the chairperson, seven members appointed by Parliament from among its number (of whom one is elected by the Commission as the vice-chairperson), and two other members, being one man and one woman, appointed by Parliament from among persons who are experienced in public affairs but are not members of Parliament. The Clerk of the Senate is the Secretary to the Commission. (The Constitution of, Kenya, 2010)
1.2.4.1 Mission, Vision, Mandate, Values and Functions of the PSC

1.2.4.1.1 Mission of the Parliamentary Service Commission
According to Parliamentary Service Commission Strategic Plan (2012) the mission of the PSC is to facilitate members of Parliament to efficiently and effectively fulfil their constitutional mandate in a representative system of government by upholding and ensuring the autonomy of Parliament in its corporate relationship with other arms of government.

1.2.4.1.2 Vision of Parliamentary Service Commission
The PSC aims to engender a supreme, effective, efficient and self-sustaining Parliament as a major participant in the process of good governance. (Parliamentary Service Commission Strategic Plan (2012)

1.2.4.1.3 Mandates of the Parliamentary Service Commission
The Constitution Kenya (2010) state that the mandates of the PSC include:

(a) The constitution and abolition of offices in the Parliamentary Service.

(b) The recruitment, appointment, deployment, disciplining, setting of terms and conditions of service and the termination of service of all staff.

(c) The provision of facilities and services to members and staff of Parliament and the supervision of the administrative mechanisms.

(d) The preparation of a budget for the National Assembly and the Senate and audit of expenditure.

(e) The review of the remuneration of members through an independent body;

(f) The promotion of the ideals of parliamentary democracy.
1.2.4.1.4 Values of the Parliamentary Service Commission

According to Parliamentary Service Commission Strategic plan (2012). The following are the values of the PSC:

(a) Promotion of democracy and the rule of law.

(b) Fostering of patriotism, peace and national unity.

(c) Provision of non-partisan and impartial advice and services to members of Parliament and its committees.

(d) Maintenance of the highest ethical standards.

(e) Maintenance of honesty, accountability and integrity in the delivery of services, while having regard to the principles of political neutrality, professionalism, economy, efficiency, equality and fairness, courtesy and discipline.

(f) Provision of a workplace that is free from discrimination, recognises the diverse backgrounds of the Service employees and promotes national integration.

(g) Maintenance of the spirit of co-operation in the workplace based on consultation and communication.

(h) Provision of a fair, flexible, safe and rewarding workplace.

(i) Inspiration of public confidence in and respect for the institution of Parliament.

(j) Fostering of understanding and co-operation among the three organs of State in the context of their autonomy and complementarity.

1.2.4.1.5 Functions of the Parliamentary Service Commission

The Constitution Kenya (2010) further explains that PSC exists to:

(a) Provide services and facilities to ensure the efficient and effective functioning of Parliament.
(b) Constitute offices in the Parliamentary Service, and to appoint and supervise office holders.

(c) Prepare annual estimates of expenditure of the Parliamentary Service and submit them to the National Assembly for approval, and to exercise budgetary control over the Service.

(d) Undertake, singly or jointly with other relevant organisations, programmes to promote the ideals of Parliamentary democracy.

(e) Perform other functions necessary for the wellbeing of the members and staff of Parliament.

The office of the Speaker exercises procedural, administrative and managerial roles and functions vested by law, procedure and tradition necessary to operationalise the role and functions of Parliament. The Speaker of each House is the presiding officer of the respective House and its chief spokesperson. The Speaker of the National Assembly chairs the PSC and is responsible for both policy direction and operations within Parliament.

The Clerk of each House is the principal procedural advisor to the respective Speaker, Deputy Speaker, other presiding officers and to all members on parliamentary procedures, practices, conventions and traditions. The role of the Secretary to the Parliamentary Service Commission moved from the Clerk of the National Assembly to the Clerk of the Senate.
The Clerk of the Senate is, therefore, responsible for the implementation of all policy matters approved by the Commission. (Parliamentary Service Commission Strategic plan 2008-2018)

1.3 Statement of the Problem

Records are a vital asset in ensuring that Government Institution and Commission are run effectively and efficiently, and is accountable to their staff, and the community that they serve. An organization with a solid foundation of proven successful records management practices will: preserve the right information for the correct length of time, meet legal requirements faster and more cost effectively, control and manage records management storage and destruction, archive vital information for business continuity and disaster recovery, provide information in a timely and efficient manner regardless of urgency of request, use technology to manage and improve the records management program, integrate policies and procedures throughout organization, establish ownership and accountability of the records management program, arrange for continuous training and communication throughout the organization, responsiveness, consistency review, audit and improve program continuously among others. In the case of the Parliamentary Service Commission (PSC) the researcher observed that there is a challenge in the management of records such that the above attributes of good records management practices luck and it is not clear how records are managed both physical and electronic. A compliant records management program is necessary for Parliamentary Service Commission to proactively and progressively manage all data, media and information. As the number of rules and regulations related to governing records management continues to increase, it becomes even more paramount that PSC follow best practices for proper
records management. PSC need to demonstrate good faith intentions to follow these best practices consistently and accurately. Furthermore there have been many instances whereby records were reported to be misplaced or missing thus raising questions as how records are managed, what system and policies are used in terms of records management at the PSC, which legislations and standards govern records management at PSC and who are charged with the management of records at the PSC? These questions motivated the researcher to research on the records management Practices at the Parliamentary Service Commission since there is no reference of any study that has been done in regard to records management Practices at the Parliamentary Service Commission of Kenya.

1.4 Aim and Objectives of the Study

1.4.1 Aim of the Study
The aim of the study was to evaluate records management practices at the Parliamentary Service Commission and to suggest ways in which these practices could be improved.

1.4.2 Objectives of the Study
The following were the objectives that guided the study:

a) To establish the existing records management practices at the Parliamentary Service Commission.

b) To examine whether records management practices conform to national legislation, policies and guidelines.

c) To examine whether records management practices at the Parliamentary Service Commission conform to records management standards.

d) To establish challenges facing the Parliamentary Service Commission records management practices.
(e) To suggest how records management practices can be enhanced by use of best practices.

1.4.3 Research Questions

The study was guided by the following questions:

(a) What are the current practices of managing records at Parliamentary Service Commission?

(b) What mechanisms, policies, rules, procedures and legislation are in place for managing records in the Parliamentary Service Commission?

(c) Which records management standards are in place for managing records in the Parliamentary Service Commission?

(d) Which challenges affect the management of records in the Parliamentary Service Commission?

(e) What recommendations can be made to improve records management best practices at the PSC?

1.5 Assumptions of the Study

The following were the assumptions of the study:

a) Records management practices at PSC do not conform to the existing legislation, policies procedures and guidelines.

b) Conformity with records management standards will enhance records management practices at the PSC.
1.6 Significance of the Study

1.6.1 Theoretical Significance
The study would be a new addition to the existing body of knowledge relating to records management practices in the Parliamentary Service Commission.

1.6.2 Practical Significance
The study would provide practical solutions to challenges facing records management in the Parliamentary Service Commission. In this regard, a records management framework would be designed to address the challenges encountered.

1.6.3 Policy-related Significance
The study would inform policy formulation including guidelines and regulations in records management at the Parliamentary Service Commission.

1.7 Scope and Limitations of the Study.

1.7.1 Scope of the Study
The study focused on evaluating records management practices at the Parliamentary Service Commissions concentrating on the management of records from creation, use, maintenance and disposal.(records life cycle)

1.7.2 Limitations of the Study
It was difficult to access top management level officers of the PSC due to their busy schedules and a lot of travelling. To address this challenge, the researcher booked appointments with such officers in good time.
1.8 Operational Definition of Terms and Concepts

Archives: Records, usually but not necessarily non-current records, of enduring value selected for permanent preservation. Archives will normally be preserved in an archival repository. (IRMT 1999)

Best practice: Commercial or professional procedures that are accepted or prescribed as being correct or most effective (World Bank, 2009)

Benchmark: The process of comparing performance metrics or best practices from other companies. (Wikipedia, 2006)

Document: Any form of recorded information, regardless of the purpose for which it was originally created or used. (International Records Management Trust, 1999)

Legislature: A governing body that makes laws and can also amend and repeal them. (The Constitution of Kenya, 2010)

National Assembly: The lower House of the Parliament of Kenya representing the people of constituencies and special interest while playing an oversight role over the Executive. (The Constitution of Kenya, 2010)


Public Record: Information by an organisation or person in pursuance of legal obligations or in the transaction of businesses. (International Records Management Trust, 1999)

Public Service: A service provided or supported by the government or its departments to the people it serves. (The Constitution of Kenya, 2010)
**Record:** A document regardless of form or medium created, received, maintained and used by an organisation (public or private) or an individual in pursuance of legal obligations or in the transaction of business, of which it forms a part or provides evidence a document regardless of form or medium created, received, maintained and used by an organisation. (International Records Management Trust, 1999)

**Records Management:** Field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including the processes of capturing and maintaining evidence of and information about business transactions in the form of records (ISO 15489-2001)

**Records Management Standard:** A documented agreement containing technical specifications or the precise criteria to be used consistently as rules, guidelines or definitions of characteristics to ensure that materials, processes and services conform to the desired requirements for managing records. ISO 15489-2001

**Records Management Policy:** An agreement across an organisation on how records will be handled and the procedures that will achieve those intentions. ISO 15489-2001

**Transaction:** An action or set of actions undertaken by an individual employee or by a group of employees acting on behalf of a department, with the actions concerned resulting in a definable outcome. (International Records Management Trust, 1999.)

**Senate:** The upper House of the Parliament of Kenya that represents counties and the interests of counties and their governments. (The Constitution Kenya 2010)
1.9 Chapter Summary

This chapter has given the background to the study, background information on the Parliamentary Service Commission and statement of the problem of the study. The chapter has also outlined the study objectives and research questions while also enumerating the assumptions, significance, scope and limitation of the study.
CHAPTER TWO

LITERATURE REVIEW AND THEORETICAL FRAMEWORK

2.1 Introduction

According to Mugenda and Mugenda (2003), Literature review enables a researcher to develop a clear understanding of the research topic; establish what has already been researched on the topic and identify gaps, which the researcher’s own study can fill. It should highlight concepts and theories on the subject area.

Mugenda and Mugenda (2003) explain further that literature review is a “thoughtful and logical discussion of related literature which builds a logical framework for the research and locates it within a tradition of enquiry and context of related studies”.

Kothari (2006) point out that literature review is very instrumental in any academic research as it enables the researcher to avoid unintentional plagiarism, position the study relative to other works, resolve conflicts amongst seemingly contradictory previous studies, identify new ways to interpret and shed light on the gaps in the previous studies and to identify research methods that could be relevant to the current study.

2.2 Theoretical Framework

The word ‘theory’ has a number of distinct meanings in different fields of knowledge, depending on the fields’ methodologies and the context of discussion. A number of authors have, however, presented definitions of theory both from a scientific and general viewpoint. The thrust of their definitions is that a theory is a set of hypotheses, assumptions or propositions, logically or mathematically linked, offered as an
explanation in general terms for a wide variety of connected natural observable phenomena. Theory should help scholars and professionals to develop a more comprehensive and precise understanding of institutions and related processes and dynamics in order to inform and transform practice. Models and theories are presented through literature, and informed by both practice and scholarly discourse. While theories and models are sometimes conflated in discussion and practice, models differ from theory in that they are designed to support practical application, discussion, and pedagogy. (Buckland (1990) Theory development also occurs because of shifts in understanding. In essence, theory can be a description of the intersections and relationships between concepts and constructs.

Formal criteria exist in other fields for critically evaluating theory. (Buckland (1990) point out that one initial approach used by many research fields such as psychology, education, and sociology includes education scholar Cecil Patterson’s eight criteria for evaluating a theory: that it should be important, not trivial; precise and understandable; comprehensive; simple and parsimonious but still comprehensive, able to be operationalized, empirically valid or verifiable, able to generate new research, new knowledge, and new thinking and ideas and useful to practitioners. Another way of using and understanding a theory is by evaluating it, both in relationship to new literature and research, and within professional practice, in order to stretch and refine both model and theory over time Using the records continuum model as the theoretical tool for this case study provided the opportunity to examine what the records continuum can say and illuminate about PSC records.
According to Buckland (1990) some records management practitioners argue that there are well defined and established theories governing records management practice. He adds that some theories or models supporting records management practice belong to allied disciplines or sciences and are used whenever the need for action founded on principles manifest itself. Two of the most well-known theories or models in the field of records management include the records life cycle and the records continuum models.

Research must be guided by some theoretical perspective to provide a framework within which there will be an attempt to answer the why question of the study. Without a theoretical orientation, the researcher can speculate at best or offer no explanation at all. According to Ngulube and Noko (2013) a theoretical framework may be used to test, apply or merely locate a proposed study within established theory.

Rodrigues, Ngulube and Chaterera (2013) further argue that a theoretical framework assists in identifying the variables that will be investigated and provide a frame for analysing and interpreting the findings. In records management, the terms ‘model’ and ‘theory’, in most cases, are used interchangeably. This is further emphasised by Rodrigues, Ngulube and Chaterera’s (2013) assentation that the term ‘model’ is often used instead of, or interchangeably with, the term ‘theory’ Two of the most well-known theories or models in the field of records management include the records life cycle and the records continuum models.
Using the records continuum model as the theoretical tool for this case study provides the opportunity to examine what the records continuum can say and illuminate about PSC records.

2.2.1 Records Management Models.

Many theories have been proposed by different scholars on the management of records in both public and private sectors in the world. The most commonly used theories in records management are the records life cycle concept and the records continuum model (Kemoni, 2008).

2.2.1.1 Records Life Cycle Model

The records life cycle concept was invented by the National Archives of the United States of America, in the 1930s, in response to the ever-increasing volume of records produced by public institutions. The life-cycle concept of the record is an analogy from the life of a biological organism, which is born, lives and dies. In the same way, a record is created, used for so long as it has continuing value and then disposed of by complete destruction or transferred to an archival institution.

This model is based on the premise that it is possible to divide the life of a record into distinct stages, as shown in Figure 2.1. The first phase of the life cycle would involve the creation or receipt; the second phase deals with maintenance and use of the record, which involves organisation, distribution, registering, scheduling and retrieval while the third phase takes care of disposition of these records through destruction or transfer to an archival institution for preservation for feature references (Atherton, 1985).
This approach has been useful in promoting a sense of order. It tries to define what a record is, what happens to it during the process and who will manage the record during each stage. However, since intervention this model is only triggered by the age and use of records resulting in physical relocation, this approach may not be ideal in an electronic environment where data storage media and reading mechanisms change frequently and the priority is usually to capture records with all their attributes and evidence at the point of creation (Mcleod, Hare and Johare, 2004). These authors make the case for intervention at the systems design stage to guarantee appropriate record creation and capture.

Figure 2.1 Life cycle of records
Source: US National Archives and Records Administration (2008)
2.2.1.2 Records Continuum Model

The Australian Standard for Records Management (AS 4390 (1996) has defined the records continuum model as a consistent and coherent regime of management processes from the time of the creation of records (and before creation, in the design of systems), through to the preservation and use of records as archives.

As defined in Australian Standard 4390, the records continuum is a consistent and coherent regime of management processes from the time of the creation of records and before creation, in the design of record keeping systems through to the preservation and use of records as archives the records continuum thinking is an answer to the new rules of the game, caused by what Upward (2000) argue is a paradigm shift driven by technology. Records continuum thinking can primarily be regarded as an approach that replaces life-cycle based perspectives with a continuous and a time/space construction (McKemmish, 2001). Information has most often been presented as created, used and maintained for a period and then placed in the archives when it was ’dead’. Furthermore, life-cycle thinking negates the transactional and evidential nature of records, disconnects both record managers and archivists from organisational purposes of recordkeeping since it is based on tasks, not systems, and it divides the professions. The records continuum instead expresses continuities between the work of records managers and archivists, and brings them together under the recordkeeping umbrella (McKemmish, 2001; Reed, 2000). However, there are divergent views on this – it is questioned whether there is an advantage to maintain separate specialists or whether electronic recordkeeping is the daily work of all archivists. (Reed, 2000); McKemmish (2000) argues that a large undertaking of re- inventing archives and records management work is ongoing. It
involves a more rigorous definition of the archival and records management discourse, especially concepts associated with a record’s qualities of transactionality and contextuality. The records continuum model builds on four principles (See Figure 2.2 below). As the first principle, Upward (2000) suggests a concept of records that includes their continuing value, that is, “a unifying concept of records inclusive of archives” (McKemmish, 2001). Furthermore, this concept stresses records uses for transactional evidentiary and memory purposes and thus unifies approaches to archiving and recordkeeping, regardless of records are kept for short or long-term. The second principle is to focus on records as logical rather than physical entities irrespective of their form (paper or electronic). The third principle is to emphasise the need to integrate recordkeeping into business and societal processes and purposes and the fourth principle, finally, is that archival science is the foundation for organising knowledge about recordkeeping (Upward, 2000). The last principle should be combined with an acceptance of the need to continue to identify the knowledge and skills in other disciplines of relevance. Finally Upward (2000) claim that recordkeeping should be integrated as a natural part of business and societal processes and purposes. A distinction made is also that archivists should focus on recordkeeping evidence not evidence from a legal perspective, since this is an area for other professionals, which are the legal experts (Upward, 2004). Upward continues by stating that when archivists emphasise electronic recordkeeping processes, it also distinguish them from librarians. It is also true that physical location is not important in the digital era – in virtual archives the location of resources and services is of no concern to researchers and citizens interested in their content (Upward, 1998). The continuous value of records also implies continuous
custody (instead of the distributed custody that is often used today), which in turn forces the establishment of new ways of legitimising responsibilities for records storage and custody that show all the shifts that have occurred. This results in the archival institutions fostering better recordkeeping practices within all dimensions of recordkeeping (Upward, 1998). The records continuum model is also a representation of a social system, i.e. the entire organisation with all its employees are encompassed by the model. When applying the model in an organisation, every archives must adapt the model to its situation, that is, the organisation need a strategy and a programme that is appropriate for its business needs and the culture in which it exists (Reed, 2000). The organisation creates or receives records, records that are regarded as continuously evolving, and thereby living and living evidence within the organisation. The record might be found anywhere, since the fundamental principle behind the model is the expanding of a social system where the division between time and space is erased, time and space cannot be separated. Hence, the model inherits a constant movement. Within the model, no separate parts are readily discernible. Its elements pass into each other, so the model is self-referencing (Upward, 1998a). Figure 2.2 shows that the records continuum model has four axes, or as Upward (2004) name them continua, that relate to accountability in an interconnected way, that is they address the issues of who did what (insofar as it can be identified in records), what traces of evidence and memory can be found of this, and how is the information stored. In other words, they represent Identity, which has to do with the authority, or organisation the model represents when applied to a specific organisation, the actor(s), the work unit the actor(s) are associated with, and the organisation. The next axis is Evidentiality and consists of traces of actions, since records are regarded as evidence of the different
transactions the organisation performs. The Transactionality axis represents the activities, functions and purposes as coordinates, and concerns records as a product of activities. Finally we have Recordkeeping containers, which deal with vehicles for the storage of records, since they are to be preserved (Upward, 1998a). The four dimensions represent different processes in connection with records in the organisation. First, records are a result of an activity. They are created or received. Create; This is the only zone of action, which means that all actions return us to this zone in transaction cycles (Upward, 2004). Thereafter metadata should be captured in a routine way in order to make the records useful. Capture; The Organise dimension deals with organising the memory so it is possible to share information with others. Lastly, the Pluralise dimension is about bringing the information to society. The idea behind the model is for information to be used in a more predictable and controlled way (Upward, 1998a). The process of communicating records make them transactional, and all recorded information is transactional (Upward, 2004).

The records continuum model was developed as a tool for evidence-based approaches to archives and records management. Here, the evidence concept is a synonym for archives and records, so recordkeeping should be interpreted in a broad sense, and archival description becomes a rich, multi-layered recordkeeping and archival function. Description is thus a series of iterative recordkeeping processes (McKemmish, 2001). The records continuum is meant to be a metaphor for the technically driven paradigm shift caused by information technology and systems practices. It aims to help us organise our knowledge by constituting the foundation for analyses. It is also a communication device that helps us understand complexity. However, since the issue is very complex,
the model naturally is a simplification. The purpose of the records continuum model is to be of help with the first analyses of tasks and missions that encompass different demands put forward by evidence-based records management. The records continuum model can be used to structure the analysis of early records management systems as well as the analysis of organisations’ records management within and between departments, from the smallest to the broadest levels of the organisation and its management. What implications might be seen for archivists, given that the records continuum model shows us a probable future?

Frank Upward offered a variant of records continuum model that he considered a paradigm shift. It consists of four dimensions and four continuous axes. The four dimensions are ‘create’, ‘capture’, ‘organise’ and ‘pluralise’ while the four axes are ‘identity’, ‘transactional’, ‘recordkeeping’ and ‘evidential’ (Upward, 2000). Figure 2.2 explains the dimensions and axes that make the continuum model ideal for the management of records in any organisation.
The records continuum model demands that records and archives professionals meet current and future community expectations through professional and operational requirements of the organisation. In consequence, this means that this model ensures the involvement of records managers and archivists from the very beginning to the ultimate disposition of the records within the context of hybridisation. In other words, the continuum approach means the end of the traditional demarcation between the functions of the records manager and the archivist, as the two professions are brought under one records keeping umbrella. According to Shepherd and Yeo (2003), the continuum is a
flexible and inclusive model that reflects a range of issues surrounding the role of records in contemporary organisations and society.

The continuum offers a holistic approach to records keeping because managing records is seen as a continuous process where one element of the continuum passes seamlessly into another. Upward, who is an adherent of this model, has summed it all up by advancing the view that the continuum model provides a worldview that can help harness the development of knowledge in records management globally (Upward, 2001).

Under the records continuum model, archivists and records managers would be involved in all the stages of managing records. According to Atherton (1985), these stages are ‘creation’, ‘classification’, ‘scheduling and maintenance’ and ‘use of information’. Millar (1997) further explains the four actions of records care under the records continuum model as below:

(a) Identification and acquisition: Archives management actions relate to the selection and acquisition of archives.

(b) Intellectual control: Archives management actions relate to the arrangement and description of archives.

(c) Access: Archives management actions relate to the description of archives.

(d) Physical control: Archives management actions relate to the preservation of records.
In summary then, there has to be a continuum of records management perspective. As Flynn (2001) has postulated, the records continuum model is well adapted for the management of electronic records. To put it in Upwards (2001) words, it is more in tune with electronic communications and technological change than a lifecycle view.

### 2.2.1.3 Relevance of the Continuum Model to the Present Study

Without a management program that controls records through the earlier phases of their lifecycle, those of archival value cannot be identified and safeguarded so that they can take their place in due course as part of the nation’s historical and cultural heritage.

The scope of the continuum involves; the generation of records though transactions and processes, the capture of those records in visible format, the organization of corporate and personal memory for posterity, and the pluralization of collective memory. The model delivers a tool for outlining the connection between archivists and records managers in the work of ensuring sound recordkeeping practices. It also helps to involve other stakeholders and how to work with them in this endeavor (McKemmish, 1998).

Pederson (1999) stated that such a model has four basic record-keeping functions: Which he acronyms as CADS:

(a) **Control**: Capture, identification, organisation and control.

(b) **Accessibility**: Ensuring access and usability.

(c) **Disposal**: Setting up provisions (appraisal criteria and disposal policies or procedures) for “capturing” appropriate records and for “cleansing” the regime of records that are no longer needed, whether for business, regulation or cultural/historical purposes.
(d) **Storage:** Maintaining record authenticity, integrity and usability over time.

The above records management practices dictates how poor or good a records management programme is. The continuing role of the records managers from the creation to the disposal of records is the one that probably governs the regulatory role of records management processes within institutions world over. It is from this perspective that the researcher advocate that the management of records at Parliamentary Service Commission is made effectively by the following records management practices:

(a) **Control:** Placing Records in a logical, documented record-keeping system to enable their retrieval and use; organizing and arranging them in a logical manner in order to allow for their retrieval and use and Maintaining the relationships between records and the processes that created them; eg Financial records, Human Resource Record and Administration records by ensuring that contextual information in records is maintained so that they do not loose meaning.

(b) **Accessibility:** Administering the process of migration across new hardware and software effectively to ensure continued access of E-Records and their usability by building and handling correct metadata and audit trails to ensure the legitimate acceptability of the records; Retrieving hardcopy records and making them available when needed for action to the right action officer and at the right time.

(c) **Disposal:** Ensuring disposal of Records is done according to regulations and procedures.
(d) *Storage:* Preserving the security, authenticity and integrity of records to enable their permanent preservation and admissibility as evidence in court or other governing bodies.

The continuum model reminds us that records including archives are created and maintained for use as a result of business and administration functions and processes, rather than as ends in themselves. Amongst the two concepts, the continuum concept is the best practice for managing both electronic and paper records when the aim is to improve responsiveness, increase efficiency, and satisfy user’s requirements. The records continuum model’s ideal integration can be viewed as a best framework for managing records in a broader context of archival science to connect the past to the present and the present to the future.

### 2.2.1.3.1 Continuum Model Strengths

The records continuum model can be used to structure the analysis of early records management systems as well as the analysis of organisations’ records management within and between departments, from the smallest to the broadest levels of the organisation and its management. McKemish (1998) Records managers and archivists are brought together under an integrated recordkeeping framework with the same goal: to guarantee the reliability, authenticity, and completeness of records. The framework provides common understanding, consistent standards, unified best practice criteria, and interdisciplinary approaches in recordkeeping and archiving processes for both paper and digital worlds. It provides sustainable recordkeeping to connect the past to the present and the present to the future. It can coherently exist in a broader dynamic, changeable
context that can be influenced by legal, political, administrative, social, commercial, technological, cultural and historical variables across time and space.

Mckemmish (1998) points out that the records continuum thinking is concerned with ideas about the role of recordkeeping which flow from this unifying concept in five key areas. Firstly, there is the role records play in governance, in regulating relationships between people and organisations, and as instruments of power and authority. Secondly, there is a link between recordkeeping and accountability in its broadest sense of accounting to each other for what we do to each other, encompassing corporate, social, cultural, and historical accountability. Thirdly, there is the role that recordkeeping plays in constituting corporate and collective memory, especially insofar as records capture experiential knowledge. Fourthly, there is a way in which recordkeeping can be understood as a kind of witnessing, providing evidence of both personal and collective identity. Finally, there is a way records function as sources of value-added information and can be exploited as assets, with new records being created in the process.

It is from those ideas that the applicability of the continuum model to the management of PSC records both paper and electronic records, has contributed to the model’s adoption in this study. The records continuum model is also found suitable for this study because of its holistic approach as it broadens the interpretation of records and recordkeeping systems presented by the lifecycle model. It strengthens the bond between records management practices through inter-relating the transactional axis, the records keeping axis and the collective memory axis. As is clearly enunciated by Atherton (1985), Millar (1997), An (2001), Upward (2001), Shepherd and Yeo (2003), among other scholars,
Because of these specific benefits, the continuum model is found appropriate for this study and hence its adoption.

2.2.1.3.2 Weaknesses of Continuum Model

Although the records Continuum Model has been, and continues to be of benefit to recordkeeping professionals, the model has generated certain concerns and fears amongst them. For example, Picot (1999) observed that the model and notions of its theory generated a certain reaction of fear and loathing in many people in the records and archives industry. The fear is that records managers and archivists share both territory and professional competencies and thus the continuum model posed a threat to their autonomy. She cautioned that, though the model would be invoked to justify restructuring job cuts or changes in workplace practices, these would not invalidate its usefulness. The model has been criticised, mainly from two groups. Archivists who regard themselves to be carriers of culture believe the model is too concentrated on records management, while records managers who view themselves as servants of contemporary organisations believe that it is too archival. These interpretations could be discussed, but it could also mean that it actually suits both groups. The emphasis on evidence could of course be interpreted as neglecting societal memory. It could be argued that all records eventually lose their evidential use, e.g. surviving records from the Roman Empire has no legal-evidential value today, and instead they carry societal memory. But, as Upward (2004) argue, people destroy as gladly as they preserve, so in the end it is a human choice what will remain and what will not. This is something that calls for attention and carefulness when we manage records. The information kept in the records will evolve and change, and lead us to new knowledge. Archivists must be aware of records shifting values. The
model traces its roots to Hilary Jenkinson (1937) who, in his celebrated manual, alluded to the fact that there are plenty of cases where documents have been drawn into the administrative circle after a century or more of idleness.

The point Jenkinson (1937) was trying to put across then was that records could lie dormant for a while and then be activated for business purposes. According to the continuum model, the distinction between records management and archives management need not be rigidly maintained (IRMT, 1999). An (2001) elaborates that the evolution of the concept of records continuum shows the processes of records management and archives management moving towards integration.

2.3 Review of Related Literature

2.3.1 Records Management Practices

Records management is an important function of an organization. Good and proper recordkeeping is evidence of a well-governed organization and should be seen as an integral part of, rather than incidental to, any business. In terms of strengthening corporate governance and promoting good management practices, as there are definite merits of sharing good records management practices and procedures (ISO 15489). Good information and records management involves: Having an organized approach to recordkeeping, Sharing information appropriately, Being able to locate and retrieve records when required, Providing evidence of activities, decisions and actions, Ensuring adherence to relevant legislation including ‘access to information’, Keeping what you need only for as long as is required (depending on administrative, legal or statutory requirements and Ensuring long-term preservation of records of archival value to maintain the corporate memory. (Iron Mountain, 2005).
Records management systems and procedures should facilitate compliance with organisation policies. Specific business functions and activities within an organisation may be subject to specific legislation or to professional best practice or relevant ethical guidelines. Kanzi (2010)

Kanzi (2010) points out that for sound records management practices to be in place, heads of institutions should designate or appoint a staff member (Records Manager) at senior management level to whom they can delegate the responsibility of ensuring that sound records management practices are implemented and maintained. He adds that records managers should develop and implement records management policies, which are endorsed by the heads of the institutions and their top management teams. Adherence to these policies should be continuously monitored and be reviewed on an annual basis. Furthermore, Kanzi states that there should be records management procedures to serve as a guide to employees, records classification system to facilitate efficient retrieval and disposal of records, and training of records managers and records office staff to equip them with the necessary skills to carry out their functions properly.

Scholars of records management models and practice agree that, in principle, organisations should create and capture records for every activity that involves more than one party and that they should identify and record every process that generates records (Bearman, 1994; Reed, 1997; Shepherd and Yeo, 2003). Therefore, records must be authentic, complete and usable. For example, even Information Communication Technology (ICT) systems must be able to generate or capture the ‘metadata’ that record the contents, contexts and structures of records within the business processes that produce
them (IRMT, 2008). In addition, Shepherd and Yeo (2003), in assessing the need to create and capture records, suggest that it is essential to consider the requirements of the organizations or particular business units that need records to provide evidence and information for operational use, the requirements of the organizations, particular business units or external stakeholders that need evidence to ensure accountability, the cost of creating, capturing and maintaining the records that organizations require and the risk to the organizations if they do not have these records.

International Organization for Standardization (ISO) 15489 (2001) is of the view that a policy for creating records is also necessary. It should stipulate the requirements for capturing, registering, classifying, retaining, storing, tracking, accessing and disposing of records. Organizations create and keep records so that designated users, mostly from within the organizations and occasionally from outside, can use them when they need to. Any records management system that captures records must have systems that allow users to use the records thoroughly (Shepherd and Yeo, 2003). Therefore, institutions create records for a purpose. The timely and accurate retrieval of records depends largely on how well organised and classified the records are. As a result, records classification systems should reflect the business activities of the organisations. Organisations need to determine the degree of classification control they require for their business purposes (ISO 15489-2001).

Shepherd and Yeo (2003) also point out that classification schemes are based on an analysis of functions, processes and activities, and they document the structure of a records management system and the relationship between records and the activities that
generate them. Again, they emphasise that it is necessary to use appraisal techniques to support decisions about retention, that is ‘which records can be destroyed at an early stage, and which merit longer-term or indefinite retention’. Other researchers and authorities emphasise that any effective records management programme requires classification (Kemoni, 2007; Reed, 2005). Vocabulary-control tools usually support classification systems. They give institution-specific definitions and explain the usage of terms.

Institutions should establish on-going programmes for training in managing records. Institutions can design or set up this training together with external bodies. They cannot retain files, irrespective of their format (paper or digital), indefinitely. The reason for this is the cost of storage and maintenance as well as slower and difficult access because of the high volumes. Records systems should be able to facilitate and implement decisions about retaining or disposing of records. Therefore, the effective management of records requires that there are procedures for the timely disposal of records that institutions no longer need to support current day-to-day activities or those that they do not need to retain for legacy purposes (ISO 15489, 2001).

2.3.2 Records Management Legislation

No government can operate without records because every government documents its actions. Additionally, government and civil servants must account for their actions to the citizens. It would be impossible to be accountable without records, if government records were non-existent or poorly managed (Parer, 2000). Government must also protect the rights of its citizens, the environment, land rights and territorial integrity. Past records
must be used to plan for the future of the nation and serve as part of its national heritage. Governments, therefore, often protect their records more rigorously than private organisations or business entities do. All these are possible if there are functional government legislation in place to ensure that its records are appropriately managed and preserved over time for accountability reasons. Legislation is expected to compel designated officers in records creation, processing and management to perform their duties. It is thus imperative to assert that records and archives legislation is an essential component of the wider legislative base of accountable and effective government. It provides the framework that enables a national records and archives service to operate with authority in its dealings with other agencies of the state.

Without an organised records and archives management framework there is a deficit in information access. Such deficit contributes to inadequate and improper decision making within organisational and national establishments. To avert the crisis, information provision and attention to records and archives management, preservation and conservation of archival materials need to be anchored on effective legislative and policy frameworks. Laws have a direct impact on the ways in which governments, organisations and individuals carry out their daily affairs. In addition, laws affect the way in which people create and use records since, in virtually all parts of the world, records form the basis for legal evidence. In the case of disputes between governments and citizens, between organisations and employees, between different levels of government, records are the means for proving or disproving claims or complaints (IRMT, 2009). Therefore, understanding how to manage records requires understanding the legal context in which records can and should be created and managed. Government uses legislation to ensure
that its records and archives are appropriately managed and preserved over time for accountability and historical reasons. According to Chibambo (2003), a good records management framework consists of information-related laws, policies and programmes, records management standards and practices, and the necessary qualified human resources to implement and manage the systems. The legal and policy frameworks ensure a strategic approach to building capacity to capture, process, store, use, conserve and preserve records as a national heritage.

Thurston, et al (2000) elaborate that in the absence of well-managed records, information can be manipulated, transparency becomes impossible and fraud flourishes. In that case, citizens cannot participate meaningfully in the governance process or hold government officials accountable for their actions and decisions and Freedom of Information is meaningless.

2.3.3 Legislation Relevant to Records Management in Kenya

In Kenya, there are several pieces of legislation that require government departments and ministries to maintain their records. They contain either explicit or implicit record keeping requirements that have an impact on the way records should be managed. The pieces of legislation include:

(a) The Public Archives and Documentation Service Act (Cap. 19of the Laws of Kenya) which empowers the Director of the Kenya National Archives and Documentation Service to advise on creation, use and disposal of records. The Director is also mandated to examine and advise on the maintenance and preservation of public records. The Act further empowers the Director to
acquire, house and preserve all public archives and records which are of historical value. In addition, the Director is required to grant public access to all public archives and records as well as authorise their destruction and disposal.

(b) Government Financial Regulations and Procedures provide guidelines on the preservation and destruction of accounting documents, books and records. It prescribes the minimum period such record may be retained before disposal is initiated by the accounting officers. Some of the documents referred to are those that may be of value to the Kenya National Archives, those of unfinished audit queries, and those that are likely to be required for pension purposes such as salary records.

(c) The Head of Public Service Circular No. OP/1/48A/66 dated 28th November 1985; the Chief Secretary Circular on Destruction of Non–Current Records(Circular No. 48A/66) of 28th August 1988 and Circular No. OP/1/48A/11/10 dated 7th July 1989 reminds public officers of their responsibility in the management and disposal of public records and archives. The circulars provide the procedures to be followed on the destruction of non-current government records. They further state that in the event a government ministry or department considers that particular records are no longer needed for current administrative purposes, the Director shall be notified without delay and requested for their appraisal and disposal. No valueless public records should be kept longer than necessary as this will result into wastage of public funds through uneconomical usage of office space and equipment.
(d) Office of the President Circular No. OP/39/2A dated 14th April 1999 titled “Cases of Missing and Lost Files and Documents in the Public Service” states that cases of missing and lost files in the public service are caused by poor records management practices which in turn has undermine public service delivery. It directs Principal Secretaries to ensure proper management of records and encourages members of the public to report cases where service delivery was delayed due to missing and lost files.

(e) Circular No. DPM.4/10A (9) of 27th October 2003 on streamlining the performance of registries in government ministries, departments, local authorities, provinces and districts. This was as a result of a task force constituted under the on-going Civil Service Reform Programme (CSRP) to critically examine the current records management systems and practices in government registries and make appropriate recommendations to enhance the quality of service delivery.

(f) The Secretary to the Cabinet and Head of Public Service Circular No. OP.40/1/1A dated 6th June 2003 on the improvement of records management for good governance notes that despite the many efforts by the Office of the President to curb the problems associated with records management, the state of records management in public offices has continued to be demanding.

In his study, Kemoni (1998) observes a number of weaknesses in the Kenyan Public Archives and Documentation Services Act, which include the limited power of the Director in regard to acquisitions and preservation of private records (considered to be private property). Secondly, the Director has no power over the issuing of disposition
authority. This authority is in the hands of a minister to which the department falls under. Thirdly, the Director is not responsible for the survey and appraisal of records belonging to security agencies. Fourthly, he or she is not responsible for issuing records management circulars without reference to higher authority, and cannot enforce record creating agencies to play a role in managing records created within their institutions. Despite the above legislations the Parliamentary service commission adherence is wanting.

### 2.3.4 Records Management Policy

A records management policy refers to an official document that guides records management functions in an organisation. Kennedy and Schauder (1998); Mampe and Kalusopa (2012) say that a records management policy is the official charter for performing all records management functions. They further point out that a records management policy should be clear and should outline records management functions in relation to the organisation’s recordkeeping requirements.

The purpose of the records management policy is to ensure that full and accurate records of all activities and decisions of an organisation are created, managed and retained or disposed of appropriately and in accordance with relevant legislation. This will enable an organisation to achieve information accessibility, business enhancement and improvement. The organisation will also meet its obligations for accountability while ensuring that it protects its rights and interests and those of its staff, clients and the community.
Mampe and Kalusopa (2012) acknowledge that in order for a records management programme to succeed there should be some level of awareness of the procedure, policies and standards governing the management of records. This position is also shared by Mountain (2010) when he argues that policies and procedures set standards and serve as evidence of the management’s support of and investment in a compliant records management program. They should address all records regardless of media type, making sure to include positions on electronic records and e-mail practices. Records management program guidelines must be consistently and universally applied. Cook (1999) argues that good records management begins with establishing policies, procedures and priorities before records are even created.

According to Wamukoya (2007), records management constitute a form of management policy which ensures that records are part of a system in which information flows logically and systematically within the organisation, satisfying the needs of creators, users and custodians. Wamukoya points out that bad records management is compounded by a number of factors such as lack of a national policy on records management, lack of records management standards, lack of records management guides/manuals, and lack of trained staff in records management who should provide guidance or assistance to institutions.

As a standard for best practices in records management, Section 6 of ISO 15489-1 (2001) specifies that an organisation should establish, document, maintain and promulgate policies and procedures to guarantee that its business need for evidence and accountability and information about activities is met. Section 5 of ISO 154889-1 (2001)
stipulates that a records management policy and procedures of an organisation should demonstrate the application of the regulatory environment to their business processes.

Mnjama and Wamukoya (2007), while quoting Griffin (2003), observes that in many governments, policies and guidance for managing the records of government are often non-existent and the legislative and regulatory framework is often weak or outdated. In some countries, the responsibility for managing the information on which government and citizens depend is often not properly assigned or is unclear.

According to Kanzi (2010), the long-term objective of the policy is to ensure that government bodies capture, maintain and protect a corporate memory of decisions and actions that impact on the lives of the people and the environment they govern. The records management policy should be reflective of these elements: responsible officer, indexing/allocating reference numbers, disposal, custody, security, legality, evaluation and conclusion. The Records Manager must ensure that the policy is implemented in such a way that everyone in the organisation is familiar with it, and it should be reviewed at regular intervals.

2.3.5 National Policy on Records Management in Kenya

A sound national policy on records management provides accurate dissemination of information, efficient retrieval of information, appropriate storage equipment, formalised standards and procedures, appropriate retention and disposal strategies, high level of security and ensures legislative and regulatory compliance, among other benefits.
According to the Draft National Policy on Records Management (2008), the purpose of the policy is to provide guidance in the management of records from creation to disposal and to facilitate standardisation in the application of procedures and practices in records and archives management. The policy, once promulgated, will provide a framework for efficient and effective creation, use, storage, maintenance, access and disposal of public records. It will enhance transparency, accountability and good governance in public sector management.

The effectiveness of a records management programme in the Parliamentary Service Commission and any organisation is highly dependent upon a policy that is wholly implemented, capturing all aspects and functions of the organisation. At the same time, it sets up a foundation and acts as a guide for the effective management of records in the organisation.

2.3.6 Records Management Standards

A standard is a benchmark on best practices which all those involved with records should adopt to manage the organisation’s records. There are several standards that should be followed in managing records. They include the following standards.

The ISO 15489-1 Information and Documentation- Records Management – Part1: General Standard, as Crockett and Foster (2004) describe, is the first international standard applicable to any organisation, devoted to records management, which provides detailed specification for the structure, content and implementation of records management programs. In a 2004 article titled “Using ISO15489 as an Audit Tool”, Crockett and Foster describe the experiences of a European pharmaceutical which
provide lessons for any organisation that wants to test the standard in its own records management programme. They identify the following areas where the Standard would be useful for auditing:

a) What records management programmes should encompass;
b) Identification of regulatory environment and what it comprises;
c) Main principles of records management;
d) Characteristics of records as defined in the standard;
e) Functionality and components of records systems;
f) Records management processes and controls; and
g) What monitoring and auditing should encompass

The standard covers records management in all organisations, whether large or small, public or private. It applies to records in any format and on any media. The standard provides guidance on the responsibility of organisations for records and records policies, procedures, systems and processes and it supports quality management for certification under the ISO 9000 quality management (ISO 9001:2000, 2000) and ISO 14000 environmental standards (ISO 14001:1996, 1996). The standard provides guidance on the design and implementation of records management system, but it does not cover the management of archival records in archival institutions. The standard also provides guidance on creating records policies, procedures, systems and processes to support the management of records in all formats. It is widely used in Australia and internationally, in both private and public organisations. The standard provides a descriptive benchmark that organisations can use to assess their records management systems and practices. It is designed to help organisations create, capture and manage full and accurate records to
meet their business needs and legal requirements and satisfy stakeholder expectations. This standard provides the basis for all the national archives’ records management standards, policies and guidelines.

The ISO 30300 series standards apply to management systems for records (MSR). An MSR is a management system used to direct and control how records are managed within an organisation at a strategic level. The standards are aimed at any organisation which wants to implement and maintain an MSR to support its business. They set out the objectives for using an MSR and describe a process approach, specifying roles for senior management. The standards do not alter the operational records management processes defined in ISO 15489, but upgrade the approach that senior management should take to the management of records at a policy and risk assessment level by managing procedures and technology, conducting routine audits and utilising continual improvement processes.

ISO 23081 provides a guide to understanding, implementing and using the metadata needed to manage records within the framework of ISO 15489. It focuses on the relevance of records management metadata to business processes. The standard establishes a framework for defining metadata elements and provides guidance on conducting a self-assessment on records metadata in relation to the creation, capture and control of records. It does not define a mandatory set of records management metadata, but instead assesses the main existing metadata sets (including Dublin Core, ISAD (G) EAD, ISAAR) against the requirements of ISO 15489 and considers their ability to support business and records management processes.
ISO 16175 is an international standard of principles and functional requirements for software used to create and manage electronic records in office environments. It was published in three parts between 2010 and 2011 and derives from the International Council on Archives’ (ICA) Principles and Functional Requirements for Records in Electronic Office Environments. It is based on the records functionality outlined in ISO 15489 and can be used to identify and evaluate records management functionality in systems. Although ISO 16175 is an international standard, it will not be implemented as a British standard.

MoReq2010 is the most recent European specification of requirements for electronic records management systems. The MoReq2010 specification has been developed by the DLM Forum, a community of public archives and other parties interested in archives, records and information management throughout the European Union, with the support of the European Commission. It builds on MoReq2 to deliver a more adaptable and scalable set of requirements for an electronic records management system, which can be adopted by all types of organisations in both the public and private sectors. The Core Services and Plug-in Modules were published in 2011 and further modules, dealing with specific types of record formats, are currently being written. Modules specific to records functionality in single sectors may also be forthcoming. Whereas MoReq2 specifies for a single record system that will embrace all the records an organisation creates, MoReq2010 accepts that records are generally created in many different systems within an organisation and instead seeks to specify the minimum requirements for a single application to manage its records and the common set of core services that are shared by many different types of record systems.
Although DoD 5015.2 is an American standard, it has been included here because many suppliers have achieved certification of their solutions against its requirements. DoD 5015.2 was first published in 1997 and last revised in 2007. It describes the basic mandatory functional requirements for records management application software used by the US Department of Defense. The standard defines required system interfaces and search criteria to be supported by an Electronic Records Management System and describes the minimum records management requirements that must be met, based on the US National Archives and Records Administration (NARA) regulations. It also identifies other non-mandatory features that are considered desirable. In the United States, DoD 5015.2 has been widely adopted outside of the defense industry, in both the private and public sectors, as defining best practices in electronic records management.

BS 10008 specifies the requirements for the implementation and operation of electronic information management systems, encompassing data processing and the exchange of data between computers and electronic storage. It addresses issues relating to the authenticity and integrity of records, which will help organisations to meet standards of legal admissibility. The standard also covers the process of electronic identity verification, including electronic signatures and electronic copyright. It provides best practice guidelines, which will help organisations manage electronic information and data security over time and through technology changes. The standard covers policies, security, procedures, technology requirements and the audit ability of electronic document management (EDM) systems.
BIP 0008 is a code of practice for the implementation of BS 10008. It focuses on the authenticity, integrity and availability of electronically stored information and is of particular relevance where stored information may be required as evidence in legal proceedings or other disputes. The Code provides a framework and guidelines for the implementation and operation of electronic storage systems and identifies critical compliance points that need to be taken into account. It covers planning, policy, security, risk assessment, data capture and handling, monitoring, reviewing and auditing, and the maintenance and continual improvement of systems.

BS 10008 specifies the requirements for the implementation and operation of electronic information management systems, encompassing data processing and the exchange of data between computers and electronic storage. It addresses issues relating to the authenticity and integrity of records, which will help organisations to meet standards of legal admissibility. The standard also covers the process of electronic identity verification, including electronic signatures and electronic copyright. It provides best practice guidelines, which will help organisations manage electronic information and data security over time and through technology changes. The standard covers policies, security, procedures, technology requirements and the audit ability of electronic document management (EDM) systems.

Most models and guidelines, including in South Africa and the United Kingdom, are aligned with the requirements of ISO 15489-1. Inter PARES Authenticity Task Force considers ISO 15489-1 to have two noteworthy features, which are the considerable amount of technical detail it provides in specifying required software functionalities, and
its address of matters such as organisational policies and procedures. According to Tough and Moss (2003), the shortcoming of ISO 15489-1 is its failure to define the term ‘file’ and it “appears to be deficient in respect of the role of file plans and directory structures”.

The approach is for organisations to look at the various models and guidelines and adopt the best features suitable for their needs. Different models and guidelines focus on different areas. As Fisher (2004) explains, some standards are more focused on providing a “checklist used to validate specific pieces of software for record-keeping purposes” such as DoD 5015.2-STD and the Public Record Office Standard. The scope of DoD 5015.2 is restricted to the management of active records. As a procurement standard, its contents focus almost exclusively on required system functionalities. Others “identify the overall environment in which any electronic system operates.

2.3.7 Challenges facing Records Management

Brendan (2012) observes the following as the challenges associated with records management. First of all, he notes weak legislative and organisational infrastructures as a major challenge. Studies by Kemoni and Wamukoya (2000) confirm that African records keepers lack the basic skills and competencies for handling records and archives in the public sector. There is a serious problem of technophobia in most offices in Africa, especially among the older employees. Due to inadequate skills in information technology, many traditional librarians, records managers, and archivists are very conservative and have phobia for computers. This may be due to generational gaps between the new and old professionals, which make analogue information managers to perceive computers as a threat to their status as experts. Ezeani (2010) observes that
younger librarians are faster in capturing the use of ICTs than the older librarians because “older librarians are finding it difficult to cope with the requirements of the digital age”. Ojedokun (2008) also notes that older librarians are “too reluctant to jettison the old practices for new one”. Successful application of information-handling technologies in the management of electronic records in developing countries requires an ability to overcome staff and personal resistance.

Brendan (2012) opines that the growing use of information technologies in record management creates a lot of problems in the management of records in both public and private organisations. He adds that in Africa, many developing countries governments are looking forward to computerising their core functions and compel most African countries to use ICTs in their public services by adopting e-government. Regrettably, these projects fail to succeed because governments neither assess the available information framework suitable for electronic records management, nor consult the records mangers to determine how the process of automation will affect the role of records managers in providing reliable and authentic evidence.

In Miller’s (2004) view, the conversion from traditional records management activities to electronic environment will not succeed in Africa if the underlying processes are not structured in an efficient and effective fashion. Many African states are jumping into the information technology bandwagon without adequately incorporating good records management strategies.
Lawal (2007) attributes the challenges associated with records management in most organisations to corruption or inadequate finance. According to him, corrupt leaders in Africa do not provide adequate funds, facilities, and infrastructure for proper and efficient electronic record management. Instead, corrupt bureaucrats intentionally distort public policies, public records, decision-making apparatuses, and sometimes go to a length to transfer experienced records managers in a bid to create opportunities for embezzlement. Bribery and corruption contribute to 90 per cent of the underdevelopment of Africa and their ineffective records management institutions. For example, studies have shown that the African Union (AU) in September 2002 estimated that corruption costs African economies more than US$148 billion a year.

Otuama (2010) identifies the following as the problems associated with records management in most organisations: Absence of an archival institution, the problem of oral traditions, inadequate skills and high staff turn-over, inadequate funding, poor housing and equipment, absence of an archival law, high levels of illiteracy, poor transport and communication network. Ilana (2008) identifies lost records and record storage as challenges associated with records management. According to her, lost records can range from a minor inconvenience for businesses to an enormous hassle that takes months, or even years, to resolve. Thus, if clients request documents from the company on a regular basis and the company is unable to provide them in a timely manner, or at all, the company risks the loss of their business in the future.
If important records are needed for a legal matter, such as defending the company against a lawsuit, not supplying the appropriate documents can cost huge sums of money, or even mean the dissolution of the business entirely. On record storage, she states that depending on the type of business for which the company keeps records as well as how long the company has operated, the company may find itself running out of space.

In a world of change, information has become the most dominant resource in the success of organisations. At the same time, organisations have to meet increasing regulatory and legal requirements. The management of recorded information, irrespective of form or format, is more vital to organisations than ever before (Sanderson & Ward, 2003). In its response to change, record management has moved along with several conceptual frameworks, from archives to information management. Now, the discipline has to acquire another framework, derived from information and communication technology.

The problems of record keeping identified generally in government institution in Kenya include: non-adherence to records legislation, polices, standards and guidelines which lead to loss of vital information and inadequate computer terminals. Others are difficulty in record retrieval and lack of appreciation by management and staff of the need for well-controlled records. However, theory and literature are emphatic as the significant contribution of good record keeping to an organisation if it will actualise it objectives in both the short and long term decisions.
2.4 Conceptual Framework

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

Figure 2.3 shows that records management is made up of two forms. These forms are electronics and manual records management. The proper and continuous management of these two forms of records management produce the records management practices in organisations. The records management practices have both benefits and challenges, which influence the way and manner in which records are managed within organisation
Figure 2.3: Conceptual Framework

Source: The researcher
2.5 Chapter Summary

This chapter presents a review of related literature in the area of records management practices in the world. It is organised under the following subsections: theoretical framework, records management models, legislations, policies, standards, practices, benefits derived from records management and challenges associated with records management. The chapter has also discussed the conceptual framework explaining records management practices in organisations.
CHAPTER THREE

RESEARCH METHODOLOGY

3.1 Introduction

Chapter three presents the research study design. It is thus indispensable for researchers to clearly state their research method (Kothari 2004; Ngulube (2005). Kothari (2004) pointed out that decisions regarding what, where, when, how much, by what means, concerning an inquiry or a research study constituted a research design. Pearce (2005) stated that, for all disciplines, the key elements of a research design are: defining the population and how it was obtained, sampling procedures, instruments used, procedures employed in gathering and processing data and the statistical treatment of the data (Ngulube 2005).

This chapter covers; Research Approach, Research Design, Study Population, Study Sample, Sampling Method, Sampling Techniques, sampling frame, Data Collection Methods, Data Collection Instruments, Validity and Reliability of Data Collection Instruments, Data Presentation, Analysis and Interpretation and Ethical Considerations

3.2 Research Method

Research method pertains to all those methods, which a researcher employs to undertake research process, to solve the given problem. The techniques and procedure, which are applied during the course of studying research problem, are known as the research method. It encompasses qualitative, quantitative and mixed method of performing research operations, such as survey, case study, interview, questionnaire, observation, etc.(Mugenda and Mugnda 2003)
These are the approaches, which help in collecting data and conducting research, in order to achieve specific objectives such as theory testing or development. All the instruments and behavior, used at various levels of the research activity such as making observations, data collection, data processing, drawing inferences, decision making, etc. are included in it. In a nutshell, research method refers to the technique which can be adopted to explore the nature of the world that surrounds us. This study applied mixed methods epistemology that enabled the researcher to collect qualitative data from policy makers and implementers and also quantitative data from a large sample of technical personnel.

According to Creswell (2003) mixed methods research is a research design with philosophical assumptions as well as methods of inquiry. As a methodology, it involves philosophical assumptions that guide the direction of the collection and analysis of data and the mixture of qualitative and quantitative approaches in many phases in the research process. As a method, it focuses on collecting, analyzing, and mixing both quantitative and qualitative data in a single study or series of studies. Its central premise is that the use of quantitative and qualitative approaches in combination provides a better understanding of research problems than either approach alone. Mixed methods research involves both collecting and analyzing quantitative and qualitative data. Quantitative data includes closed-ended information such as that found on attitude, behavior, or performance instruments. The collection of this kind of data might also involve using a closed-ended checklist, on which the researcher checks the behaviors seen. Sometimes quantitative information is found in documents such as census records or attendance records. The analysis consists of statistically analyzing scores collected on instruments, checklists, or public documents to answer research questions or to test hypotheses. In contrast,
qualitative data consists of open-ended information that the researcher gathers through interviews with participants. The general, open-ended questions asked during these interviews allow the participants to supply answers in their own words. Also, qualitative data may be collected by observing participants or sites of research, gathering documents from a private (e.g., diary) or public (e.g., minutes of meetings) source, or collecting audiovisual materials such as videotapes or artifacts. The analysis of the qualitative data (words or text or images) typically follows the path of aggregating the words or images into categories of information and presenting the diversity of ideas gathered during data collection. The open- versus closed-ended nature of the data differentiates between the two types better than the sources of the data.

3.3 Research Design

Kothari (2004) pointed out that decisions regarding what, where, when, how much, by what means, concerning an inquiry or a research study constituted a research design. Pearce (2005) stated that, for all disciplines, the key elements of a research design are: defining the population and how it was obtained, sampling procedures, instruments used, procedures employed in gathering and processing data and the statistical treatment of the data (Ngulube 2005).

According to Orodho and Kombo (2002), a research design is the structure of research. It is the “glue” that holds all elements in a research project together. A design is used to structure the research and to show how all major parts of a research project work together to try to address the central research questions. It is the scheme, outline or plan that is used to generate answers to research problems.
3.3.1 Survey Design

The survey design was applied within a case study for collecting quantifiable data from policy implementers and technical personnel because questionnaires were an efficient way to collect information from that large group of respondents and a flexible medium that could measure attitudes, knowledge, preferences, standardized, and less susceptible to errors. They were also essay to administer and were tailored according to the research problem.

3.3.2 Case Study

Case study research is consistently described as a versatile form of qualitative inquiry most appropriate for a comprehensive, holistic, and in-depth investigation of a complex issue phenomena, event, situation, organization, program individual or group in context, where the boundary between the context and issue is unclear and contains many variables (Yin, 2014).

Case study research can be used to study a range of topics and purposes (Simons, 2009;) however, the essential requisite for employing case study stems from one's motivation to illuminate understanding of complex phenomena (Yin, 2014). Primarily exploratory and explanatory in nature, case study is used to gain an understanding of the issue in real life settings and recommended to answer how and why or less frequently what research questions.

Case studies have been used in many different areas of management research including strategy, information systems, innovation and organizational change, reflecting the versatility of the design. Their ability to investigate cases in depth and to employ multiple sources of
Evidence makes them a useful tool for descriptive research studies where the focus is on a specific situation or context where generalisability is less important and in applied research, for example in describing the implementation of a programme or policy. It answers ‘how’ and ‘why’ questions, however, that case study research comes into its own (Yin 1998), for both theory building and theory testing.

Case study research is a qualitative approach in which the investigator explores a bounded system (a case) or multiple bounded systems (cases) over time through detailed, in-depth data collection involving multiple sources of information (e.g., observations, interviews, audiovisual material, and documents and reports) and reports a case description and case-based themes. (George and Bennet 2005). Evaluating Records Management Practice at Parliamentary Service Commission required the researcher to seek answers to such questions such as; What are the current practices of managing records at Parliamentary Service Commission?, What mechanisms, policies, rules, procedures and legislation are in place for managing records in the Parliamentary Service Commission?, Do PSC personnel comply with records management standards?, Which challenges affect the management of records in the Parliamentary Service Commission and What recommendations can be made to improve records management best practices at the PSC?

Case studies can also be used to research questions about process because the use of multiple data sources supports the retrospective investigation of events. This study employed a case study research design. This is because a case study research design allows a researcher to retain the holistic characteristics of real-life events while investigating empirical events.
It enabled the researcher to construct knowledge and give a voice to the management of records at the Parliamentary Service Commission of Kenya.

3.3.2.1 Strengths and Weaknesses of Case Study Designs

One of the greatest strengths of the case study design is its adaptability to different types of research question and to different research settings. The use of multiple sources of evidence allows triangulation of findings which, according to Yin (2009), is a major strength of the case study design. Case studies also offer the benefit of studying phenomena in detail and in context, particularly in situations where there are many more variables of interest than there are observations. Another potential advantage of case studies is that the format may make the research accessible to wider readership than some other designs. Nevertheless, case study research has its limitations. One technical issue is a variant of what is known as selection bias whereby the choice of cases biases the findings of the research, particularly with respect to excluding cases that contradict favoured theory. Another concern raised is generalisability, particularly of single case studies. A further concern about case study design is that since neither experimental nor statistical controls can be used in case study research, internal validity at least as it is understood in quantitative research may be hard to establish. Many of these concerns apply to qualitative research more broadly and it is important when evaluating case study research not to interpret them exclusively through the ‘prism of statistical methods’ (George and Benne 2005). Another limitation, or more accurately a practical challenge, of case study research is that it can be very demanding to carry out. One reason for this is the need for in-depth access to case sites. Another is the requirement it places on the
researcher in terms of dealing with the complexity of field research if multiple data collection methods are used.

### 3.4 Study Population

Cresswell (2003) states that study population is the complete set of individuals, cases or objects with some common observable characteristics. It is a group of individual persons, objects or items from which samples are taken for measurement. Population therefore refers to the larger target group to which the research seeks to focus on. The term population refers to a well-defined group from which a sample can be drawn and which is specified in very concrete terms (Neuman, 2000). An example of a population can be a person, a group, an organization, a written document or symbolic message, or even a social action under investigation. This study targeted 20 policy makers’ officers drawn from the two Speakers from the two Houses (National Assembly and the Senate) and their Deputies, the two Clerks and their deputies and all Directors. 40 policy implementers drawn from all deputy Directors, the two (National Assembly and the Senate) House Business committees clerks and 300 technical personnel of various departments in the Parliamentary Service Commission who manage records through their life cycle at the PSC. Table 3.1 shows the composition of the study population.
Table 3.1: Study Population

<table>
<thead>
<tr>
<th>category</th>
<th>population</th>
</tr>
</thead>
<tbody>
<tr>
<td>Senate Speaker</td>
<td>1</td>
</tr>
<tr>
<td>Senate deputy Speaker</td>
<td>1</td>
</tr>
<tr>
<td>National Assembly Speaker</td>
<td>1</td>
</tr>
<tr>
<td>National Assembly deputy Speaker</td>
<td>1</td>
</tr>
<tr>
<td>Senate Clerk</td>
<td>1</td>
</tr>
<tr>
<td>National Assembly Clerk</td>
<td>1</td>
</tr>
<tr>
<td>Deputy Senate Clerk</td>
<td>1</td>
</tr>
<tr>
<td>Deputy National Assembly Clerk</td>
<td>1</td>
</tr>
<tr>
<td>Directors from all PSC Directorates</td>
<td>12</td>
</tr>
<tr>
<td><strong>Total Policy Makers</strong></td>
<td><strong>20</strong></td>
</tr>
<tr>
<td>Policy Implementers</td>
<td>40</td>
</tr>
<tr>
<td>Technical Personnel</td>
<td>300</td>
</tr>
<tr>
<td><strong>Total Study Population</strong></td>
<td><strong>360</strong></td>
</tr>
</tbody>
</table>

### 3.5 Sampling Procedure

Sampling procedure are used to select a sample from within a general population. Proper sampling procedures are important for eliminating bias in the selection process. They can also allow for the reduction of cost or effort in gathering samples.

Neuman (2000) identifies two types of sampling techniques, namely probability (representative) sampling and non-probability (non-representative) sampling. With probability sampling, the researcher can determine the chance or probability of an element being included in the sample. This technique gives each and every member of the population an equal chance of being selected for the sample. Examples of probability sampling include simple random sampling, stratified sampling and cluster sampling. While Non probability sampling is where the population is not entirely known, thus individual probabilities
cannot be known. Common sense or ease is used to choose the sample, but efforts are made to avoid bias and keep the sample representative.

The study used Probability sampling method which ensured that all members of the population had a chance of being included in the sample. Advantages of Probability Sampling are: Cost Effective, Involves lesser degree of judgment, Comparatively easier way of sampling, Less time consuming, Can be done even by non-technical persons and Sample representative of population among others (Kothari 2013). Due to the above advantages, the researcher found the probability sampling method appropriate for the study. There are different types of sampling techniques that are used in probability sampling methods among them are random sampling, stratified sampling and systematic sampling (Kothari 2013).

The study adopted stratified random sampling. According to Kothari (2013), in stratified sampling, you first divide the population into subpopulations (strata) on the basis of supplementary information, and then draw samples randomly within each stratum, so as to achieve a representation from every stratum. The researcher used stratified sampling technique and the population was stratified as follows to pick respondents for one on one interviews; 8 respondents from the policy implementers strata who use records to make decision on issue affecting PSC, 12 respondents from policy implementers who use records as evidence to advise the management on different issues affecting PSC clients and 40 respondents from technical personnel because who manage records throughout their life cycle that is from creation, use, maintenances and deposition. The researcher distributed questionnaires to remaining respondents from different stratus. This method
guarantees representativeness as stated by Kothari (2013) and also fixes the proportion of different strata within a sample. In a nutshell, stratified sampling produces samples that are more representative than random sampling. This study adopted stratified sampling technique because it ensures that the researcher has adequate number of subjects from each class in the final sample. The researcher divided the entire target population into different subgroups, which are policy makers, policy implementers and technical personnel.

3.5.1 Sample Size

A sample is one of a number of things or one part of a whole, which can be examined to see what people like or think. Ngoako (2011) points out that a sample size includes the number of participants chosen from the whole population. It is the selection of research participants from an entire population, and involves making a decision about which people, setting, events, behaviour, and/or social processes to observe. The study used a sampling frame which defines a set of elements from which a researcher can select a sample of the target population. In social science research, a researcher must rely upon a sampling frame to represent all of the elements of the population of interest (Kalton, 1983) The Sampling frame for this study was the list of employee which included the 20 policy makers, 40 policy implementers and 300 technical personnel who used records in one way or the other while performing their mandate.

Using the table prepared by Krejcie and Morgan (1970) on how to determine a sample size from a given population, the researcher was able to come up with a sample size to be used in the research
The population was stratified as follows: 20 respondents from policy makers, 38 respondents from policy implementers and 250 from technical personnel

3.6 Data Collection Instruments

According to Ngoako (2011), data collection method is all about the procedures, techniques and tools used when collecting data from the sampled participants. Data was collected using a combination of data gathering methods which included predesigned questionnaires and interviews schedules.

3.6.1 Administration of Questionnaires

Questionnaire is a tool for collecting and recording information about a particular issue of interest. It is mainly made up of a list of questions and clear instructions and space for answers or administrative details (Kirklees, 2012). Dyk (2000) argues that a questionnaire is designed with a specific aim in mind, containing relevant items (questions) to determine the connection, cause or consequence between various aspects/variables in order to determine the current or potential state of affairs in respect of the uniqueness of the subject being researched. The reason for using a questionnaire in this study was that some of the respondents could not be interviewed due to the nature of their work and also to get the opinions of respondents in a more structured manner.

Table 3.2: Study Sample Size

<table>
<thead>
<tr>
<th>Category</th>
<th>Population (N)</th>
<th>Sample(n)</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Policy Makers</td>
<td>20</td>
<td>20</td>
<td>100%</td>
</tr>
<tr>
<td>Policy Implementers</td>
<td>40</td>
<td>38</td>
<td>95%</td>
</tr>
<tr>
<td>Technical Personnel</td>
<td>300</td>
<td>250</td>
<td>83.3%</td>
</tr>
<tr>
<td>Total</td>
<td>360</td>
<td>308</td>
<td>85.6%</td>
</tr>
</tbody>
</table>
Questionnaires were submitted to; 11 policy makers, 24 policy implementers and 129 technical personnel for self-filling.

The questionnaires were administered to; allow for feedback from a large number of the study sample size, allow each respondent the opportunity to provide anonymous feedback on their experience., allow for the exploration of patterns and trends which help to describe what is happening in the records management practices perspective, provide a measure of respondents’ opinions, attitudes, feelings, and perceptions about issues of records management at PSC and also help to identify patterns and trends that merit further exploration.

The questionnaires in this research provided an opportunity for respondents to give frank answers regarding the study because the researcher was not there to influence the response to the questions of the study. The questionnaires were completed at the leisure of the respondents and this helped to eliminate the variation in the questioning process due to the fixed format of this method.

3.6.2 Interviews

Interview is a method of data collection involving dialogue between two or more people. It is also a special case of social interaction. It involves direct contact with a participant who is asked to answer questions relating to the research problem (Bless and Smith, 2000). The interview method is very flexible and can be used to collect large amounts of information. The interviewer is able to have the respondents’ attention and to clarify difficult questions, guide the interview, explore issues and probe further as the situation requires. Appointments were booked by the researcher for interviews with 8 policy
makers, 12 policy implementers and 40 Technical personnel. The interviews were necessary in reviewing the statements made on the specific topics and to determine if there was a consensus or disagreement on responses from the questionnaires. The triangulation technique enables the researcher to use a combination of two instruments and thus the researcher will be able to capitalise on the respective strengths of the methods used, or to counteract the perceived limitations of each.

3.7 Validity and Reliability of Data Collection Instruments

Research credibility is dependent upon the accuracy of the data collection procedures. It is important, therefore, that the instruments used to gather data must answer the research questions (Tashakkori and Teddie, 2009). Whether a study employed quantitative, qualitative or mixed model approach, reliability and validity have been confirmed to be the major technical considerations (Babbie and Mouton, 2001). Chaterera (2013) argues that the concept of validity and reliability requires that researchers produce results that are consistent and reliable.

3.7.1 Validity of Data Collection Instruments

Mugenda and Mugenda (2003) observe that validity is the degree to which the results obtained from the analysis of the collected data actually represent the phenomenon under study. Validity will be tested by representativeness of the target population and consensual judgment by experts in records management practices. Data collection instruments were constructed using simple language to make it easy for the respondents to answer the questions properly. The interview schedules were verified by the researcher’s supervisor to ensure that they address the objectives of the study.
3.7.2 Reliability of Data Collection Instruments

Mugenda and Mugenda (2003) define reliability as a measure of degree to which a research instrument yields the same results on repeated trials. Reliability in research is influenced by random error, which is deviation from a true measurement. The research instruments were tested for reliability using test-retest technique on the pre-test sample for a period of two weeks. This technique involved administering the same instruments twice to the same group of subjects (pre-test sample) with an interval of one week. After the first testing, the second testing was done after one week on the study without sensitising the respondents to avoid influencing the response of the outcome. The results from the first and second trials were compared and correlated to give a measure of reliability while taking into account the time difference. The one-week interval was considered a reasonable period between the two testing sessions, since the respondents were contacted easily with minimal time interval.

3.7.3 Pretesting Data Collection Instrument

Pre-testing was conducted on the questionnaires and interview schedules and were carried out on 20 respondents randomly sampled from the target population; two policy makers, four policy implementers and 14 technical personnel. This group, however, was not included in the study sampling frame. The following were pretested for validity and reliability through the pre-test checklist:

(a) Objectives of the study.

(b) Scope of the study.

(c) Number of questions and their relevance.
Piloting established that the objectives of the study was inclusive to most issues of records management practices, the scope was not fully inclusive, and yes the questions were relevance and were clear with minimal grammatical errors with no technical terms. The concerns of the respondents were addressed before the researcher administered the questionnaires and interviews.

3.8 Data Presentation, Analysis and Interpretation

Data has no clear meaning unless it is analyzed and interpreted. Data analysis therefore gives raw data meaning and implications. Kothari (1990) states that data analysis involves a number of closely related operations which are performed with the purpose of summarizing the collected data and organizing it in a manner that answers the research questions. Marshall and Rossman (1989) list the operations of data analysis to include editing, coding, classification and tabulation. It also entails categorizing, ordering, manipulating and summarizing data in order to find answers to the research questions.

Microsoft excel was used to analyze the data. Data was analyzed as follows:

(a) An excel database was created in the form of columns, rows and cells.
(b) Data was then coded. Numbers were assigned to responses prior to entering the data.
(c) Data was entered beginning with rows, i.e. the numbers and the data for each question.
(d) Upon entering the data, it (data) was squared to make sure that it was accurate.

(e) Finally the data was analyzed using tables, graphs and percentages.

In this study, frequency distribution tables were used to present qualitative data obtained from questionnaires. The results were organised and presented according to the themes of the study. The findings were presented through symbolic representations such as bar charts and figures. Tables were used to display numerical and other results. Data of a qualitative nature obtained from the interviews was content analysed, presented in the form of frequency distribution tables and figures.

3.9 Ethical Considerations

Kombo and Tromps (2006) note that a researcher whose samples are people or animals must always consider the conduct of their research and give attention to the ethical issues associated with their research. There are a number of ethical issues that a researcher must consider when designing research that will utilize people as participants. Ethics are moral standards that can be followed in situations where there can be potential harm or actual harm to an individual or a group (Churchill, 1992). Awareness of ethical issues in research protects the integrity of the researcher and ensures honest research results. This study dealt with people as its respondents and the researcher therefore sought consent from the respondents telephonically and physically prior to their participation. The respondents were also informed of confidentiality when they were given the questionnaires, with further written assurance on the questionnaires of confidentiality and the freedom to choose to answer questions. The researcher assured the respondents of their anonymity, confidentiality, honesty, integrity, courtesy, privacy and also avoided embarrassing questions that could cause psychological harm to respondents. The researcher adhered to all legal and ethical considerations and
issues, all sources used in the study were acknowledged to avoid plagiarism and a general picture of the collected data was presented at the analysis stage to ensure the confidentiality and privacy of the respondent. Research instruments were pre-tested, to ensure that any embarrassing questions were avoided. Pre-testing of research questions ensured that research questions were specific, real, researchable, interesting to the researcher and that they encompassed the expected content and predicted the whole argument.

The researcher sought research permit and authority to carry out the research from the National Council of Science and Technology and the consent of the Secretary to the Parliamentary Service Commission of Kenya to carry out the research in the institution. Concealing research findings after completion of the research was part of the measures the researcher took to ensure the ethical consideration of the research.

3.10 Chapter Summary

This chapter highlights the research methodology used which formed the basis for the type of data collection tools that were used and how the data was analysed, presented and interpreted. The information that was obtained ensured that the aim and objectives of the study were realised.
CHAPTER FOUR
DATA PRESENTATION, ANALYSIS AND INTERPRETATION

4.1 Introduction
This chapter presents an analysis and interpretation of the research findings in line with the study objectives and research questions. Data presentation is a process of describing the data that was gathered, while analyzing the data involves building themes from that data that would serve as answers to the main research question. The presentation of these was done simultaneously in order to integrate the analysis with a rich description of the findings. The research was aimed at evaluating records Management practices at parliamentary Service Commission of Kenya.

Data was collected from the three categories namely the policy makers who included the two clerks (Senate and National Assembly), their deputies and the Directors; Policy implementers comprising of deputy directors, committee clerks from both houses who use records as evidence to advice the policy makers on actions to be taken on different issues and the technical staff involving departmental heads, their deputies, records management personnel and other clerical officers who manage records throughout their lifecycle and ensure their completeness (authenticity, integrity, reliability and usability). The study was concerned with Parliamentary Service Commission operational: Operational records are defined as information, created or received in the course of business, and captured in a readable form in any medium, providing evidence of the functions, activities and transactions of the organization. (ISO 15489-1:2001.) These records included;
(a) Administrative records; (Human resource files, financial and accounting records, audit reports, security safety records, research records, E-mails and Electronic records created in Microsoft Office applications.

(b) Legal Records; (litigation & Compliance and records associated with enquiry and complaint-handling).

(c) Service records; (transport files, catering records and telephone services records)

(d) Management records; (minutes of meetings, business plans and strategies, resolution reports and inventories).

(e) Project files; (Maps and plans, asset management, contract records, photographs and drawings).

(f) Records of parliamentary house business records (Committee Meetings reports, Bills, Minutes, Statements, report tabled, papers laid, resolutions adopted, audio and video tapes, cassettes, CD ROM, Hansard records).

4.2 Response Rate

According to American Association for Public Opinion Research (AAPOR) (2017), response rate, also known as completion rate or return rate, is the number of people who answered the survey divided by the number of people in the sample. It is usually expressed in the form of a percentage. The Response rates of 52.5.7% for this survey informed the researcher as to why there is a poor records management practice within Parliamentary service commission.
Table 4.1: Response Rate

<table>
<thead>
<tr>
<th>Category</th>
<th>Sample Size</th>
<th>Response Rate</th>
<th>Percentage (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Policy makers</td>
<td>20</td>
<td>19</td>
<td>95.0%</td>
</tr>
<tr>
<td>Policy Implementers</td>
<td>38</td>
<td>36</td>
<td>94.7%</td>
</tr>
<tr>
<td>Technical Personnel</td>
<td>250</td>
<td>224</td>
<td>89.6%</td>
</tr>
<tr>
<td>Total Respondents</td>
<td>308</td>
<td>279</td>
<td>90.6%</td>
</tr>
</tbody>
</table>

The percentage of response rates of the total respondents interviewed and administered with questionnaires were 90.6%. A total of 279 respondents were interviewed and administered with questionnaires giving the breakdown as follows: policy makers 19 (95.0%) respondents, policy implementers 36 (94.7%) and technical personnel 224 (89.6%). Questionnaires were dropped to technical personnel, policy implementers and policy makers (self-administered), and collected after two weeks. The data was then captured and analysed. For the open-ended questions, thematic themes were arrived at and given codes accordingly. The findings have been analysed, tabulated and recorded as frequencies and percentages where appropriate. The results have been presented in tandem with the objectives of the study as follows:

(a) Records management practices.
(b) Records management policies and guidelines.
(c) Records management practices standards.
(d) Challenges facing the PSC records management practices.

(e) Suggestions for enhancing records management practices

4.3 Records Management Practices

Study objective (a) sought to establish whether the Parliamentary Service Commission has developed procedures to manage records both electronic and paper throughout their life cycle such as creation, use, maintenance and disposal in a secure and proper manner.

4.3.1 Procedures to Manage Records

A high proportion of respondents, that is, 64.5% of the respondents, reported that the Parliamentary Service Commission had not yet developed procedures to capture, manage and store electronic and paper records in a proper and secure manner as compared to 35.5% of respondents who did agree. All three categories of respondents showed a similar pattern of saying that the PSC had not developed the procedures. Table 4.2 shows the summary findings from the respondents.

Table 4.2: Procedures to Manage Records (n=279)

<table>
<thead>
<tr>
<th>Developed Procedures in Place?</th>
<th>Technical Staff</th>
<th>Policy Implementers</th>
<th>Policy Makers</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>n</td>
<td>%</td>
<td>N</td>
<td>%</td>
</tr>
<tr>
<td>Yes</td>
<td>68</td>
<td>30.4</td>
<td>13</td>
<td>36.1</td>
</tr>
<tr>
<td>No</td>
<td>156</td>
<td>69.6</td>
<td>23</td>
<td>63.9</td>
</tr>
<tr>
<td>Total</td>
<td>224</td>
<td>100.0</td>
<td>36</td>
<td>100.0</td>
</tr>
</tbody>
</table>
4.3.2 Procedures on the Creation and Capture of Records

The researcher further sought to find out whether the Parliamentary Service Commission issued guidelines and procedures on the creation and capture of those records that are necessary to meet operational, fiscal, legal and other requirements. More than half 64.5% of the respondents said such procedures and guidelines did not exist while 35.5% of the respondents concurred that the guidelines and procedures were in place (See Table 4.3). Despite this, there was difference in opinion between technical staff, policy makers and policy implementers. A high proportion 72.3% of the technical staff were said such procedures and guidelines did not exist as opposed to policy makers and implementers who reported that the procedures and guidelines on the creation and capture of records had been created 66.7% and 68.4%, respectively (See Table 4.3).

Table 4.3: Procedures on the Creation and Capture of Records (n=279)

<table>
<thead>
<tr>
<th>Procedures on the creation and capture of records?</th>
<th>Technical staff</th>
<th>Policy Implementers</th>
<th>Policy Makers</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>n</td>
<td>%</td>
<td>n</td>
<td>%</td>
</tr>
<tr>
<td>Yes</td>
<td>62</td>
<td>27.7</td>
<td>24</td>
<td>66.7</td>
</tr>
<tr>
<td>No</td>
<td>162</td>
<td>72.3</td>
<td>12</td>
<td>33.3</td>
</tr>
<tr>
<td>Total</td>
<td>224</td>
<td>100</td>
<td>36</td>
<td>100</td>
</tr>
</tbody>
</table>

Procedures and guidelines for record management helps a lot in conformity with an organisation’s set policies according to Beastall (1998). Beastall argues that there are many benefits derived from the service offered through record management. The benefits can be attributed to the smoothness in the process of records flow within an organisation
and it ensures that much information is available at the right time and place for the required need. However, to realise these benefits, an organisation should have an efficient and effective record management programme. Records management in an organisation ought to be given an equal measure and weight like that which is given to other resources such as people, money and estate. The author further points out that record management will necessitate other staff in an organisation to easily and better do their jobs. The records manager is, therefore, required to delegate the task of handling records to the rest of staff in an institution.

4.3.3 Procedures on the Creation, Capturing, using, managing and Keeping Records

Table 4.4 shows summary results on whether the commission had issued adequate guidance and procedures to all staff on capturing, using, managing and keeping records created and received in the course of official business.

Table 4.4: Procedures on the Creation, Capturing, Using, Managing and Keeping Records (n=279)

<table>
<thead>
<tr>
<th>Adequate guidance, procedures to all staff</th>
<th>Technical Staff</th>
<th>Policy Implementers</th>
<th>Policy Makers</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>n</td>
<td>%</td>
<td>n</td>
<td>%</td>
</tr>
<tr>
<td>Yes</td>
<td>107</td>
<td>47.8</td>
<td>15</td>
<td>41.7</td>
</tr>
<tr>
<td>No</td>
<td>117</td>
<td>52.2</td>
<td>21</td>
<td>58.3</td>
</tr>
<tr>
<td>Total</td>
<td>224</td>
<td>100.0</td>
<td>36</td>
<td>100.0</td>
</tr>
</tbody>
</table>
Table 4.4 indicates that slightly more than half 53.4% of the respondents reported that the Commission had not issued adequate guidance and procedures on capturing, using and keeping records to the staff. The pattern was similar in all categories of respondents. Table 4.4 shows the rest of the summary.

The results exhibit a poor records management practice. One of the best records management practices requires that staff should be issued with adequate guidance and procedures on capturing, using and keeping records for sound management of records. This is in conformity with the idea espoused by Kanzi (2010). Kanzi argues that for sound record management practices, a record manager should be appointed from the staff by the authority of the organisation. The higher authority then will be given the mandate to ensure that the guidelines and procedure governing record management are adhered to. The author further points out those records managers are implementers of record management policies that are legislated by the higher authorities of the institution. However, the author advises that for sound records management, the management should ensure continuous adherence of the guideline and procedures set in conformity to the organisation’s policies and further set a mechanism on how monitoring and evaluation should be effected. In addition, the author says that guidelines and procedure to employees will help them to classify records to enable easy retrieval and disposal.

4.3.4 **Highest Record Management Related Professional Training**

The researcher sought to know the professional levels of the users and creators of records at the PSC. The study revealed that just a fraction of the whole PSC personnel has professional skills, as
Training managers and staff on records management will give them ability to possess aptitudes that will help them carry out their functions properly. Figure 4.1 shows various professional trainings that are related to records management that the technical staff have achieved.

![Pie chart showing record management training levels](image)

**Figure 4.1: Highest Record Management related Professional Training (n=279)**

Two-thirds 68% of the technical staff had not attended any training related to records management while only 32% of the respondents had a certificate, diploma or degree level of education, being made up of 30%, 1 or 1% and 1% of the respondents, respectively.

ISO 15489 (2001) requires organisations to set up programmes for training on record management. These trainings can be done in collaboration with external bodies. The trainings empower staff with skills to manage records well, either manually or electronically. Knowledge on what to be disposed at what particular time and what to be reserved for particular functions are all skills imparted to staff through record
management training. Guidelines and procedures of timely disposal are necessary in record management. Staff should be made aware of those records they no longer need in their day-to-day activities.

4.3.5 Security Measures on Record Management

Respondents were asked whether the Parliamentary Service Commission had put in place adequate security measures to protect records from unauthorised access and to prevent unauthorised and accidental loss or destruction of records. Table 4.5 shows that a high proportion 70.6% of the respondents reported that the PSC had not put in place adequate security measures to protect records from unauthorised access and prevent unauthorised and accidental loss or destruction while 29.4% of the respondents said the security measures were in place.

Table 4.5: Security Measures on Records Management (n=279)

<table>
<thead>
<tr>
<th>Security Measures in place</th>
<th>Technical staff</th>
<th>Policy Implementers</th>
<th>Policy Makers</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>N</td>
<td>%</td>
<td>N</td>
<td>%</td>
</tr>
<tr>
<td>Yes</td>
<td>62</td>
<td>27.7</td>
<td>15</td>
<td>41.7</td>
</tr>
<tr>
<td>No</td>
<td>162</td>
<td>72.3</td>
<td>21</td>
<td>58.3</td>
</tr>
<tr>
<td>Total</td>
<td>224</td>
<td>100.0</td>
<td>36</td>
<td>100.0</td>
</tr>
</tbody>
</table>

Access of some of the records which are very sensitive and vital requires permission or authorization from those who have access rights because these records are under a prescribed set of conditions.
4.3.6 Records Management Manual in Place for the Guidance of Managing Records

The researcher further sought to know whether the PSC had a records management manual in place to guide the management of records. Table 4.6 shows that a high proportion 81% of the respondents said there were no such manual. The majority of this category of respondents 94.7% was technical staff. However, this was contrary to opinion of policy implementers and policy makers who said that such manual was in place. This is an indication that the technical staffers who are key in record creating were, perhaps, not aware that such a manual existed. This can be attributed to lack of a person delegating the record management responsibilities to the rest of the staff.

Table 4.6: Records Management Manual in Place for the Guidance of Managing Records (n=279)

<table>
<thead>
<tr>
<th>Manual in place</th>
<th>Technical Staff</th>
<th>Policy Implementers</th>
<th>Policy Makers</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>n</td>
<td>%</td>
<td>n</td>
<td>%</td>
</tr>
<tr>
<td>Yes</td>
<td>12</td>
<td>5.4</td>
<td>28</td>
<td>77.8</td>
</tr>
<tr>
<td>No</td>
<td>212</td>
<td>94.7</td>
<td>8</td>
<td>22.2</td>
</tr>
<tr>
<td>Total</td>
<td>224</td>
<td>100.0</td>
<td>36</td>
<td>100.0</td>
</tr>
</tbody>
</table>

4.3.6.1 Aspects covered in the Record Management Manual

Respondents who said there were such manuals were asked to state the aspects covered in their records management manual.
Most of the respondents 61.6% said the aspect covered in the manual was best record keeping practices followed by reference to record management standards 30.9%. International Organization for Standardization (ISO15489 (2001) is of the perspective that an approach for making records is additionally essential. It ought to stipulate the necessities for capturing, registering, classifying, retaining, storing, tracking, accessing and disposing of records. Organisations make and keep records so that assigned users can utilise them when they have to. Any records management framework that captures records must have frameworks that permit clients to utilise the records altogether (Shepherd and Yeo, 2003). In this way, organisations make records for a reason. The convenient and exact recovery of records depends to a great extent on how ordered the records are.
Accordingly, records management frameworks ought to mirror the business exercises of the institutions. Organisations need to decide the level of grouping control they require for their business purposes (ISO 15489-2001).

### 4.3.7 Records Classification Scheme

Respondents were asked whether the Parliamentary Service Commission had developed and implemented records classification schemes which cover all records irrespective of nature or format. A high proportion of the respondents 63.4% said yes while 36.6% of the respondents said no (See Figure 4.3).

![Figure 4.3: Records Classification Scheme (n=279)](image)

For the respondents who said yes, the study further sought to know whether the classification scheme is systematic, logical, consistent and scalable to facilitate accurate and complete documentation of policies, procedures and decisions for the efficient carrying out of the organisation’s functions, activities and transactions.
4.3.7.1 Classification Scheme for Efficient Carrying out Functions

Figure 4.4 indicates that half 50.9% of the respondents said the classification scheme was efficient to carry out the organisation’s functions, activities and transactions while 12.5% of the respondents were of the contrary opinion.

Shepherd and Yeo (2003) comparatively draw attention to a classifications scheme, which depends on a series of procedures and activities and archive the structure of a records management framework. The authors further point out that the relationship in the creation of records and the activities that created them also matter. Moreover, the authors contend that it is important to utilize evaluation procedures to bolster choices on maintenance and to classify which records can be destroyed at an early stage and which ones justify longer-term or uncertain maintenance.
Different scientists and authorities accentuate that any viable records management program requires classification (Kemoni, 2007; Reed, 2005). Vocabulary control apparatuses typically bolster classification frameworks. They give organizations particular definitions and clarify the utilization of terms.

4.4 Records Management Legislation

Study Objective (B) sought to known whether there were pieces of legislation and regulations that guide the management of records in the Parliamentary Service Commission.

4.4.1 Legislation and Guidelines for Records Management at P.S.C

Table 4.7 shows that more than half 57% of the respondents said that such regulations existed as opposed to 43% of the respondents.

<table>
<thead>
<tr>
<th>Are there Legislation and guidelines</th>
<th>Yes</th>
<th></th>
<th></th>
<th>No</th>
<th></th>
<th></th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>n</td>
<td>%</td>
<td>n</td>
<td>%</td>
<td>n</td>
<td>%</td>
<td>n</td>
</tr>
<tr>
<td>Technical staff</td>
<td>122</td>
<td>54.5</td>
<td>23</td>
<td>63.9</td>
<td>14</td>
<td>73.7</td>
<td>159</td>
</tr>
<tr>
<td>Policy implementers</td>
<td></td>
<td></td>
<td>23</td>
<td>63.9</td>
<td>14</td>
<td>73.7</td>
<td></td>
</tr>
<tr>
<td>Policy makers</td>
<td></td>
<td></td>
<td>14</td>
<td>73.7</td>
<td></td>
<td></td>
<td>159</td>
</tr>
<tr>
<td>Total</td>
<td>224</td>
<td>100.0</td>
<td>36</td>
<td>100.0</td>
<td>19</td>
<td>100.0</td>
<td>279</td>
</tr>
</tbody>
</table>

A similar pattern was reflected across all categories of respondents where a high proportion of technical staff, policy implementers and policy makers 54.5%, 63.9%, and 73.7%, respectively agreed that the pieces of legislation and guides were in place.
4.4.2 Coverage of Legislation on Management of Records

The researcher further sought to know whether the legislation clearly covered the management of records in both electronic and paper formats. More than two-thirds 69.5% of the respondents said that the pieces of legislation and guidelines on the management of records did not cover the management of records both in electronic and paper formats while 30.5% of the respondents had contrary opinion (See Table 4.8). This is an indication that although there are pieces of legislation on record management, the same are inadequate or insufficient to be applied in record management.

Table 4.8: Coverage of Legislation on Management of Records (n=279)

<table>
<thead>
<tr>
<th>Legislation Cover management of record</th>
<th>Technical staff</th>
<th>Policy implementers</th>
<th>Policy makers</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>n %</td>
<td>n %</td>
<td>N %</td>
<td>n %</td>
</tr>
<tr>
<td>Yes</td>
<td>69 30.8</td>
<td>11 30.6</td>
<td>5 26.3</td>
<td>85 30.5</td>
</tr>
<tr>
<td>No</td>
<td>155 69.2</td>
<td>25 69.4</td>
<td>14 73.7</td>
<td>194 69.5</td>
</tr>
<tr>
<td>Total</td>
<td>224 100.0</td>
<td>36 100.0</td>
<td>19 100.0</td>
<td>279 100.0</td>
</tr>
</tbody>
</table>

In relation to legislation on records management, Parer (2000) terms government records as most essential. Therefore, poor records management translates into ineffective, non-transparent government that cannot be accountable to its citizens. The author observes that the rights of citizens such as land rights and territorial integrity should be guaranteed by government. All this can be done with the help of sound records management. Therefore, the government needs to have a good plan for records management than any other organisation. To safeguard government records, therefore, it is very vital to have
appropriate legislation in place for managing and preserving records over time for accountability reasons.

With legislation in place, staff assigned to oversee record management, creation, and processing perform their duties responsibly. It is thus imperative to note that records and archives legislation is an essential component of the wider legislative framework for an accountable and effective government. It provides the framework that enables a national records and archives service to operate with authority in its dealings with other agencies of the State.

4.4.3 Records Management Practices in Compliance with Legislations
This study further sought to know whether records management practices within the PSC comply with relevant records management legislation. The researcher found out that, though there is legislation in place, the records management practices within the PSC did not comply with relevant legislations 78.9% of the respondents as indicated in Figure 4.5.
**Figure 4.5: Records Management Practices in Compliance with Legislations (n=279)**

4.5 Records Management Policy

When the respondents were asked whether the Parliamentary Service Commission has a written records management policy.

4.5.1 Records Management Policy

Table 4.9 shows that most of the respondents 81% said there was none while 19% of the respondents said there was one. However, there were differences in opinion across the category of respondents. A high proportion of the technical staff 85.3% said there was no written policy contrary to the opinion of policy makers and policy implementers (52.6%; 72.2%).
Table 4.9: Records Management Policy (n=279)

<table>
<thead>
<tr>
<th>Written Record policy</th>
<th>Technical staff</th>
<th>Policy implementers</th>
<th>Policy makers</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>N</td>
<td>%</td>
<td>n</td>
<td>%</td>
</tr>
<tr>
<td>yes</td>
<td>33</td>
<td>14.7</td>
<td>26</td>
<td>72.2</td>
</tr>
<tr>
<td>No</td>
<td>191</td>
<td>85.3</td>
<td>10</td>
<td>27.8</td>
</tr>
<tr>
<td>Total</td>
<td>224</td>
<td>100.0</td>
<td>36</td>
<td>100.0</td>
</tr>
</tbody>
</table>

4.5.2 Policy Adoption at Top Management Level

The study further sought to know from the respondents who said a policy was in place whether the policy was adopted as organisational records management policy at the top management level. Out of 53 respondents who said the policy was in place, more than a half of them 50.9% said it was adopted at the top management level while almost a similar number 49.1% were of the opposite view (See Figure 4.6).

Figure 4.6: Policy Adoption at Top Management Level (n=279)
Kennedy and Schauder (1998) and Mampe and Kalusopa (2012) define a policy as an important document that gives clear directions for all organisational functions. The authors further state that a records management policy is the official charter for performing all records management functions. A records management policy helps in clearly outlining the records management functions in relation to the organisation’s recordkeeping requirements.

### 4.5.3 Policy Defines Clearly and Adequately the Records Management Programme

When respondents were asked whether the PSC policy define clearly and adequately the records management programme authority, objectives, responsibilities and the interrelationship of the staff who manage or perform records management processes, slightly more than half 56.6% of the respondents aid that it did not while 43.3% were of the opinion that it clearly and adequately defined the records management programme (See Table 4.10).

<table>
<thead>
<tr>
<th>Policy adequate</th>
<th>Frequency</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>23</td>
<td>43.3</td>
</tr>
<tr>
<td>No</td>
<td>30</td>
<td>56.6</td>
</tr>
<tr>
<td>Total</td>
<td>53</td>
<td>100.0</td>
</tr>
</tbody>
</table>

Table 4.10: Policy defines clearly and Adequately the Records Management Programme (n=279)

The major function of records management policy is to guarantee that full and precise records of all activities undertaking place at the organisation and choices of an organisation or institution are made, overseen and held or discarded properly, and as per
pertinent enactment. This empowers organisations to accomplish transparency of information, business progress and continuation. The organisation will likewise meet its commitments for responsibility while guaranteeing that it secures the rights and interests of the organisation, its staff, users and the community. This is in line with the argument of Mampe and Kalusopa (2012) who recognise that for a records management system to succeed there ought to be some level of efforts of the technique, strategies and measures overseeing the management of records. This argument is shared by Mountain (2010) who says that policies and procedures set serve as proof of management evidence of interest in connection to records management programme. They ought to address all records, paying little concern to media type while trying to incorporate positions on electronic records and email practices. Records administration programme rules must be reliably and generally connected. Cook (1999) contends that incredible records organisation begins with setting up systems, strategies and requirements before records are even made.

Likewise, Wamukoya (2007) points out that records management comprises a framework made of policies that ensure a systematic flow of information within an organisation, meeting all requirement or information needs of the record makers, users and custodians. The author further states that poor record management can be attributed to a number of factors. For instance, lack of a national framework for records administration, lack of record management standards, lack of manuals and guidelines and inadequate or absence of staff training who are key players in records management process.
4.6 Record Management Standards

Study Objective (C) sought to find out whether there were any internationally recognised records management standards such as ISO 15489 and ISO 27001 that could be employed in managing the PSC records.

4.6.1 Awareness of any Standards Managing Records

The results indicated in Table 4.11 show that more than half of the respondents, 57% were aware while 43% of the respondents were not aware of such standards. The pattern was similar across all categories of the respondents.

Table 4.11: Awareness of any Standards Managing Records (n=279)

<table>
<thead>
<tr>
<th>Aware of any records management standards</th>
<th>Technical staff</th>
<th>Policy implementers</th>
<th>Policy makers</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>n</td>
<td>%</td>
<td>n</td>
<td>%</td>
<td>n</td>
</tr>
<tr>
<td>Yes</td>
<td>112</td>
<td>50.0</td>
<td>32</td>
<td>88.9</td>
</tr>
<tr>
<td>No</td>
<td>112</td>
<td>50.0</td>
<td>4</td>
<td>11.1</td>
</tr>
<tr>
<td>Total</td>
<td>224</td>
<td>100.0</td>
<td>36</td>
<td>100.0</td>
</tr>
</tbody>
</table>

4.6.2 Use of Record Standards Management

The researcher further inquired whether, as record users, respondents were guided by any records management standards. 60.3% of the technical staff said that they did use such standards as compared to 39.7% of the respondents as shown in Figure 4.7 On the other hand, when the researcher sought from the management staff whether records management personnel were guided by any of the records management standards, two-
thirds 69.4% of policy implementers and a majority 84.2% of policy makers interviewed were of the opinion that they applied these standards in records management.

![Figure 4.7: Use of Record Standards Management (n=279)](image)

There are various standards for record management as the study discovered. For instance, Part 1 of the ISO 15489-1 on Information and Documentation Records Management provides general standards applicable in all sets of records management regardless of the organisation and type of records kept. Crockett and Foster (2004) are in agreement with this sentiment. They argue that, being the first international standard, it is applicable to all organisations. Further, the authors also identify ISO15489 as an audit tool. The authors point out various criteria that any organisation can follow wherever it wants to adopt this standard in auditing. These attributes are not limited to what records management
programmes should encompass, identification of regulatory environment and what it comprises, main principles of records management, characteristics of records as defined in the standard, functionality and components of records systems, records management processes and controls, and what monitoring and auditing should encompass.

The ISO 9000 focuses on quality management (ISO 9001:2000, 2000) and ISO 14000 focuses on environmental standards (ISO 14001:1996, 1996). The standards entail good guidelines on record management but fall short of management of archival records. The ISO 30300 series standards apply to management systems for records (MSR). ISO 23081 provides a guide to understanding, implementing and using the metadata needed to manage records within the framework of ISO 15489. ISO 16175 is an international standard of principles and functional requirements for software used to create and manage electronic records in office environments. MoReq2010 is the most recent European specification of requirements for electronic records management systems. These standards, among many other standards, are most essential in records management.

It is, therefore, upon an organisation to select from among many of the standards that properly fit its requirements in records management. Organisations should, therefore, look at the standards that suit their records management systems.

4.6.3 Purpose of Records Management Standards

The researcher sought to know the purpose of records management standards. Table 4.12 shows the result, whereby 60.2% of the respondents said it is for establishing efficiency of records distribution systems while 60.2% were of the opinion that it is for establishing
efficiency of records maintenance and use systems. The rest of the respondents had different opinion as shown in Table 4.12

Table 4.12: Purpose of Records Management Standards (n=279)

<table>
<thead>
<tr>
<th>Purpose of records management standard</th>
<th>Frequency</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Establish efficiency of records creation systems</td>
<td>25</td>
<td>9.0</td>
</tr>
<tr>
<td>Establish efficiency of records distribution systems</td>
<td>168</td>
<td>60.2</td>
</tr>
<tr>
<td>Establish efficiency of records maintenance and use systems</td>
<td>152</td>
<td>58.7</td>
</tr>
<tr>
<td>Determine efficiency of records appraisal and disposition systems</td>
<td>62</td>
<td>22.2</td>
</tr>
</tbody>
</table>

4.7 Challenges Facing the PSC Records Management

Study Objective (D) sought to find out the challenges faced by parliamentary service commission personnel while managing records. Table 4.13 gives a summary of challenges facing the Parliamentary Service Commission records management according to the respondents. More respondents identified lack of adequate professionally trained record managers, lack of records management policy as the major challenge. Other challenges stated were lack of records retention and disposition schedule/policy, improper security for records, use of paper documents for official purposes, lack of filing manual/finding aids and involvement of manual operations and inadequate resources.
Table 4.13: Challenges Facing Parliamentary Service Commission Records Management (N=279)

<table>
<thead>
<tr>
<th>Challenges</th>
<th>Frequency</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lack of records retention and disposition schedule/ policy</td>
<td>39</td>
<td>7.5</td>
</tr>
<tr>
<td>Lack of Record management policy</td>
<td>96</td>
<td>18.6</td>
</tr>
<tr>
<td>Improper security for records</td>
<td>40</td>
<td>7.7</td>
</tr>
<tr>
<td>Use of paper for official purposes</td>
<td>44</td>
<td>8.5</td>
</tr>
<tr>
<td>Lack of adequate professionally trained record Managers</td>
<td>134</td>
<td>25.9</td>
</tr>
<tr>
<td>Lack of Filing Manual/Finding Aids and Involvement of manual operations</td>
<td>34</td>
<td>6.6</td>
</tr>
<tr>
<td>Inadequate filing equipment</td>
<td>16</td>
<td>3.1</td>
</tr>
<tr>
<td>Inadequate records management resources</td>
<td>17</td>
<td>3.3</td>
</tr>
<tr>
<td>Ineffective means of retrieving records</td>
<td>16</td>
<td>3.1</td>
</tr>
<tr>
<td>Negative attitude in the system e.g. laziness, absenteeism, mediocrity etc.</td>
<td>41</td>
<td>7.9</td>
</tr>
<tr>
<td>Lack of back up facilities for ICT</td>
<td>40</td>
<td>7.7</td>
</tr>
</tbody>
</table>

4.7.1 Steps towards Addressing Challenges

When respondents were asked whether the Commission is taking any step towards addressing the challenges faced in the management of records, Figure 4.8 shows that more than half 61.3% of the respondents agreed that steps were being taken by the Commission to address these challenges while the rest disagreed.
4.8 Suggestions on Enhancing Records Management Practices

Study Objective (E) sought suggestions on Enhancing Records Management Practices at the Parliamentary Service Commission. Most of respondents (28.8%) stated that there was need for proper planning. 18.1% suggested regular maintenance and proper security for records to safeguard information, as shown in Table 4.14. The table shows other suggestions such as making sure that users are equipped with proper skills, involving all staff in records management process, training, allocation and assigning highly qualified ICT RMO personnel to monitor and manage records, purchase of modern equipment and software and sufficient budget and funding, among other suggestions.
Table 4.14: Respondents’ Suggestions on Enhancing Records Management Practices (N=279)

<table>
<thead>
<tr>
<th>Suggestions</th>
<th>Frequency</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Proper planning</td>
<td>150</td>
<td>28.6</td>
</tr>
<tr>
<td>Regular maintenance and proper security for records to safeguard information</td>
<td>95</td>
<td>18.1</td>
</tr>
<tr>
<td>Making sure that users are equipped with proper skills</td>
<td>63</td>
<td>12.0</td>
</tr>
<tr>
<td>Involving all staff in record management process</td>
<td>51</td>
<td>9.7</td>
</tr>
<tr>
<td>Training</td>
<td>49</td>
<td>9.4</td>
</tr>
<tr>
<td>Allocation and assigning highly qualified ICT&amp;RMO personnel to monitor and manage.</td>
<td>47</td>
<td>9.0</td>
</tr>
<tr>
<td>Purchase of the current hardware and software and provision of good ICT infrastructure</td>
<td>43</td>
<td>8.2</td>
</tr>
<tr>
<td>Sufficient budget and funding</td>
<td>26</td>
<td>5.0</td>
</tr>
</tbody>
</table>

4.9 Chapter Summary

This chapter presented and analysed data in accordance with the research objectives and research questions. It provided a summary of the research findings. The use of questionnaires and interview schedule in collecting data enabled the researcher to obtain reliable and verifiable data. The chapter discussed the findings generated by the study in themes that correspond to the study objectives. Data is presented in the form of descriptive narratives and where possible, figures, tables and charts are used to highlight issues. The findings show that records management at the Parliamentary Service Commission is weak in a number of areas. A majority of the respondents identified lack of awareness of records management policy, instruction manual, standards, legislation shortage of skilled staff, poor filing habits, decongestion in offices and lack of guidelines from top management levels as some of the challenges affecting records management practices at the PSC.
CHAPTER FIVE:
SUMMARY OF THE FINDINGS, CONCLUSION AND RECOMMENDATIONS

5.1 Introduction

This chapter gives a summary of the main findings of the study on records management at the Parliamentary Service Commission and suggests ways in which they can be enhanced. Several conclusions and recommendations have been made based on the study findings. Finally, the chapter provides suggestions for further research.

5.2 Summary of Findings

The study sought to:

   a) Find out the existing records management practices at the Parliamentary Service Commission.

   b) Examine whether records management at the Parliamentary Service Commission conform to national legislation, policies and guidelines.

   c) Examine whether records management at the Parliamentary Service Commission conform to records management standards.

   d) Establish challenges facing the Parliamentary Service Commission records management

   e) Suggest how records management practices at PSC can be enhanced.

5.2.1 Records Management Practices at the Parliamentary Service Commission

Objective (A) sought to find out the existing records management practices at the parliamentary service commission. The findings revealed that Parliamentary Services
Commission had not yet developed systems to manage records resulting to poor records management practices. Examples are; ineffective file classification and poor indexing schemes due of lack of clear guidelines, absence of specific and general retention/disposal schedules to facilitate preservation or destruction of records, lack of procedural manuals, lack of records management policies and lack of uniform guidelines on how to handle electronic record among others.

The findings further revealed that the PSC had failed to issue adequate guidelines on the management of records thought their life cycle and this exhibited a poor records management practice.

5.2.2 Records Management Legislation

Objective (B) sought to examine whether records management practices at PSC conform to national legislation, policies and guidelines while creating, using, maintaining and disposing PSC records. The findings revealed that although records users at PSC were aware of existence of the records management laws, policies and guidelines issued by the government their use was very minimal while managing records of PSC. The findings further revealed that there were inadequate legislations, policies and regulation at the Parliamentary Service Commission for use while managing both hardcopy and E-records. In any organisations, there should be a guiding framework, with pieces of legislation clearly covering the management of records in both electronic and paper forms. The pieces of legislation and guidelines should not only be in place, but adequate to be applied in records management. Such legislation are Cap. 19, Cap.14, Chapter.23 of
Government Financial Regulation and procedure and the DPM circulars on personnel records to mention but a few;

5.2.3 Records Management Standards

Objective (C) sought to examine whether records management practices at the Parliamentary Service Commission conformed to records management standards. Standards are essential in any organisation whose goal is to have sound record management. The purpose of standards in the management of records is to establish efficiency in creation of records, records distribution systems, records maintenance and use systems and to determine efficiency of records appraisal and disposition system.

The findings revealed that the respondents were aware of some internationally recognised records management standards such as ISO 15489 and ISO 27001 that they could employ in managing PSC records. Despite this, the respondents reported that they were rarely guided by any records management standards.

5.2.4 Challenges Facing the PSC Records Management

Objective (D) sought to establish challenges faced by the Parliamentary Service Commission records users while creating, using, managing and disposing records. The respondents pointed out challenges that they experienced included; inadequate funding or low allocation of money for records management, inadequate trained personnel to manage records efficiently, inadequate equipment, supplies and facilities in records offices, lack of clear records management regulations, standards, guidelines and procedures to guide the management of both paper and electronic records. Other challenges identified were lack of an automated records management programme to help
improve records management services, lack of adequate professionally trained record managers and failure to implement records management policy are the main challenges that face records management practices at PSC. This confirms other findings of this study where developed procedures to capture, manage and store electronic and paper records in a proper and secure manner were not in place.

5.2.5 Suggestions for Enhancing Records Management Practices at Parliamentary Service Commission.

Objective (E) sought Suggestions for enhancing records management practices at parliamentary service commission. Several suggestions were given by respondents for enhancing records management practices by use of best practices which included; implementation of policies, standards and guidelines, provision of adequate equipment, supplies and facilities in records offices, continued training of records management personnel to improve their skills, allocation of more funds to records management functions and activities and improved working conditions of records management personnel. Other recommendations were proper planning, regular maintenance and proper security of records to safeguard information, making sure that users are equipped with proper skills, involving all staff in records management processes, assigning highly qualified ICT and RMO personnel to monitor and manage records and purchase of modern hardware and software and provision of good ICT infrastructure.

5.3 Conclusion

From the findings of the study, it is clear that records at parliamentary service commission are not managed with the seriousness it deserves as other strategic resource.
It is clear that there are several shortfalls in the management of records within PSC such as;

(a) Poor or inadequate records management strategies such as carrying out records appraisals, developing retention and disposal schedules, creating records management procedures, preparing a disaster recovery and vital records plan
(b) Not putting into use records management relevant legislations, rules, regulation and standards. For example; (ISO 15489-2001) and the Public Archives and Documentation Services Act, Cap 19, and Cap 14.
(c) Inadequate skilled records management personnel to manage records
(d) Dedicated records management budget.
(e) Lack of records management policy to guide the management of records among others.

It is imperative then, that if records are going to be a strategic asset in PSC then they should be classified as a strategic resource and managed with seriousness it deserves observing all the best records management practices Ngoepe (2008;) states that the greatest need in government departments or any other organization is to develop strategies for managing records as a strategic resource for competitive advantage. As with any other business activity, it is important to devise a strategy for the introduction of good records management practices within PSC. It must be seen as a means of furthering the aims and objectives of the PSC and as making a direct contribution to the critical success of PSC business. Poor records management hinders good governance leading to poor management, corruption, fraud, bad decision-making, wastage of resources, among others issues.
5.4 Recommendations

The study identified various issues which affect records management at the Parliamentary Service Commission of Kenya. The study, therefore, makes recommendations to address the records management issues identified. The recommendations suggested are in line with the study objectives.

Taking into consideration the findings of the study, records management practices need to be improved to ensure that efficient and effective services are rendered to clients within parliamentary service commission Effective records management systems need to be put in place to ensure timely and speedy decision making with regards to the PSC’s mandate. The study therefore makes the following recommendations:-

5.4.1 Good Management of Records Practices

The first and most critical step in achieving a proper records management programme is to conduct a records survey that will involve assessing the functional areas of the organization Chaterera (2010). The types of records created/ received by PSC and the availability of any records influence the decisions made by the management. Records management activities influenced by records survey include but are not limited to carrying out records appraisals, developing retention and disposal schedules, creating records management procedures, preparing a disaster recovery and vital records plan. Chaterera (2010) states that the key step in developing a sound basis for proper records management practices is to inspect, monitor and examine all records created and kept by an office through conducting records and information management surveys amongst
other records management activities. Records surveys are therefore a corner stone in nurturing proper records management practices.

The records lifecycle states that records have a life similar to living organisms, from the time they are created until their final disposal. The study recommends that PSC’s records (both active and semi active) be given the same priority in managing them as other strategic assets, this will ensure that inactive records of enduring value are not erroneously destroyed or misplaced. According to Chinyemba and Ngulube (2005) the management of the records after their creation is just as important as ensuring that the right records have been captured. If the basic principle of records management, which is to manage organizational information so that it is timely, accurate, complete, cost-effective, accessible and usable is to be realized, then proper controls must be applied to records during the different stages they pass through from creation to disposal. This ensures that records maintain their value as authentic evidence of activity throughout their life cycle.

5.4.2 Records Management Policy, Legislation and Standards

The study recommends that PSC fast tracks the records management policy to serve as a guide that will enhance the records management activities within PSC. As stated by Chinyemba and Ngulube (2005) records management programmes operate within the framework of policies, rules and procedures that give guidance to the practice. The purpose of these is to provide an environment conducive to proper records management. Policy is also essential to provide broad guidelines in which procedures may be developed. A records management policy document will define policy on records
management and the objective of the policy should be the creation and management of authentic, reliable and usable records, capable of supporting business functions and activities for as long as they are needed (ISO 15489-2001). It will be necessary to ensure that the policy also covers the relevant legislations such as the Public Archives and Documentation Services Act, Cap 19, and Cap 14 of the Laws of Kenya, among others. An effective records management programme therefore must begin with a records survey, supported by well-defined policies and procedures, a team of well qualified and competent staff and support from top management (Mnjama 2004).

In addition to policies Chinyemba and Ngulube (2005) say that there is a need to have standards in place that identify best practices and benchmarks in order to achieve uniformity in practice. There is also a need for mechanisms to check compliance with policies, legislation, regulations, rules and procedures. One such mechanism would be the conducting of record management system audits within PSC. Chinyemba and Ngulube (2005) describe a records management system audit as regularly scheduled examination and verification of a specific activity to enforce compliance with established policies by making individuals and departments accountable.

5.4.3 Training Programs for Records Management Personnel
It is important that PSC engages more qualified records personnel who will be key in implementing records management programmes besides offering the much needed additional skills in the management of records. This records professional should be trained at different levels including, diploma and bachelors as well as postgraduate studies, this should be topped up with continuous short course perpetually. Ngulube (2001) emphasized that the proper management of records hinges on records managers
with the necessary skills and knowledge to deal with the records at every stage of their use by society. In the process of training, standards and guidelines would have to be looked at to ensure that records personnel received training according to the set standards. Having received training according to the standards and guidelines set would help to ensure that procedures and products of the training programme met certain requirements and remained consistent (Ngulube 2001). This would ensure that records are effectively managed, thus fostering accountability in reforming the records practice at PSC.

5.5 Suggestion for Further Research

The study evaluated records management practices at the Parliamentary Service Commission of Kenya and identified several issues which could be the subject of further study by records management researchers. Of great significance will be a study on the adoption of the ISO 15489:2001 in the management of records by government organizations, commission and ministries in Kenya. This is a comprehensive standard whose adoption and implementation is likely to offer major solution to records management and thus certification is necessary, through benchmarking between the best practice and the current state of records management. There is need to also study the training of records personnel in Kenya; for a long time, records management has been viewed as a function that can be conducted by anyone, which is far from the truth as has been evidenced in the levels of corruption and misplacement of records in the public sector therefore hindering effective and efficient service delivery.
REFERENCES


Faith Muthoni Njeru,
Master’s Student,
School of Information Sciences,
Moi University

To Clerk Senate/Secretary to the PSC Commission
Parliamentary Service Commission
Dear Sir,

Re: Assessing Records Management at the Parliamentary Service Commission of Kenya

I am a postgraduate student in the Department of Library, Records Management and Information Studies at Moi University and one of the PSC employee. I am carrying out a study on; Assessing Records Management at the Parliamentary Service Commission of Kenya and I request you to allow me carry out this study in the institution.

It is hoped that the findings and recommendations of the study will enhance Records Management at the Parliamentary Service Commission of Kenya.

Yours faithfully,

Faith Muthoni Njeru
P/N 80057192
Student NO. IS/MSC/RAM/008/13
APPENDIX 2: INTERVIEW SCHEDULE FOR THE POLICY MAKERS

Interview schedule for policy Makers on “Assessing Records Management at the Parliamentary Service Commission of Kenya”

I am a Master’s student in the school of Information Science, department of Library, Records Management and Information Studies at Moi University. As part of degree requirements I wish to conduct a study in the institution and hence the purpose of writing is to request you to find some time for an interview, which will enable me come up with factual and relevant information relating to records management in the PSC.

DESIGNATION......................................................................................................................................................

DATE OF INTERVIEW ...........................................................................................................................................

PLACE OF INTERVIEW ....................................................................................................................................... 

SECTION A: RECORDS MANAGEMENT PRACTICES

1) Do you consider records management as being essential in the attainment of Commission’s Attribute;  
Mission Yes [ ] No [ ]

Vision Yes [ ] No [ ]

Core values Yes [ ] No [ ]

2) Which of the following indicates how record management is essential in the attainment of P.S.C’s mission, vision and core values?

a. Enhances planning process [ ]
b. Enhance budgeting process [ ]
c. Enhances human resources management [ ]
d. Enhances good governance [ ]
e. Enhances auditing process [ ]
f. Enhances service delivery [ ]
g. Other, please specify (........................)
3) Does P.S.C have a record management programme that have necessary functionality to enable it to carry out and support the various records management processes taking account of workflow, records quantity and formats, and operational needs?

   Yes [ ]   No [ ]

4) Is the records management programme adopted as organisational policy at the top management level?

   Yes [ ]   No [ ]

5) Has parliamentary Services Commission developed procedures to capture, manage and store electronic and paper records in a proper and secure manner?

   Yes [ ]   No [ ]

6) Has parliamentary Services Commission issued guidelines and procedures on the creation and capture of those records that are necessary to meet operational, fiscal, legal and other requirements?

   Yes [ ]   No [ ]

7) Has the Commission issued adequate guidance and procedures to all staff on capturing, using, managing and keeping records created and received in the course of official business?

   Yes [ ]   No [ ]

8) Has parliamentary Services Commission put in place adequate security measures to protect records from unauthorised access and to prevent unauthorised and accidental loss or destruction of records?

   Yes [ ]   No [ ]

SECTION B: RECORDS MANAGEMENT LEGISLATIONS

9) Are there legislations and regulations that guide the management of records in parliamentary Service Commission?

   Yes [ ]   No [ ]
10) Do these legislations clearly cover the management of records in both electronic records and paper?
   Yes [ ]       No [ ]

11) Do the records management practices in P.S.C comply with the relevant records management legislation?
   Yes [ ]       No [ ]

12) If No, What do you think can be done to make sure records management department comply with the relevant records management legislations……………………………………

SECTION C: RECORDS MANAGEMENT POLICIES

13) Does Parliamentary Service Commission have a written records management policy?
   Yes [ ]       No [ ]       Not Sure [ ]

14) If yes is it adopted as organisational records management policy at the top management level?
   Yes [ ]       No [ ]       Not Sure [ ]

15) Does the policy define clearly and adequately the records management programme authority, objectives, responsibilities and the interrelationship of the staffs that manage or perform records management processes?
   Yes [ ]       No [ ]       Not Sure [ ]

16) If the P.S.C does not have a written policy, is there any existing strategy for recordkeeping (e.g. a plan of action designed to achieve a major or overall aim)?
   Yes [ ]       No [ ]       Not Sure [ ]

17) Have procedures and guidelines been established to underpin the records management policy for compliance by staff?
   Yes [ ]       No [ ]       Not Sure [ ]

18) Has the policy been properly authorised and promulgated to all staff concerned of the organisation
   Yes [ ]       No [ ]       Not Sure [ ]
SECTION D: RECORDS MANAGEMENT STANDARDS

19) Are you aware of any internationally recognized records management standards such as ISO 15489 and ISO 27001 that P.S.C could employ in managing records?
   Yes [ ]   No [ ]

20) Are the records management personnel guided by any of these records management Standards?
   Yes [ ]   No [ ]

21) If yes, which of the following reflects the purpose of the records management?
   a. Establish efficiency of records creation systems [ ]
   b. Establish efficiency of records distribution systems [ ]
   c. Establish efficiency of records maintenance and use systems [ ]
   d. Determine efficiency of records appraisal and disposition systems [ ]
   e. Other, please specify ……………..

SECTION E: CHALLENGES AFFECTING RECORDS MANAGEMENT PRACTICES

22) In your opinion, which challenges do the records management department face that undermine the Commission mandate?
   b) Inadequate funding [ ]
   c) Lack of enough trained personnel [ ]
   d) Lack of equipment, supplies and facilities [ ]
   e) Lack of clear records management policy and standards [ ]
   f) Lack of guidelines and procedures [ ]
   g) Low priority given to records management programme [ ]
   h) Any other (Please specify) ………………………..

23) Is the Commission taking any step towards addressing the challenges faced in the management of records?
Yes [ ]    No [ ]

24) If yes please specify..................

25) What suggestions can you recommend to enhance efficiency of records management practices in the P.S.C.................

Thank you very much for your time.
APPENDIX 3: INTERVIEW SCHEDULE FOR THE POLICY IMPLEMENTERS

Interview schedule for policy implementers on “Assessing Records Management at the Parliamentary Service Commission of Kenya”

I am a Master’s student in the school of Information Science, department of Library, Records Management and Information Studies at Moi University. As part of degree requirements I wish to conduct a study in the institution and hence the purpose of writing is to request you to find some time for an interview, which will enable me come up with factual and relevant information relating to records management in the PSC.

SECTION A: RECORD MANAGEMENT PRACTICES

1) Do you consider records management as being essential in the attainment of the following attributes of the Commission?
   Mission Yes [ ] No [ ]
   Vision Yes [ ] No [ ]
   Core values Yes [ ] No [ ]

2) Which of the following indicates how record management is essential in the attainment of P.S.C’s mission, vision and core values?
   a. Enhances planning process [ ]
   b. Enhance budgeting process [ ]
   c. Enhances human resources management [ ]
   d. Enhances good governance [ ]
   e. Enhances auditing process [ ]
   f. Enhances service delivery [ ]
   g. Other, please specify (...........)

3) Is there a comprehensive records management programme in place to manage records in P.S.C?
4) Is the records management programme adopted as organisational policy at the top management level?
Yes [ ] No [ ]

5) Has parliamentary Services Commission developed procedures to capture, manage and store electronic and paper records in a proper and secure manner?
Yes [ ] No [ ]

6) Has parliamentary Services Commission issued guidelines and procedures on the creation and capture of those records that are necessary to meet operational, fiscal, legal and other requirements?
Yes [ ] No [ ]

7) Has the Commission issued adequate guidance and procedures to all staff on capturing, using, managing and keeping records created and received in the course of official business?
Yes [ ] No [ ]

8) Has parliamentary Services Commission put in place adequate security measures to protect records from unauthorised access and to prevent unauthorised and accidental loss or destruction of records?
Yes [ ] No [ ]

9) Does the PSC have a records management manual in place for the guidance of managing records?
Yes [ ] No [ ]

10) If yes in the above question, which of the following aspects are covered in the records management manual?
   a) Has best record keeping practices [ ]

   b) Makes reference to records management standards [ ]
c) Has clearly outlined responsibilities of each records management personnel in the PSC [ ]

d) Provides guidelines on how records management such as disposition, filing, storage etc. ought to be carried out [ ]

e) Other, please specify (…………..)

11) Has parliamentary Services Commission developed and implemented records classification schemes which cover all records irrespective of nature or formats?
   Yes [ ]    No [ ]

12) If yes, is the classification scheme(s) systematic, logical, consistent and scalable to facilitate accurate and complete documentation of policies, procedures and decisions for the efficient carrying out of the organisation’s functions, activities and transactions?
   Yes [ ]    No [ ]

13) Has parliamentary Services Commission issued guidance for sharing information/records between sections/units to avoid keeping unnecessary duplicates?
   Yes [ ]    No [ ]

14) Please rate the state of records management practices in P.S.C from 1 (very poor) to 5 (Very good)
   1 Very poor
   2 Poor
   3 Unsure
   4 Good
   5 Very good

Please justify your Answer…………………………………………………………………………………………………………..
15) As the head of department, what support do you provide to the management of records in your department?

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

.SECTION B: RECORDS MANAGEMENT LEGISLATION

16) Are there legislation and regulations that guide the management of records in parliamentary Service Commission?
   Yes [ ]     No [ ]

17) Do these legislation clearly cover the management of records in both electronic records and paper?
   Yes [ ]     No [ ]

18) Do the records management practices in your department comply with the relevant records management legislation?
   Yes [ ]     No [ ]

19) If No, What do you think can be done to make sure records management department comply with the relevant records management legislations………………………………………….

.SECTION C: RECORDS MANAGEMENT POLICIES

20) Does Parliamentary Service Commission have a written records management policy?
   Yes [ ]     No [ ]

21) If yes is it adopted as organisational records management policy at the top management level?
   Yes [ ]     No [ ]

22) Does the policy define clearly and adequately the records management programme authority, objectives, responsibilities and the interrelationship of the staffs that manage or perform records management processes?
   Yes [ ]     No [ ]
23) If the P.S.C does not have a written policy, is there any existing strategy for recordkeeping (e.g. a plan of action designed to achieve a major or overall aim)?
   Yes [ ]    No [ ]

24) If yes, please indicate which method or strategy is currently being used in your department for records management
   ……………………………

25) Have procedures and guidelines been established to underpin the records management policy for compliance by staff?
   Yes [ ]    No [ ]

26) Has the policy been properly authorised and promulgated to all staff concerned of the organisation
   Yes [ ]    No [ ]

SECTION E: RECORDS MANAGEMENT STANDARDS

27) Are you aware of any internationally recognized records management standards such as ISO 15489 and ISO 27001 that P.S.C could employ in managing records?
   Yes [ ]    No [ ]

28) Are the records management personnel guided by any of these records management Standards?
   Yes [ ]    No [ ]

29) If yes, which of the following reflects the purpose of the records management Standards?
   a. Establish efficiency of records creation systems [ ]
   b. Establish efficiency of records distribution systems [ ]
   c. Establish efficiency of records maintenance and use systems [ ]
   d. Determine efficiency of records appraisal and disposition systems [ ]
   e. Other, please specify (………….)
SECTION F: CHALLENGES AFFECTING RECORDS MANAGEMENT PRACTICES

30) In your opinion, which challenges do the records management department face that undermine the Commission mandate?

b) Inadequate funding [ ]

c) Lack of enough trained personnel [ ]

d) Lack of equipment, supplies and facilities [ ]

e) Lack of clear records management policy and standards [ ]

f) Lack of guidelines and procedures [ ]

g) Low priority given to records management programme [ ]

h) Any other (Please specify) …………………

31) Is the Commission taking any step towards addressing the challenges faced in the management of records?

Yes [ ] No [ ]

32) If yes please specify…………………………………………………………………………………………

33) What suggestions can you recommend to enhance efficiency of records management practices in the P.S.C.

………………………………………………………………………………………………………………

Thank you very much for your time.
APPENDIX 4: QUESTIONNAIRES FOR TECHNICAL STAFF

INSTRUCTIONS FOR FILLING IN THE QUESTIONNAIRE
a. Please tick appropriate answer(s) from the choices provided for each question
b. Use spaces provided to write your answers to the questions.
c. Please do not leave blank spaces. If the question does not apply please indicate “N/A”
d. In case of detailed answers, use a separate piece of paper and indicate the question number you are referring to.

SECTION A; BACKGROUND INFORMATION

1). what is your highest academic level?
   O-level [ ]
   Certificate [ ]
   Diploma [ ]
   Undergraduate degree [ ]
   Post graduate level [ ]

2) What is your highest professional training level in records management or related field?
   Certificate [ ]
   Diploma [ ]
   Undergraduate [ ]
   Post graduate [ ]
   None [ ]

3) Do you have any other professional training related to records management?
   Yes [ ] No [ ]
SECTION B; RECORDS MANAGEMENT PRACTICES

4) Has parliamentary Services Commission developed procedures to capture, manage and store electronic and paper records in a proper and secure manner?
   Yes [ ] No [ ]

5) Has parliamentary Services Commission issued guidelines and procedures on the creation and capture of those records that are necessary to meet operational, fiscal, legal and other requirements?
   Yes [ ] No [ ]

6) Has the Commission issued adequate guidance and procedures to all staff on capturing, using, managing and keeping records created and received in the course of official business?
   Yes [ ] No [ ]

7) Has parliamentary Services Commission put in place adequate security measures to protect records from unauthorised access and to prevent unauthorised and accidental loss or destruction of records?
   Yes [ ] No [ ]

8) Does the PSC have a records management manual in place for the guidance of managing records?
   Yes [ ] No [ ] Not Sure [ ]

9) If yes in the above question, which of the following aspects are covered in your records management manual? (Please tick all the applicable options)
   i. Has best record keeping practices [ ]
   ii. Makes reference to records management standards [ ]
   iii. Has clearly outlined responsibilities of each records management personnel in the PSC [ ]
iv. Provides guidelines on how records management such as disposition, filing, storage etc. ought to be carried out [ ]

vi. Other, please specify (…………..)

10) Has parliamentary Services Commission developed and implemented records classification schemes which cover all records irrespective of nature or formats?

Yes [ ]  No [ ]

11) If yes, is the classification scheme(s) systematic, logical, consistent and scalable to facilitate accurate and complete documentation of policies, procedures and decisions for the efficient carrying out of the organisation’s functions, activities and transactions?

Yes [ ]  No [ ]

12) Has parliamentary Services Commission issued guidance for sharing information/records between sections/units to avoid keeping unnecessary duplicates?

Yes [ ]  No [ ]

SECTION C: RECORDS MANAGEMENT LEGISLATIONS

13) Are there legislations and regulations that guide the management of records in parliamentary Service Commission?

Yes [ ]  No [ ]

14) Do these legislations clearly cover the management of records in both electronic records and paper?

Yes [ ]  No [ ]

15) In your opinion, do records management practices within PSC comply with relevant legislations?

Yes [ ]  No [ ]
SECTION D: RECORDS MANAGEMENT POLICIES

16) Does Parliamentary Service Commission have a written records management policy?
   Yes [ ]    No [ ]

17) If yes is it adopted as organisational records management policy at the top management level?
   Yes [ ]    No [ ]

18) Does the policy define clearly and adequately the records management programme authority, objectives, responsibilities and the interrelationship of the staff who manage or perform records management processes?
   Yes [ ]    No [ ]

19) If the P.S.C does not have a written policy, is there any existing strategy for recordkeeping (e.g. a plan of action designed to achieve a major or overall aim)?
   Yes [ ]    No [ ]

20) Have procedures and guidelines been established to underpin the records management policy for compliance by staff?
   Yes [ ]    No [ ]    Not Sure [ ]

21) Has the policy been properly authorised and promulgated to all staff concerned of the organisation
   Yes [ ]    No [ ]

SECTION E: RECORDS MANAGEMENT STANDARDS

22) Are you aware of any internationally recognized records management standards such as ISO 15489 and ISO 27001 that you could employ in managing PSC records?
   Yes [ ]    No [ ]

23) As records users are you guided by any records management Standards?
   Yes [ ]    No [ ]

24) If yes, which of the following reflects the purpose of the records management Standards?
   a. Establish efficiency of records creation systems [ ]
   b. Establish efficiency of records distribution systems [ ]
c. Establish efficiency of records maintenance and use systems [ ]
d. Determine efficiency of records appraisal and disposition systems [ ]
e. Other, please specify (………………)

SECTION F: CHALLENGES AFFECTING RECORDS MANAGEMENT

25) Are P.S.C’s records management staffs at different levels equipped with the necessary records management concepts, principles and practices?
Yes [ ] No [ ]

26) What challenges do you encounter in managing records in the commission?

a) Lack of records retention and disposition schedule/ policy [ ]
b) Record management policy not well implemented [ ]
c) Improper security for records [ ]
d) Use of paper for official purposes [ ]
e) Lack of professionally trained record Manager [ ]
f) Inadequate computer terminals/Lack of Internet Connectivity [ ]
g) Lack of Filing Manual/Finding Aids and Involvement of manual operations [ ]
h) Inadequate resources [ ]
i) Ineffective means of retrieving records [ ]
j) Negative attitude in the system e.g. laziness, absenteeism, mediocrity etc. [ ]
k) Lack of back up facilities for ICT [ ]
l) Other, please specify (………………)

27) Is the Commission taking any step towards addressing the challenges faced in the management of records?
Yes [ ] No [ ]

28) What suggestions can you recommend to enhance efficiency of records management practices in the P.S.C.

........................................................................................................................................
........................................................................................................................................
APPENDIX 5: PRE-TEST CHECKLIST FOR THE INTERVIEW SCHEDULE
AND QUESTIONNAIRES

RESEARCH TITLE: Assessing Records Management at the Parliamentary Service
Commission of Kenya.

Objectives of the study
The study aims to fulfil the following objectives

- To determine the state of records at the PSC
- To examine PSC compliance with records management legislation, policy, and
  international records management of standards.
- To assess staff skills in records management issues, their competences and
  satisfaction with work context factors.
- To establish how electronic records are managed in the Parliamentary Service
  Commission of Kenya.
- To investigate risks and challenges affecting the Parliamentary Service
  Commission’s records management.
- To recommend appropriate and better records management practices for the PSC
  of Kenya.

Pre-test Questions

1) Are the questions too many? Yes  

No

If yes, what do you recommend? ........................................................................

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

2) Are the questions clear for understanding? Yes  

No

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

.....................................
If not, please identify those that need clarification.

3) Is the sequence of the questions logical? Yes ☐
   No ☐
   If no, what do you propose?

4) Are there any grammatical among the questions? Yes ☐
   No ☐
   If any, please identify which mistakes.

5) Are there jargons or technical terms used in the questions making it difficult to understand the question? Yes ☐ No ☐
   If there is any, please point out.

6) Are the objectives of the study adequately covered in there questionnaire? Yes ☐
   No ☐
   If no, explain

7) What is your view on the diversity of the questions?

 Thank you very much for your
### APPENDIX 6: TABLE FOR DETERMINING SAMPLE SIZE FROM A GIVEN POPULATION

<table>
<thead>
<tr>
<th>N</th>
<th>S</th>
<th>N</th>
<th>S</th>
<th>N</th>
<th>S</th>
</tr>
</thead>
<tbody>
<tr>
<td>10</td>
<td>1</td>
<td>2</td>
<td>1</td>
<td>1200</td>
<td>291</td>
</tr>
<tr>
<td>15</td>
<td>1</td>
<td>2</td>
<td>1</td>
<td>1300</td>
<td>297</td>
</tr>
<tr>
<td>20</td>
<td>1</td>
<td>2</td>
<td>1</td>
<td>1400</td>
<td>302</td>
</tr>
<tr>
<td>25</td>
<td>2</td>
<td>2</td>
<td>1</td>
<td>1500</td>
<td>306</td>
</tr>
<tr>
<td>30</td>
<td>2</td>
<td>2</td>
<td>1</td>
<td>1600</td>
<td>310</td>
</tr>
<tr>
<td>35</td>
<td>3</td>
<td>2</td>
<td>1</td>
<td>1700</td>
<td>313</td>
</tr>
<tr>
<td>40</td>
<td>3</td>
<td>2</td>
<td>1</td>
<td>1800</td>
<td>317</td>
</tr>
<tr>
<td>45</td>
<td>4</td>
<td>2</td>
<td>1</td>
<td>1900</td>
<td>320</td>
</tr>
<tr>
<td>50</td>
<td>4</td>
<td>3</td>
<td>1</td>
<td>2000</td>
<td>322</td>
</tr>
<tr>
<td>55</td>
<td>4</td>
<td>3</td>
<td>1</td>
<td>2200</td>
<td>327</td>
</tr>
<tr>
<td>60</td>
<td>5</td>
<td>3</td>
<td>1</td>
<td>2400</td>
<td>331</td>
</tr>
<tr>
<td>65</td>
<td>5</td>
<td>3</td>
<td>1</td>
<td>2600</td>
<td>335</td>
</tr>
<tr>
<td>70</td>
<td>5</td>
<td>3</td>
<td>1</td>
<td>2800</td>
<td>338</td>
</tr>
<tr>
<td>75</td>
<td>6</td>
<td>4</td>
<td>1</td>
<td>3000</td>
<td>341</td>
</tr>
<tr>
<td>80</td>
<td>6</td>
<td>4</td>
<td>2</td>
<td>3500</td>
<td>346</td>
</tr>
<tr>
<td>85</td>
<td>7</td>
<td>4</td>
<td>2</td>
<td>4000</td>
<td>351</td>
</tr>
<tr>
<td>90</td>
<td>7</td>
<td>4</td>
<td>2</td>
<td>4500</td>
<td>354</td>
</tr>
<tr>
<td>95</td>
<td>7</td>
<td>4</td>
<td>2</td>
<td>5000</td>
<td>357</td>
</tr>
<tr>
<td>100</td>
<td>8</td>
<td>5</td>
<td>2</td>
<td>6000</td>
<td>361</td>
</tr>
<tr>
<td>110</td>
<td>8</td>
<td>5</td>
<td>2</td>
<td>7000</td>
<td>364</td>
</tr>
<tr>
<td>120</td>
<td>9</td>
<td>6</td>
<td>2</td>
<td>8000</td>
<td>367</td>
</tr>
<tr>
<td>130</td>
<td>9</td>
<td>6</td>
<td>2</td>
<td>9000</td>
<td>368</td>
</tr>
<tr>
<td>140</td>
<td>1</td>
<td>7</td>
<td>2</td>
<td>10000</td>
<td>370</td>
</tr>
<tr>
<td>150</td>
<td>1</td>
<td>7</td>
<td>2</td>
<td>15000</td>
<td>375</td>
</tr>
<tr>
<td>160</td>
<td>1</td>
<td>8</td>
<td>2</td>
<td>20000</td>
<td>377</td>
</tr>
<tr>
<td>170</td>
<td>1</td>
<td>8</td>
<td>2</td>
<td>30000</td>
<td>379</td>
</tr>
<tr>
<td>180</td>
<td>1</td>
<td>9</td>
<td>2</td>
<td>40000</td>
<td>380</td>
</tr>
<tr>
<td>190</td>
<td>1</td>
<td>9</td>
<td>2</td>
<td>50000</td>
<td>381</td>
</tr>
</tbody>
</table>
APPENDIX 7: CENTRAL ENTRANCE TO THE PARLIAMENT HOUSE BUILDING IN NAIROBI
APPENDIX 8: INSIDE VIEW OF THE RENOVATED NATIONAL ASSEMBLY CHAMBER
APPENDIX 9: RESEARCH AUTHORIZATION LETTER

NATIONAL COMMISSION FOR SCIENCE, TECHNOLOGY AND INNOVATION

Telephone: +254-20-241471
224349,310571,2219420
Fax:+254-20-318245, 318249
Email:secretary@nacost.go.ke
Website: www.nacost.go.ke
When replying please quote

Ref: No. NACOSTI/P/16/58397/10282

Date: 12th April, 2016

Faith Muhiuni Njeru
Moi University
P.O Box 3900-30100
ELDORADO

RE: RESEARCH AUTHORIZATION

Following your application for authority to carry out research on “Enhancing records management at the parliamentary service commission of Kenya,” I am pleased to inform you that you have been authorized to undertake research in Nairobi County for the period ending 2nd April, 2017.

You are advised to report to the Clerk, National Assembly, the County Commissioner and the County Director of Education, Nairobi 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.


Boniface Wanyama
For: Director-General/CEO

Copy to:
The Clerk
National Assembly

The County Commissioner
Nairobi County.

The County Director of Education
Nairobi County.

APPENDIX 10: RESEARCH PERMIT

THIS IS TO CERTIFY THAT:

MS. FAITH MUTHONI NJERU
of MOI UNIVERSITY, 41842-100
Nairobi, has been permitted to conduct
research in Nairobi County

**Permit No:** NACOST/P/16/58397/10282
**Date Of Issue:** 12th April, 2016
**Fee Received:** Ksh 1000

**description of research:** ENHANCING RECORDS
MANAGEMENT AT THE PARLIAMENTARY
SERVICE COMMISSION OF KENYA

**for the period ending:**
2nd April, 2017

**Applicant's Signature**

**Director General**
National Commission for Science, Technology & Innovation

---

[Signature]

---

[Signature]