

**EXAMINATION OF CURRENT RECORDS MANAGEMENT POLICIES AT
KAKAMEGA COUNTY, KENYA**

BY

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DEDICATION

I dedicate this work to my dad Levi Mugalavai Musalia, my mum Ann Koster Mugalavai and my sisters Leen Kavulavu and Viona Muleke.

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ABSTRACT

Records are important assets in organisational management. It is for this reason that they need to be managed properly over time. Records constitute a major resource comparable to finance, people, money and equipment. However, for them to be a valuable asset they need to be managed with the help of a policy framework that provides professional guidance for their effective management. The aim of the study was to examine current records management policies at Kakamega County and develop a policy framework to enhance recordkeeping as a key tool in the delivery of County activities and programmes. The specific objectives of the study were to: determine County activities and programmes; assess the effectiveness of current records management practices in supporting County activities and programmes; determine the level of support provided by County executives towards implementation of existing records management policies; propose a policy framework to enhance recordkeeping as a key tool in the delivery of County activities and programmes. The study employed the use of two models namely; the Stages Heuristic Model and Records Continuum model. The study which is qualitative in nature adopted the case study design. Data was collected using semi structured interviews. The study sample size was 103 respondents consisting of: 5 Top Managers; 10 Chief Officers; 29 Action officers; 5 Records Managers; 18 Registry Staff; and 36 Clerical Officers who were selected using purposive sampling. The study used thematic analysis technique to compile the data into themes derived from the research questions. Data was reported using descriptive text, direct quotations and tables where applicable. The findings of the study were that: The County Government engaged in various activities and programmes; records management had a significant impact on the County activities and programmes thus enabling the County to achieve its mission. The study further established that records management department did not receive adequate support from the County executives towards implementation of existing records management policies; and the County lacked a comprehensive policy framework for managing its records. The study concludes that existence of a sound records management policy will have a positive impact on County activities and programmes. The study came up with several recommendations amongst them: monitoring and evaluating County activities and programmes by the County executive; implementing records improvement strategies by the records managers; policy implementation by the County executives; capacity building for records management staff; and budgetary allocation by the County executives. In addition, the study developed a policy framework for records management at the Kakamega County.

TABLE OF CONTENT

DECLARATION	ii
DEDICATION	iii
ACKNOWLEDGEMENT	iv
ABSTRACT.....	v
TABLE OF CONTENT	vi
LIST OF TABLES	x
LIST OF FIGURES	xi
ABBREVIATIONS AND ACRONYMS	xii
CHAPTER ONE	1
INTRODUCTION AND BACKGROUND TO THE STUDY	1
1.1 Introduction.....	1
1.1.1 Contextualizing policy framework for records management.....	5
1.2 Background Information on Kakamega County	7
1.2.1 Departmental structure of Kakamega County.....	9
1.2.2 Services offered at Kakamega County.....	10
1.2.3 Records management at Kakamega County	11
1.2.3.1 Types of records at Kakamega County	12
1.2.3.2 Services offered at the registry	13
1.3 Statement of the Problem.....	14
1.4 Aim of the Study	15
1.5 Objectives of the Study	16
1.6 Research Questions	16
1.7 Assumptions.....	17
1.8 Significance of the Study	17
1.9 Scope of the Study	17
1.10 Limitation of the Study	18
1.11 Definition of Terms.....	19
1.12 Structure of the Thesis	20
1.13 Summary	21
CHAPTER TWO	22
LITERATURE REVIEW	22
2.1 Introduction.....	22

2.2 Theoretical Framework.....	22
2.2.1 The stages heuristic model.....	23
2.2.1.1 Relevance of the model to the study	26
2.2.2 Records continuum model	27
2.2.2.1 Relevance of the model to the study	29
2.3 Records Management.....	30
2.4 Records Management in Kenya	31
2.5 County Activities and Programmes	34
2.6 Records Management in Service Delivery	35
2.7 Records Management Policy Framework.....	37
2.7.1 Effectiveness of the current records management policies.....	39
2.8 Support Provided by County Executives towards Implementation of Existing Records Management Policies	40
2.9 Research Gap	41
2.10 Summary	42
CHAPTER THREE	43
RESEARCH METHODOLOGY	43
3.1 Introduction.....	43
3.2 Research Approach	43
3.3 Research Design.....	45
3.4 Target Population.....	46
3.5 Sampling Techniques.....	50
3.6 Data Collection Method.....	51
3.7 Data Collection Procedure	52
3.8 Validity and Reliability of the Research Instrument.....	52
3.9 Data Processing and Analysis.....	54
3.10 Ethical Considerations	55
3.11 Summary	55
CHAPTER FOUR.....	56
DATA PRESENTATION, ANALYSIS AND INTERPRETATION	56
4.1 Introduction.....	56
4.2 Response Rate.....	56
4.3 Activities and Programme the County was Engaged In	57
4.3.1 Activity and programmes of the County.....	57

4.3.2 Records management activities.....	59
4.3.3 Records generated and maintained	63
4.4 Effectiveness of Current Records Management Practices in Supporting County Activities and Programmes	67
4.4.1 Implications of records management on the County activities and programmes.....	67
4.4.2 Policy and procedures for records management	70
4.5 Level of support provided by County Executives.....	73
4.5.1 Level of support provided to the records management department.....	73
4.5.2 Appreciation of records management by various respondents	76
4.6 Policy Framework to Enhance Records Management	76
4.7 Summary	79
CHAPTER FIVE	80
SUMMARY OF FINDINGS, CONCLUSION AND RECOMMENDATIONS ..	80
5.1 Introduction.....	80
5.2 Summary of Findings.....	80
5.2.1 Activities and Programmes undertaken by the County.....	80
5.2.2 Records management activities.....	81
5.2.3 Records generated and maintained	82
5.2.4 Effectiveness of current records management practices in supporting County activities and programmes	83
5.2.5 Effectiveness of the existing records management policies in discharging County activities and programmes.....	83
5.2.6 Level of support provided by County executives	84
5.2.7 Policy framework to enhance records management at the County	86
5.3 Conclusion	86
5.4 Recommendations.....	89
5.4.1 Monitoring and evaluating County activities and programmes by County executives.....	89
5.4.2 Records improvement strategies	89
5.4.3 Policy implementation by the County executives.....	90
5.4.4 Capacity building for records management staff	90
5.4.5 Budgetary allocation by the County executives.....	90
5.4.6 Proposed policy recommendation.....	91

5.5 Contribution and Originality of the Study	97
5.6 Suggestions for Further Study	98
REFERENCES	99
APPENDICES	107
Appendix 1: Interview Schedule for the Top Management.....	107
Appendix 2: Interview Schedule for Chief Officers	110
Appendix 3: Interview Schedule for Action Officers	113
Appendix 4: Interview Schedule for Records Managers and Registry Staff.....	117
Appendix 5: Interview Schedule for Clerical Officers	122
Appendix 6: Research Permit From NACOSTI	126

LIST OF TABLES

Table 1. 1: Composition of Kakamega County	8
Table 3. 1: Target population.....	48
Table 4.1: Analysis by Response Rate.....	57

LIST OF FIGURES

Figure 2.1: The stages Heuristic model	24
Figure 2. 2: Records Continuum Model	28
Figure 5. 1: Proposed policy framework for records management and good governance	92

ABBREVIATIONS AND ACRONYMS

ARMA	- Association of Records Managers and Administrators
E	-Electronic
ERM	- Electronic Records Management
ERMS	-Electronic Records Management System
FOI	- Freedom of Information
ICA	-International Council of Archives
ICT	- Information Communication Technology
IRMT	- International Records Management Trust
ISO	- International Organization for Standardization
KNADS	- Kenya National Archives and Documentation Service
NARA	- National Archives and Records Administration
RAM	- Records and Archives Management
RM	- Records Management

CHAPTER ONE

INTRODUCTION AND BACKGROUND TO THE STUDY

1.1 Introduction

Records are important assets in organisational management. It is for this reason that they need to be managed properly over time. Records constitute a major resource comparable to finance, people, money and equipment (Danso, 2015; Kennedy and Schauder, 2018; Yeo, 2007; Ngoepe and Ngulube, 2013; World Bank, 2013). However, for them to be a valuable asset they need to be managed with the help of a policy framework that provides professional guidance for their effective management (Duffus, 2016). Kemoni et al (2007) noted that records are required for developing and implementing policies, planning, keeping track of actions, achieving consistency in decision-making, providing effective service to citizens and achieving greater efficiency. According to ISO (2016) records are information in any form or medium created or received and maintained by an organisation or person in pursuance of legal obligations or in the transaction of a business.

Shepherd and Yeo (2003:4) contented that a record is not defined by its physical form, age, or the fact that it contains information. Its essential characteristic is that it provides evidence of some specific activity. Whatever the format, records need to be managed properly for business efficiency in an organisation. Records are a significant asset that demands effective management by the organization. Thus, records management is the gist of an organization because it is through records that an institution can provide a documentation of activities and plans (Nyamwamu, 2018).

According to ISO 15489 (2016), records are created in order to document actions, confirm decisions, identify rights and responsibilities and communicate information.

Without records, governments and businesses today cannot operate. It is no longer possible to ‘remember’ vast quantities of information without creating an independent account in the form of records (IRMT, 2012). IRMT (2012) further noted that records can be used for such wide-ranging purposes as documenting the work of employees, confirming pensions, leave and health benefits; confirming or reviewing policies and procedures, confirming citizens’ rights, such as benefits or land ownership; providing information about past actions or decisions.

ISO 15489 (2016) defines records management as the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records including the process of capturing and maintaining evidence of information about business activities and transaction in the form of records. Read and Ginn (2011:3) stated that records management is the process of using organisation resources to achieve specific goals through the function of planning, organising, leading, and controlling.

Efficient management of records is critical in ensuring easy access to information and routine destruction of redundant information (ISO 15489, 2016). Thus, an effective records management program is a major element of governance in any organisation (ISO 15489, 2016). It is for this reason that both public and private institutions are increasingly capturing, managing, and preserving information in organised systems that maintain its authenticity and integrity (Kamau, 2017). Records management addresses both creation control (limits the generation of records or copies not required to operate the business) and records retention (a system for destroying useless records or inactive records), thus stabilizing the growth of records in all formats. Gama (2010)

noted that records management creates an opportunity for organisation to save the cost of space and equipment, and an opportunity to utilize staff more productively.

According to Gama (2010), records management helps an organisation upgrade its recordkeeping systems such that information retrieval is enhanced, with corresponding improvements in office efficiency and productivity. Weisinger (2016) noted that every organisation, public or private, need a comprehensive programme for protecting its vital records and information from catastrophe or disaster. Operated as part of the overall records management program, vital records programs preserve the integrity and confidentiality of the most important records and safeguard the vital information assets of an organisation (Weisinger, 2016). A records management program can help ensure that managers and executives have the information they need when they need it.

According to Ngulube (2001), poor records management may result in inaccurate or incomplete information, out of date information, duplicate records, series of records are found in different locations and information that is susceptible to loss or damage from fire, flood, etc. Ngulube (2001) further noted that time is wasted when searching for records in a complex filing system, keeping too many records unnecessarily or not controlling the creation of records. Some other symptoms are poor-decision-making and poor working environment, user dissatisfaction, non-compliance with legislative requirements, lack of security for information and space wasted in storing ephemeral records (Ngulube, 2001).

IRMT (2009) notes that the purpose of a Policy in records management is to ensure full and accurate records of all activities and formats are created, managed and retained or disposed appropriately, and in accordance with relevant legislation. This

will enable records to achieve information accessibility, business enhancement and improvement. It will also meet its obligations for accountability while ensuring that it protects the rights and interests of the government, the organisation, its staff, clients and the community (Saffady, 2015). A records management policy is a statement of intentions; it sets out what the organisation intends to do and, sometimes, includes an outline of the program and procedures that will achieve those intentions (ISO 15489, 2016).

Records management policy explains how proper records management will serve the needs of the organisation, sets out general principles and policies relevant to the organisation on specific aspects of records management, which then form the basis for the implementation of new records management programmes, identifies statutory or other legal foundations for organisational record keeping (Franks, 2013). It should be noted that it is critical not only to plan and develop a policy statement but also to develop the mechanisms required to ensure the full implementation of the policy (Franks, 2013). The policy should be flexible enough to be amended (Saffady, 2015). As noted by Read and Ginn (2011;14) not having a records management policy can be costly for a business or organisation because of the resources required to manage those records.

The policy framework should be based on the firm's records management policy and the approved retention schedules (Saffady, 2015). The policy statement should also refer to other policies relating to information, for example, an information system policy, information security or asset management policy, and preservation policy (IRMT, 2009). It should be supported by procedures and guidelines, planning and strategy statements, disposition authorities and other documents that together make up

the records management regime (Yusof, 2009). Yusof (2009) further noted that support and endorsement of the policy by all employees should be encouraged at all times. It is particularly important that the policy oblige all employees to create and maintain records that meet the legal, regulatory, fiscal, operational, and archival/historical needs of the organisation (Yusof, 2009).

1.1.1 Contextualizing policy framework for records management

Records management policy provides clear guidance on what records are and why they need to be managed effectively (David, 2017). According to Amodot (2018), records management policy explains how proper records management will serve the needs of the organisation, sets out general principles and policies relevant to the organisation on specific aspects of records management. The policy forms the basis for the implementation of new records management programmes, identifies statutory or other legal foundations for organisational record keeping (Amodot, 2018). The policy framework should be supported by procedures and guidelines, planning and strategy statements, disposition authorities and other documents that together make up the records management regime (David, 2017).

A research article by Mountain (2015) posits that best policies are essential in records management because they enable firms to progressively and proactively manage all data, and information. The study further notes that it becomes vital for all organisations to implement the best policies for effective records management as a strategy of demonstrating good faith, and intentions to adhere to the best practices in an accurate and consistent manner. Therefore, organisations should ensure that they meet all legal requirements, show proven best records management through

consistency in implementation, review, audit, and improve the records management program in a continuous manner.

In the study by Bakare, Abioye and Issa (2016:59), the findings identified factors such as inadequate finances, poor maintenance culture, lack of materials and equipment, and unfavourable climatic conditions as barriers to effective records management policies in Nigeria. They further noted lack of a management plan, inadequate storage facilities, erratic power supply, and lack of skilled employees as other barriers to effective records management policies. Accordingly, the study by Bakare et al (2016) recommends that organisations should provide adequate funds for the records management policies.

In Tanzania, a study by Kimari and Said (2014) reveals poor state of records management which also implied the zonal record centres were not fulfilling their mandate. The study established lack of awareness of records management policies, lack of preservation and security of records, and low level of skills and training in records managements affected service delivery. The study further indicated that there is need to properly establish and manage a records management programme. In Zimbabwe, a study by David (2017) found that inadequate and inconsistent records management within government entities was associated with adverse and qualified opinions and, in some cases, unqualified opinions. The study further noted that poor records management policies result in wastage of time during records retrieval, wastage of storage facilities, and wastage in human resource personnel.

The Kenya National Archives and Documentation Centre is charged with ensuring proper records management policies by advising public offices on records creation, maintenance, use, appraisal and disposal, in order to achieve efficient, transparent and

accountable governance in the public sector (Kamau, 2017). County government departments are under legislative obligations to adopt a systematic and organised approach to the management of records (Mwangi, 2017). However, the study by Nyamwamu (2018) indicates that organisation managers fail to recognize the contribution of effective records management policy in public administration. Wamukoya & Mutula (2005) further noted that public organisations are still facing challenges such as lack of records management policies and existence of outdated legislations for managing records.

1.2 Background Information on Kakamega County

Kenya has gone through a series of constitutional reforms since its independence from British colonial rule in 1963. Recent reform was the promulgation of a new Constitution in 2010. As noted by Burugu (2010), the Constitution of Kenya, among other changes, allows for the establishment of forty-seven (47) County Governments to give local people and communities an opportunity to make decisions and manage their own affairs through their elected leaders and representatives. The constitution recognizes the need for integrity in governance and public participation in public development issues. The citizens therefore need to originate development issues that address their felt needs. This process is referred to as devolution or decentralization of governance.

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

and infrastructure, roads maintenance, fire, housing and social welfare. Decentralization is done in order to increase focus on democratic governance, whose core principles include participation, transparency, accountability, responsiveness, equity, respect for the rule of law, consensus oriented, efficiency and effectiveness.

Kakamega is a town in western Kenya lying about 30 km north of the Equator. According to the census that was carried out in 2009, Kakamega town has a population of 99,887. Thus making it Kenya's second most populous County after Nairobi. The County has twelve (12) sub-counties forming Kakamega County and these are Shinyalu, Butere, Lurambi, Matungu, Likuyani, Mumias East, Khwisero, Ikolomani, Mumias West, Lugari, Malava and Navakholo. The County is made up sixty (60) electoral wards as indicated in table 1.1 below:

Table 1. 1: Composition of Kakamega County

Sub-county	Ward
1. Butere	1. Marama West 2. Marama Central 3. Marenyo-Shianda 4. Marama North 5. Marama South
2. Ikolomani	1. Idakho South 2. Idakho East 3. Idakho North 4. Idakho Central
3. Khwisero	1. Kisa North 2. Kisa East 3. Kisa West 4. Kisa Central
4. Lugari	1. Mautuma 2. Lugari 3. Lumakanda 4. Chekalini 5. Chevaywa 6. Lwandeti
5. Likuyani	1. Likuyani 2. Sango 3. Kongoni 4. Nzoia

	5. Sinoko
6. Lurambi	<ol style="list-style-type: none"> 1. Butsotso East 2. Butsotso South 3. Butsotso Central 4. Sheywe 5. Mahiakalo 6. Shirere
7. Malava	<ol style="list-style-type: none"> 1. West Kabras 2. Chemuche 3. East Kabras 4. Butali/Chegulo 5. Manda 6. Shirugu 7. South Kabras
8. Matungu	<ol style="list-style-type: none"> 1. Koyonzo 2. Kholera 3. Khalaba 4. Mayoni 5. Namamali
9. Mumias East	<ol style="list-style-type: none"> 1. Lusheya/Lubinu 2. Malaha /Isongo/ Makunga 3. East Wanga
10. Mumias West	<ol style="list-style-type: none"> 1. Mumias Central 2. Mumias North 3. Etenje 4. Musanda
11. Navakholo	<ol style="list-style-type: none"> 1. Ingostse 2. Shinoyi 3. Bunyala West 4. Bunyala East 5. Bunyala Central
12. Shinyalu	<ol style="list-style-type: none"> 1. Isukha North 2. Muhanda 3. Isukha Central 4. Isukha South 5. Isukha East 6. Isukha West

1.2.1 Departmental structure of Kakamega County

The Kakamega County Government Headquarters is located at Kakamega town. It comprises of nine (9) departments whose records are managed by records managers, administrators, ICT managers, registry staff, and clerks. The County departments are expected to support the provision of services at Kakamega County. The County Government department comprises of: Public service and administration department,

Environment, water and natural resources department, Lands, housing, urban areas and physical planning department, Roads, energy and public works department, and Education, science and technology department. Other departments in the County that also help in the provision of services include: Health services department, Finance, planning and ICT department, Trade, industrialisation and tourism department, Agriculture, livestock, veterinary service and fisheries department, and Social services, youth, sports and culture department.

1.2.2 Services offered at Kakamega County

According to a study by Githinji (2021), the roles of the County Government in Kenya are ennobled in the constitution. He further noted the functions and roles of the County Government in Kenya are essential for devolution. Services provided by the Kakamega County Government are: environmental control services which includes solid waste disposal, air and water quality management; General Government services include taxation, budgeting, property management, building inspection, County facilities management, and human resource administration; the health services include hospitals, mental retardation developmental disabilities services, mental health services, primary care, and health protection; economic development services includes construction and maintenance of the County roads, bridges and stadium (Bukhungu stadium), agriculture, trade industry, tourism, and local economic development; last but not least, services offered in the judicial sector includes title issuance, collecting and disbursing court costs, operations of appeals, and domestic relations court. Besides the above services, the County Government has established early childhood development centres, primary schools, and secondary schools. The County has one (1) public university (Masinde Muliro University of Science and

Technology) and two (2) youth polytechnics (Kakamega County polytechnic and Sigalagala National polytechnic).

1.2.3 Records management at Kakamega County

The County Government's main objective is to provide services to both businesses and citizens (Githinji, 2021). Naidain (2006:4) states that effective information and records management provides the foundation for accountability, protection of human rights and increases citizens' awareness to their rights. Hence, the need for Kakamega County Government to improve its records management practices in order to achieve service delivery. Kakamega County has set up structures for the management of its records. The County Government has set up records management department which is tasked with the mandate of managing the lifecycle of the County records. The records management department ensures the creation and capturing of records in the recordkeeping system, organising, developing retrieval tools, filing, surveying, appraising, and disposing ephemeral records. Besides setting up the records management department, the County Government has also ensured staff development through recruitment of personnel in the records management department. The County Executive also ensures on job training is provided to new employees in the records management department.

Pemberton (1991) and Ngoepe (2008) observe that better service delivery begins with better records management practices. Kalusopa (2012:2) further notes that Government departments can only take appropriate action and make correct decisions if they have sufficient information on their fingertips. The County Government is still experiencing gaps in the records management system. Ngoepe and Ngulube (2013) stated that records management system will identify records and information to be

captured in the recordkeeping system, assist in the creation of a storage plan for the County records, and classification of records. They further noted that records management system will coordinate the internal and external access to recordkeeping in view of data privacy and data confidentiality. According to IRMT (2009), the policy framework should include policies on records creation, management, organisation, access, disaster management, appraisal, retention and disposal. IRMT (2009) noted the purpose of a policy in records management is to ensure that full and accurate records of all activities and formats are created, managed and retained or disposed appropriately and in accordance with relevant legislation. Thus the records management policy will support efficient control of the creation, maintenance, and destruction of the County's records.

1.2.3.1 Types of records at Kakamega County

In order to achieve its objectives, the County Government depends on the availability of properly managed records. Records are valuable resources that need to be properly managed and protected (Mnjama and Wamukoya, 2004). The activities and programmes performed in an organization will determine the types of records it generates and receives. There is need to properly manage records generated as a result of the organisation activities and mandates in order to facilitate access and retrieval whenever they are required (Gama, 2010). In order to ensure proper management of records, there is need to adopt proper records management program that comprises of procedures, policies standards and best practices (Gama, 2010).

Kakamega County generates various types of records such as legal records, administrative records and financial records. The legal records provide proof of activities and support the rights and entitlements of the citizens and stakeholders. The

legal records generated at the Kakamega County includes court files, agreements, contracts, title deeds, leases, licenses, death and marriage information, and employment information. Administrative records enable the County Government to conduct its daily operations such as decision making, policy implementation, planning, and personnel management. The administrative records created at Kakamega County include policies, human resource records, strategic plans, survey reports, and yearly reports. Besides the administrative and legal records, Kakamega County also generates financial records. Financial records provide a basis for the County Government to account for its transaction and activities. Financial records are subjected to internal and external audit. The general public are given an opportunity to scrutinize the financial records hence the reduction of corruption and embezzlement of public resources at the County government.

1.2.3.2 Services offered at the registry

Kakamega County is committed to provide efficient and effective service to its citizens and stakeholders. The County Government is committed to quality services that is grounded in professionalism, discipline among its employees, and continuous improvement of its activities and services so as to achieve citizen satisfaction. Hence there is need for Kakamega County Government to review its records management programmes, procedures and strategies so as to achieve these commitments. Kakamega County Government has a central registry and three mini-registries in the ministry of lands, finance, and health. The mini-registries are established in order to ensure provision of security to confidential records. The mini-registries also ensure efficient and effective access to records by the action officers. Services provided by the registry staff at the central and mini-registries include provision of access to records upon their request, creation of awareness among the records users, digitization

of records, data integrity, storage of records, provision of security to records, destruction of ephemeral records, and data management.

1.3 Statement of the Problem

Although the Kenya Government recognizes the value and importance of records as illustrated by the existence of various laws and regulations including the Public Archives and Documentation Service Act (cap 19), Records Disposal Act (Cap 14), not all-public institutions have developed and implemented policies to govern the proper creation, maintenance, use and records disposal (Ambira, 2016; Wamukoya & Mutula, 2005; Mampe and Kalusopa, 2012).

The Kenya Constitution 2010 besides creating the National Government and limiting the number of ministries, it also went ahead to establish County Governments which replaced the former local government agencies that included the Nairobi County and forty six (46) other Counties. According to Burugu (2010), the devolved government setup not only requires legacy records inherited from local authorities, but also mechanisms for managing the records they generate. For this to succeed appropriate records management infrastructure is required including policies and procedures on records management (Burugu, 2010). Despite the crucial role played by records management, County Governments, including Kakamega County, pay little attention to the management of records (Mwangi, 2017). Ongwenyi, Yegon & Mathangani (2018) also noted that service delivery in the county Government has been slowed down by poor state of records management. The poor state of records management at Kakamega County has therefore undermined efficient and effective delivery of County activities and programmes including services to local residents.

The study therefore intends to establish a records management policy framework that will serve as a link between records management and support for County activities and programmes. According to IRMT (2009), the records management policy framework comprises of policies on records creation and capturing, organization, storage, appraisal, retention and disposition, preservation, digitization, access, human resource development, and security. The policies will provide guidelines on the effective management of records including electronic records. According to Kemoni (2007), absence of an effective records management policy framework may lead to inadequate records management practices, thus contributing to high corruption cases, embezzlement of public resources, poor governance, and delay in service provision to citizens. Kemoni (2007) further indicates that absence of a records management policy has the ability to obstruct the role of public service providers. Thus, lack of a comprehensive records management policy framework is bound to affect delivery of Kakamega County activities and programmes negatively.

The policies and procedures will ensure that appropriate records are created and maintained to support the County in all its operations including services to citizens as well as meeting its accountability and transparency obligations to residents. It is against this background that the study set out to examine current policies that underpin the management of records at Kakamega County.

1.4 Aim of the Study

The aim of the study was to examine current records management policies at Kakamega County and develop a policy framework to enhance recordkeeping as a key tool in the delivery of County activities and programmes.

1.5 Objectives of the Study

The objectives of the study were to:-

1. Determine activities and programmes the County is engaged in.
2. Assess the effectiveness of current records management practices in supporting County activities and programmes.
3. Determine level of support provided by County executives towards implementation of existing records management policies.
4. Propose a policy framework to enhance recordkeeping as a key tool in the delivery of County activities, and programmes.

1.6 Research Questions

To achieve the above objectives, the study answered the following questions:

1. What activities and programmes are undertaken by Kakamega County?
2. How effective are the current records management practices in supporting County activities and programmes?
3. What is the level of support provided by County executives towards implementation of existing records management policies?
4. What possible records management policy framework can be developed or adopted to enhance recordkeeping as a key tool in the delivery of County activities and programmes?

1.7 Assumptions

The following were the assumption of this study:

1. A sound records management policy framework is a key to the management of records at Kakamega County.
2. Kakamega County Government has inadequate policy framework for records management which not only undermine the management of its records but also effective delivery of service to citizens.

1.8 Significance of the Study

The findings of the study are expected to help Kakamega County in coming up with ways to improve recordkeeping as a key pillar underpinning the delivery of all County activities and programmes including service provision to the County stakeholders, formulation of laws and by-laws among others. The study will further enlighten the top management and staff of Kakamega County on the importance of a policy framework for records management and the need for efficient and effective records management laws, policies, procedures and systems aimed at ensuring sound documentation of all County activities and programmes for records and for evidentiary purposes.

1.9 Scope of the Study

Besides the County headquarters, Kakamega County Government has twelve (12) Sub-Counties (namely Butere, Ikolomani, Khwisero, Lugari, Likuyani, Lurambi, Malava, Matungu, Mumias East, Mumias West, Navakholo and Shinyalu). It also has several departments and administrative divisions that make up the administrative arm of the County Government. However, the study was limited to the County headquarters since at the moment records management remains a centralized function

and the policies developed at the County office are normally cascaded downwards to the Sub-counties and their various units and sub-units.

Secondly, it is paramount that records management is strengthened at the headquarters before similar gains can be rolled downwards to the Sub-Counties and other ‘Mashinani’ offices. But more importantly, the study will strive to propose a policy framework to regulate the management of records in all formats. The study was based on a sample of one hundred and three (103) respondents. The respondents were limited to top managers, chief officers, action officers, records managers, registry staff, and clerical officers.

1.10 Limitation of the Study

In recent times, the County Governments have been in the news for all the wrong reasons including corruption, nepotism, and rivalry between Governors, Senators and members of the County Assembly among others. This has made the honourable members rather jittery to the extent of not willing to give information to either the press or members of the public. In this regard, the researcher encountered non-cooperation with some of the respondents during data collection. The researcher did everything possible including scheduling and rescheduling of interview sessions, and reassured the respondents that the intention of the study was for academic purposes.

1.11 Definition of Terms

Records

It is 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 (Roper & Millar, 1999).

Records Management

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 information about business activities and transactions in the form of records (ISO 15489, 2016).

Records policy

Records policy is a written, formally approved statement that explains why an organisation should care for its records, whether in electronic or paper form, in an effective and appropriate fashion, so that the records remain authentic and reliable evidence for as long as they need to be kept (IRMT, 2009:5).

Records management policy framework

A records management policy framework establishes a hierarchy and categories of policies, procedures, and supporting documentation and set out the requirements and standards for the proper management of records (Franks, 2013).

1.12 Structure of the Thesis

This thesis has been arranged into five (5) chapters. Chapter one discusses the background to the study. The issues presented are records and records management, and importance of records management policy framework. It has also provided the statement of the problem, aim of the study, objectives, research questions, assumptions, and significance of the study. The chapter also presents the scope of the study, the limitation of the study, definitions of terms, and the outline of the thesis.

Chapter two focuses on existing researches that are relevant to the study. It identifies what has been done and address gaps in the study. It provides a brief discussion on records management, records management in Kenya, County activities and programmes, effectiveness of current records management practices in supporting County activities and programmes, and level of support provided by County executives towards implementation of existing records management policies.

Chapter three provides the research methodology. It explains the research approach, research design, target population, sampling techniques, data collection procedures, validity and reliability of the research instruments, data analysis, and the ethical consideration.

Chapter four focuses on data presentation, analysis and interpretation. The qualitative data is presented and analysed according to themes derived from the research objectives.

Chapter five presents a summary of the research findings, conclusion and recommendations. The chapter also presents the policy framework for records management and good governance.

Appendices have also been included as part of the thesis, which includes data collection tools (interview schedules), and the research permit.

1.13 Summary

This chapter has presented the background information of the study, providing the importance of records, records management and records management policy. It has provided background information and state of records management at Kakamega County. This chapter has also discussed statement of the problem, aim of the study, objectives, research questions, the study assumptions, significance of the study, scope of the study, limitation of the study, and definition of terms.

CHAPTER TWO

LITERATURE REVIEW

2.1 Introduction

According to Kombo and Tromp (2006) literature review is an account of what has been published on a topic by accredited scholars and researchers. They further noted that literature review focuses on the existing research that is relevant on the work that the researcher will be carrying out. Literature review helps to gain an understanding of what has already be done and identify the strengths and weakness (Kombo and Tromp, 2006). Thus, literature review will enable the researcher to identify and address gaps in the study. Literature review will enable the researcher to determine how the study will influence the existing knowledge by either identifying the gaps in knowledge or showing the relationship between the past and current study (Mugenda and Mugenda, 2003).

The study reviewed related studies found useful in explaining the study variables and for supporting the study concept. These studies were categorized according to the study objectives; Activities and programme the County is engaged in, effectiveness of current records management practices in supporting County activities and programmes, and level of support provided by County executives towards implementation of existing records management policies

2.2 Theoretical Framework

A theoretical framework is a collection of related concepts based on theories. Theories provide a systematic view of phenomena by identifying relationship between variables with the aim of explaining a phenomenon (Creswell, 2003). A theoretical

framework attempts to answer the problem and why the selected approach is the effective solution.

In an attempt to understand the importance of a records management policy framework for Kakamega County, the study examined two theoretical models namely; -

- i. The Stages Heuristic Model
- ii. Records Continuum Model

2.2.1 The Stages Heuristic Model

According to Freeman (2013:1) the stages heuristic model was initially proposed in the seminal work of Lasswell in 1951 and subsequently adopted by others (Brewer in 1974, Jenkins in 1978, Bridgman and Davis in 2004). The stages Heuristic model comprises of various stages in the development of policies in a sequential pattern. The model provides a basis within which to gain an overall understanding of the policy process as a cycle of stages hence the name stages heuristic model (Freeman, 2013).

The model provides the necessary direction, clarity and structure upon which to build a critical analysis of the evolutionary process of public policy making. Freeman (2013) noted that the model follows a logical sequence of stages beginning with the identification of a given problem, followed by the awareness of the identified problem, which leads to the development of various courses of actions to solve the given problem known as policy formulation. It is then followed by adoption and legitimating of a given course of action, resulting in the implementation and evaluation of the course of action. According to Farag (2003:11) an effective policy process is one that is generally characterized by five attributes namely issue

identification, issue analysis, generating solution, consultation and performance monitoring.

The stages heuristic model is divided into:

- i. Agenda setting
- ii. Policy formulation
- iii. Policy implementation
- iv. Policy evaluation

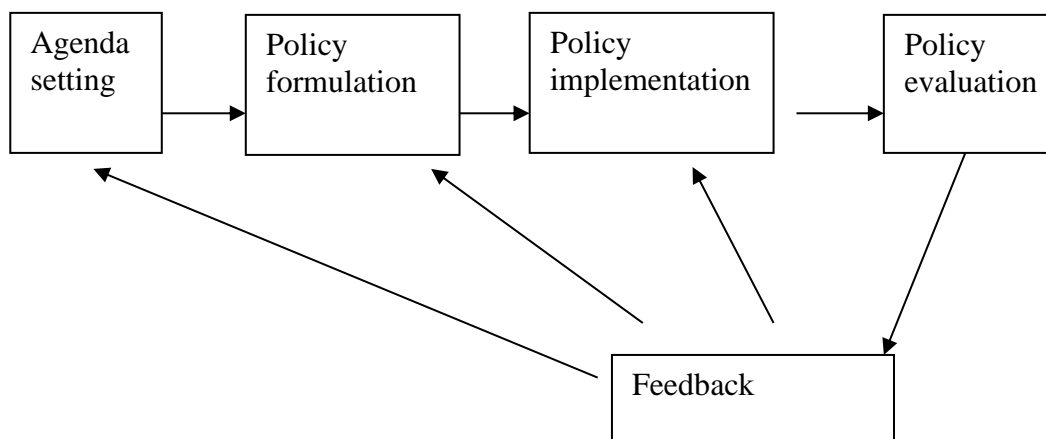


Figure 2.1: The stages Heuristic model

Source: Barkenbus Jack, (1998:1)

Agenda setting

This step involves identifying the problem that requires attention, deciding which issues deserve the most attention and defining the nature of the problem. The problem statement conveys the reasons why the problem is important and who is affected by the problem. The purpose of agenda setting is to understand the reasons why the County Government requires a sound records management policy framework for the management of its records. The policy framework will help the County to improve its

decision-making process, improves strategic planning and assure competence and effective service delivery to its citizens.

Policy formulation

Policy formulation is concerned with setting objectives, identifying the cost and estimating the effects of solutions, choosing from the list of solutions and selecting the policy instrument. Farag (2003:2) noted that government policy can be reflected most typically in legislation, regulations and programs. The activity of developing policy involves research, analysis, consultation and synthesis of information to produce recommendations. This step will help in establishing the components that need to be included when drafting the policy. This step will also ensure proper decisions and planning are done at the initial stages in order to avoid shortcomings that may emerge later.

Policy implementation

Freeman (2013) stated that policy implementation phase ensures organisation has the resources e.g. staffing, infrastructures, funds and legal authority. He further noted that implementation ensures the policy is carried out as planned. Administrative agencies are seen as the front-line organisations for policy implementation because they are charged with the responsibility of carrying out the dictates of policy (Barkenbus, 1998).

The policy should be launched and copies of the policy should be distributed within the County as well as posting it on the website. Creation of awareness should be a continuous process in order to ensure the policy is well known and understood by all members of the County Government. Implementation should ensure related

procedures and guidance are in place, and are accessible and visible to members of the County Government.

Policy evaluation

Policy evaluation involves assessing the extent to which the policy met its intended objectives (Freeman, 2013). This stage ensures that the policy is implemented, it checks the strengths and weaknesses of the system, establish existing policies and sets priorities and improvements (Barkenbus, 1998). Evaluation will ensure the County's records managers and records users adhere to the policy framework in carrying out their daily activities at the County.

2.2.1.1 Relevance of the model to the study

There are various factors as to why a County Government need to develop a policy framework for the management of its records. Some of the factors include; planning, decision making, service delivery, accountability, transparency, and good governance. Kakamega County Government was established to meet the aspirations and needs of citizens and residents of the County in terms of service provision, development of infrastructure, protection of rights and entitlements as well as implementation of projects and programs in a transparent and accountable manner. The existence of a policy framework enables the County Government to have a sound records management program that forms the foundation of achieving the mandates and functions outlined above.

The stages heuristic model describes the steps involved in the policy development cycle that should be followed by all institutions including Kakamega County Government. The Stages Heuristic Model will enable records managers at Kakamega County to identify the records management problems and who is affected by those

problems. It will also justify why the County Government need to have a sound records management policy framework. Policy formulations are derived from the County's goal and are more specific. It involves identifying methods to use in order to achieve their goals. Policy implementation phase will ensure Kakamega County has qualified records management staff, records management infrastructures, and funding. It will also enable records managers to create awareness among members of the County Government. Policy evaluation focuses on accountability and the immediate goal and objectives of the policies. It will assess the strength and weakness of the policy framework.

Being a general policy making model, the Stages Heuristic Model does not focus on the records management activities. According to IRMT (2009:5) records management policy framework should entail policies on records; creation, organisation, access, use, storage, preservation, appraisal, and disposition. The researcher therefore felt the need to complement the Stages Heuristic Model with the Records Continuum Model.

2.2.2 Records continuum model

The records continuum model was formulated in Australia in 1996 (Xiaomi, 2001). The model was first clarified by Jay Atherton during a conference of the Association of the Canadian Archivists, which took place in 1985 and where he discussed the weaknesses of the Life-Cycle Model (Flynn, 2001). The model provides a framework for the continuum of records management responsibilities (McKemmish, 1997). The continuum model views the activity of records management as a continuous interrelation of activities. The records continuum model can help to visualize where on the continuum recordkeeping activities can be placed. According to the Australian Standard AS4390 (1996), records continuum is a consistent and coherent regime of

management processes from records creation, preservation, and use of archives. As argued by Kemoni (2008), with the records continuum model these benefits would be realised: ensuring the creation of the right records containing the right information in the right formats; organising the records to facilitate their use; systematically disposing of records no longer required; and protecting and preserving records. The records continuum model argues that management of records is a continuous process where one element of the continuum passes seamlessly into another. According to Upward (2000), records continuum model consists of four dimensions, which are: create, capture, organise, and pluralize.

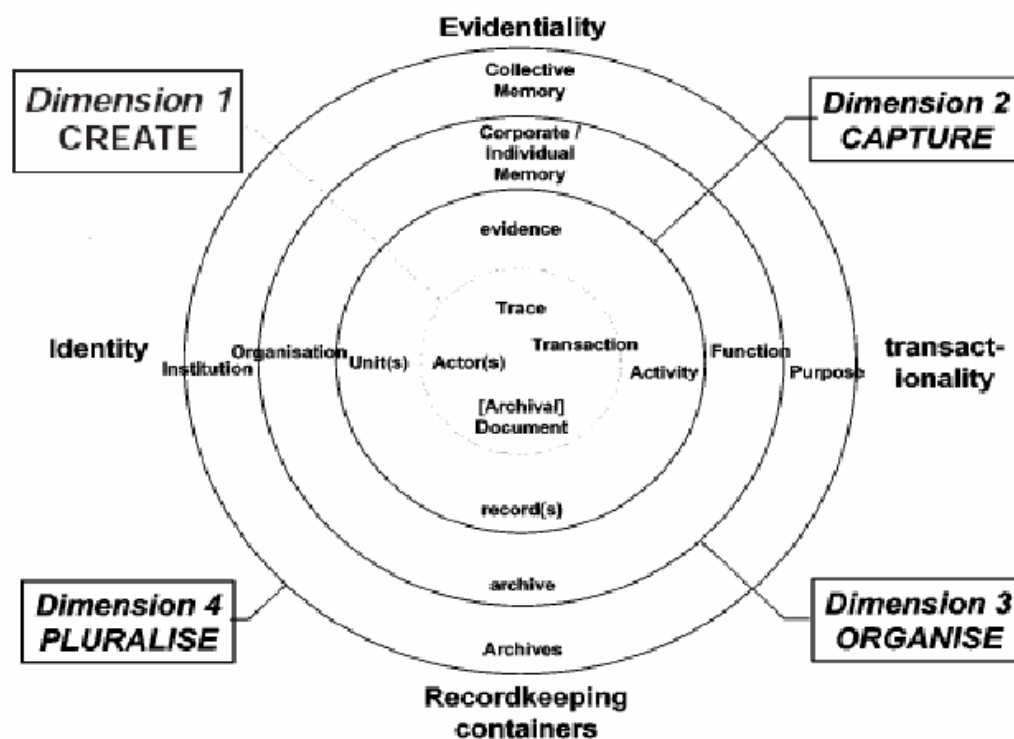


Figure 2. 2: Records Continuum Model

Source: The Records Continuum Model. (Upward, 2000)

According to McKemmish (2001), dimension 1 represents the locus where all business actions take place. In the 2nd dimension, records are captured as evidence of transaction and can be distributed, accessed, and understood by others involved in the business transactions (McKemmish, 2001). Upward (2000) noted that in dimension 2 records are managed as part of an activity performed by a group within an organisation. In the 3rd dimension, records are invested with explicit elements needed to ensure that they are available over time (Upward, 2000). He further noted that dimension 3 ensures that organisations are linked to their functions and activities. According to McKemmish (2001), the 4th dimension represents the broader social environment in which records operates. Records are managed within their ambient functions or societal purposes (McKemmish, 2001).

2.2.2.1 Relevance of the model to the study

The study is informed by the records continuum model because the model highlights the key consideration on effective records management. Rather than focusing on the records and their status at different points in time, this theory focuses on processes and activities, and therefore fits well within the precincts of this study. The records continuum model enabled the researcher to examine the current policies in the four level of records management. According to Reed (2005), the records continuum model provides an integrated approach to managing records, rather than one made up of separate stages.

The records continuum model has four levels of perspective; the first being the regime applies itself to identifying records management

actions and ensures that reliable evidence of them is created by capturing records of the related/supporting transactions (McKemmish, 2001). The second phase manages transactions and records series, and document processes, hence intellectual control of records relating to the arrangement and description of both records and archives. The third presents records management actions which relate to the maintenance and use of records, while archives management actions relate to the description of archives. The last phase relates to physical control where disposal of records is by destruction, or their transfer to the archives, while archives management actions relate to the preservation and use of archives. All these dimensions were carefully captured in this study, hence the importance of the model to the study.

2.3 Records Management

ISO 15489 (2001:3) 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 information about business activities and transaction in the form of records. Effective management of corporate information allows fast, accurate and reliable access to records, ensuring the timely destruction of redundant information and the identification and protection of vital and historically important records (ISO 15489, 2001).

Read and Ginn (2011:3) defined records management as the process of using an organisation resource to achieve specific goals through the function of planning, organising, leading and controlling. Records enable and support an agency's work to fulfil its mission. Every organisation, must address well-defined objectives that add value, either by achieving the organisation's goals or by reducing costs (Read and Ginn, 2011). Yeo (2017) noted that since records contain valuable resource, it is essential for County Governments and other public organisations to take a systematic approach to the management of records. Australian Standard AS4390 (1996) stated that records management ensures information can be accessed easily, can be destroyed routinely when no longer needed, and enables organisations deliver accountable and transparent services to citizens.

According to Gama (2010), records management offers tangible benefits to organisations, from economic good practice in reducing storage costs of documents, to enabling legislative requirements to be met. Shepherd and Yeo (2003:4) noted that its physical form, age, or the fact that it contains information does not define a record. Whatever their format, records need to be properly managed for business efficiency in an organisation. This is true in the case of Kakamega County where unmanaged records system makes the performance of duties more difficult, costs the organisation time, money and resources, and makes County vulnerable to security breaches, and embarrassment.

2.4 Records Management in Kenya

Archives and records management practice, like many other disciplines and practices in Kenya, was born of the onset of British colonialism in the early periods of the 20th century. ISO 15489 (2001) stated that records are any recorded information in a

reproducible form created, maintained and used by an individual, or organisation. Records are a source of evidence for activities, transactions or decisions made by their owners in the course of their day-to-day activities and operations. According to Lipchack (2002:2), records that Government creates and maintain are vital resources that must be carefully managed in order to achieve good governance. He further noted that lack of reliable records forms a major barrier to institutional, legal and regulatory reform, anti-corruption strategies, poverty reduction and economic development.

According to the Kenya National Archives and Documentation Service (KNADS) Act of 1965, public records refer to records of any government department and of any commission, office, board or any other body established by or under an act of parliament. This definition also includes electronic format of records as public records. Emphasis is now shifting to e-governance, e-learning and many other e-transactions. Most of these transactions are recorded and stored in electronic format. Ambira (2016) noted that there is need for organisations to acquire and implement recordkeeping systems for managing and preserving records generated as a result of the e-transactions.

The historical development of archives and records management practices in Kenya has however, faced numerous challenges. Kenyans of the pre-colonial period mainly relied on oral traditions and for that reason, most of their transactions were conducted in a similar manner. This posed a challenge to early records management practitioners in the sense that major activities conducted by Africans were not documented. Memory of such major events and occurrences were kept through naming of children, associating events with seasons, holding ceremonies and planting of trees among other objects and practices. These practices did not give a detailed account of an

activity as records would. Even a story told by the finest of all storytellers would still lack the precision, detail and authenticity that records would provide. Absence of documented information in colonial Kenya was made worse by the fact that the colonial secretariat offices in Nairobi were consumed in a fire in 1939 thus, virtually destroying all the central Government's records (Mnjama, 2003). On the eve of independence, the imperial Government opted to remove certain records from the Country arguing that it was not a common practice for a Government to hand over its records to another Government (Mnjama, 2003). The main motive behind the exercise was to conceal sensitive information on atrocities perpetrated by colonialist against Kenyans.

Mnjama (2003) noted that early practitioners in the field of archives and records management did not have any basic skills pertaining to records and archives preservation. Their practice was done through trial-and-error efforts before the senior administrators began to feel the need for proper records and archives management (Mnjama, 2003). Mnjama (2003) further stated that the condition was made worse by the fact that there were no colleges and institutions and if there were, they did not meet the capacity to train professional records managers and archivists.

Seniwoliba *et al.* (2017) noted that records management is a field that needs to be run by experienced professionals hence the need to train records management staff. Workshops and seminars should be organised to train staff on records management. The study by Seniwoliba *et al.* (2017) recommends that a policy document or legislative instrument should therefore be carved out to regulate records managers and records management staff on the functional roles of managing records effectively and efficiently. According to Lipchack (2002), good records management practices during

the entire records cycle is important for good quality archives. Thus, the need for records managers to be involved in records management from the time a record is created to the time it is passed on to the archive institution for final preservation.

2.5 County activities and programmes

According to Burugu (2010), the functions and activities of the County Government in Kenya are essential for devolution. The devolved Government specifically provides for the setting up of the forty-seven (47) County Government (Githinji, 2021). He further noted that devolved Government will ensure efficient and effective service delivery to its County residents. The study by Abuki (2014) explains that County Government in Kenya ought to adhere to proper records management practices in order to ensure quality public service delivery. He further noted that without reliable and authentic documentary evidence underpinning all essential processes, the Government, and civil society cannot achieve transparency, accountability, and good governance.

According to Githinji (2021), County activities and programmes are enshrined in the fourth schedule of the Constitution of Kenya. According to the Constitution of Kenya (2010), the activities and programmes of the County Government include: agriculture; County health services; control of air and noise pollution; cultural and public amenities; County transport; animal control and welfare; trade development and regulation; County planning and development; and education. Besides the above, other County activities and programmes include: County public works and services; firefighting services and disaster management; control of drug and pornography; and coordinating the participation of communities in governance at the local level (Constitution of Kenya, 2010). A study conducted by Abuki (2014) found out that the

activities and programmes at Kisii County were similar with those indicated in the Constitution of Kenya, 2010. In the current study, the researcher also established during data collection that the activities and programmes at Kakamega County were similar to the ones stipulated in the Constitution of Kenya, 2010.

2.6 Records management in service delivery

Luthuli and Kalusopa (2017) indicated in their study that understanding the scale and dimension of good records management is important for determining issues of accountability in the quest for optimal service delivery and governance. Mampe and Kalusopa (2012: 2) further stated that Government can only take appropriate action and make correct decisions if they have sufficient information on their fingertips. The current study was in agreement with Mampe and Kalusopa (2012) that efficient and effective records management ensures that organisations are able to conduct its business in an orderly and accountable manner, deliver services, protect itself in litigation, and meet its legislative and regulatory requirements.

The study by Abuki (2014) stated that County Governments in Kenya ought to adhere to proper records management practices in order to ensure good public service delivery. Without reliable and authentic documentary evidence underpinning all essential accountability processes, Government, civil society, and the private sector cannot ensure transparency, accountability or allow for the exercising of good governance (Abuki, 2014). He further explains that public service delivery is critical in ensuring the Country's wellbeing, citizens satisfactory, and social, economic, or political development.

Chaterera's (2013) study concluded that management of public records in Zimbabwe seemed to be an ongoing struggle that highly threatened public service delivery, as it

was largely dependent upon appropriate records management practices. Chaterera (2013) observed that public records were at risk of being lost or misplaced due to the inappropriate records management practices. This is despite efforts made by the National Archives of Zimbabwe to advise Government departments to have vital records protection programmes (Chaterera, 2013).

According to Luthuli and Kalusopa's (2017) study, poor records management could undermine service delivery, transparency, and accountability in the provision of services. The study therefore recommends a suite or requisite framework that underlines good records management, governance; recordkeeping system; records management technology and infrastructure; archival processes and records management human resource capabilities. The study by Luthuli and Kalusopa (2017) further revealed that compliance with records management tools and procedures is still a challenge; just as the records management policy to govern the records management function was absent. They further noted that weakness in service delivery system include lack of awareness towards records management, lack of qualified records managers, low provision of budget for recordkeeping tools, lack of job description, and lack of awareness on the national records management guideline.

Palmer (2000; 62) stated that corruption has become part of the debate on Government effectiveness and has become a significant drive in the demand for accountability in Governments. Over the last several decades there has been a widespread and often alarming deterioration in the management of official records and in some countries a total collapse of records system (Palmer, 2000). Palmer (2000) further noted that many governments now find it very difficult to establish control over official records, leading to severe negative impact on efficiency.

Chaterera (2013) further noted that absence of records retention and disposal schedules in most public registries resulted in semi-active and non-active records clogging up office storage space. Such a situation compromises service delivery as retrieval of records may not be efficient. Fostering accountability, transparency and good governance may not be possible in Government ministries if records are not properly managed (Chaterera, 2013).

2.7 Records management policy framework

A records management policy is a formally written approved statement that explains why an organisation should care for its records whether in electronic or paper form in an effective and appropriate fashion, so that the records remain authentic and reliable evidence for as long as they need to be kept (IRMT, 2009:5). IRMT (2009) further noted that through the development of a records management policy framework organisation can save the lost information, which needed funds to be regained. Read and Ginn (2011;14) also noted that records and information management procedures and policies help increase an organisation bottom line.

An information governance framework relies foremost on a comprehensive records and information management policy that draws from best practices and can be adopted for almost any circumstance (Franks 2013:31). The policy should address roles and responsibilities, communication and training, and metrics and monitoring. According to IRMT (2009), records management policy should be able to refer to the requirements for managing records resulting from all business activities. Due to the changing time, the policy should be able to provide room to address the management of records created by or residing in social media and the clouds (Franks, 2013). Franks (2013:31) further noted that most organisations have a number of policies

governing communication, security, privacy, compliance and social media that must be harmonized. Existing problems such as less effective and uncommitted management techniques and poor awareness of management responsibility can be overcome with one policy which is well defined, easily understood and can be implemented (Yusof, 2009). This is not the case at Kakamega County as the researcher established during data collection that the County Government did not have a comprehensive policy framework for managing its records.

A study by Abuki (2014) revealed that; Kisii county, in Kenya, has not implemented a records management policy. The current study is in agreement with Abuki (2014) that there is need for County Governments to implement records management policies, standards, guidelines and procedures. The Counties should also implement a records management programme, implement a disaster management plan, and provide training programs to the records management personnel.

According to Yusof (2009: 233), records management should be implemented with a transparent, explicit and comprehensive policy. In order to have an effective records management to support Government activities, uniform and official records control are needed. Yusof (2009) further noted that apart from policy, a good infrastructure development is required and a management benchmarking policy is also needed. Generally, records management policy in countries like Australia, the USA, Canada, New Zealand and the UK are based on acts, statutes, laws and specific standards (Yusof, 2000). There are a few statutes, rules and laws which link to records creation and management in Kenya. The current study is in agreement with Yusof (2009) that while various international standards have emerged, the suitability of standards has to be considered before implementing a policy.

2.7.1 Effectiveness of the current records management policies

Msibi (2015) noted that Government ministries in Swaziland are putting a remarkable effort in the management of public records. However, the absence of legislation that caters for the proper management of records throughout their life cycle, as well as considering issues pertaining to the management and preservation of electronic records, has been a major challenge (Msibi, 2015). Thus, there was no effective national policy and legislative framework to develop or improve preservation facilities, neither was there a policy for training and recruiting qualified staff (Msibi, 2015). The study by Oyaró (2013) concluded that current management of records at Kenya's immigration department is good. He further identified factors affecting records management to include; Government legislations, leadership style, application of Information and Communication Technology (ICT), the level of training, and accessibility of records. He further concluded that the department needed to do better in informing its employees on the policies and legislation that governed the management of records.

A study conducted by Kalusopa (2012) on records management and service delivery in the Ministry of Health, Botswana, indicated that most records management personnel were not aware of the records management procedures, policies and standards set by the Botswana National Archives and Records Service. Kalusopa (2012) further noted that this was also the case with heads of units, who denied knowledge of the existence of records management policies, procedures and standards. Mnjama (2010) study states that the major laws governing the management of records in Botswana are silent concerning the preservation of audio-visual records. Mnjama (2010) further noted that neither the Archives Act, nor the Library Act gives direction on the responsibility of creators to deposit audio-visual materials with the

National Archives or the National Library. As a result of this weakness in the legislative framework, major gaps exist in audio-visual holdings held by the Botswana National Archives and Records Service (Mnjama, 2010).

According to Wamukoya (2017) the legislative provision in the Kenya National Archives and Documentation Service Act does not adequately enable organisations to address the emerging issues and other related matters on records and archives management in Kenya. The current study concurred with Wamukoya (2017) that the non-existent in records management policies and the existent of weak or outdated legislative and regulatory framework in records and archives management were some of the factors that contributes to poor records management in Kenya. A study conducted by Kanzi (2016) also established that Kenya National Archives faced numerous challenges especially on the inadequacies in existing records management legislation.

2.8 Support provided by county executives towards implementation of existing records management policies

According to Kelvin (2006), top managers should provide the required resources and other support to the records management department. Mampe and Kalusopa (2015) further noted that there is need to provide awareness of the policies, procedures, and standards governing records management. This is true as senior managers at the County Governments should provide documentation manuals, organize on job training, and seminars for their records management staff. There is also need to provide adequate finances in order to facilitate the process of policy formulation and implementation at Kakamega County.

Ayoo and Otike (2002:350) in their paper noted that some of the factors that hinder the formulation of policy in developing countries like Kenya relate to poor recognition of the importance of information, funding shortages, lack of qualified personnel among others. Inadequate funding slows the development of policies and other records management activities. This is true in the case of Kakamega County where the process of policy formulation requires adequate funds for planning, executing and implementing records management programme. The fixed funds from the central government limits the local Governments from acquiring and keeping the records management programme running (Bakare et al., 2016). In developing countries like Kenya, fewer funds are allocated to train and educate information professions hence making the process of policy formulation difficult (Ayoo, 2002). Ayoo (2002) further noted that the process of policy formulation requires adequate qualified work force. This is true in the case of Kakamega County where the qualified staffs will ensure the process of policy planning and implementation is successful.

2.9 Research gap

The chapter reviewed theoretical and empirical literature related to the study. A key gap that emerged from the literature review was the absence of strategies to address records management in devolved units such as Counties. As observed by Ngulube (2001), records management strategies creates an opportunity for organisations to; save the cost of space and equipment, utilize staff more productively, and ensures availability and effective use of records. The literature review further established that there were gaps in the state of records management at the County Government. The challenges that appeared in the previous National Government have been transferred to the current County Government. The current study is in agreement with Kemoni (2016) that public organisations in Africa are hiring staff at low level to manage its

records. The study further noted congestion in storage areas; a lot of time spent in file retrieval; poor organization of records; and shortage of storage equipment were some of the challenges affecting the forty-seven (47) Counties in Kenya.

It was clear that there were absence of a comprehensive records management policy to support County activities and programmes. As observed by Ambira (2016); Wamukoya and Mutula (2005); Mampe and Kalusopa (2012), not all public institutions have developed and implemented policies to govern records management. A study by Wamukoya (2017) further established non-existent in records management policies and the existent of weak or out-dated legislative and regulatory framework in records management were some of the factors that contributes to poor records management in Kenya. The present study seeks to address the gaps by developing a framework that suggests ways of integrating County activities and programmes, records management policy framework, records management activities, and good governance.

2.10 Summary

The chapter has presented the literature review related to the current study. Theoretical framework was also discussed. The main themes were derived from the research objectives which included; records management, records management in Kenya, County activities and programmes, records management activities, records management policy framework, effectiveness of the current records management policies in discharging the County activities and programmes, and support provided by County executives towards implementation of existing records management policies.

CHAPTER THREE

RESEARCH METHODOLOGY

3.1 Introduction

Research methodology refers to the description of the methods applied in carrying out the research study (Kombo and Tromp, 2006). According to Ngulube (2005) research methodology helps researchers to explain how they conducted their research and what informed their decisions. This chapter discusses the methodology that was adopted by the researcher in carrying out the study. It discusses the research design, population of the study, sample and sampling techniques, data collection instruments, data analysis techniques, validity and reliability, and ethical considerations.

3.2 Research approach

Creswell (2014) categorized research approach into qualitative, quantitative and the mixed method research (triangulation). When the problem being addressed requires the identification of factors that influence an outcome, the utility of an intervention, or understanding the best predictors of outcomes, then a quantitative approach would be the best approach (Creswell, 2014). Creswell (2014) further noted that if the relationship of the study needs to be explored and understood because little research

has been done on it, then it merits a qualitative approach. When the research requires that different kinds of data to complement each other, then mixed methods research would be the most appropriate to overcome the weaknesses associated with each research method, qualitative and quantitative (Creswell, 2014).

The quantitative methods would collect numerical data and analyse it using statistical methods, while qualitative methods would collect material in the form of text, images or sounds drawn from observations, interviews and documentary evidence, and analyse it using methods that do not rely on precise measurement to yield their conclusions (Kothari, 2012). Kothari (2012) further noted that triangulation (mixed methods research) will enable a researcher to base the inquiry on the assumption that collecting diverse types of data provides a more complete understanding of a research problem than either quantitative or qualitative data alone. In the mixed methods research, the research would begin with a broad survey in order to generalize results to a population and then, in a second phase, focuses on qualitative, open-ended interviews to collect detailed views from participants to help explain the initial quantitative survey (Kothari, 2012).

The study used the qualitative research method, which enabled the researcher to investigate, interpret and understand phenomena under study by providing in-depth information and thereby obtaining an understanding of the research problem. Qualitative research shares the theoretical assumptions of the interpretative paradigm, which is based on the notion that social reality is created and sustained through the subjective experience of people involved in communication (Gupta & Rangi, 2014). Since qualitative approach is concerned with subjective assessment of attitudes, opinions and behaviour, it would be used to find out people's attitudes and feelings

about the policy framework to enhance recordkeeping as a key tool in the delivery of County activities and programmes. In this case it would explore how people feel about themselves and about these issues. The research findings would provide a starting point where little or no previous research has been done on policy framework to enhance recordkeeping as a key tool in the delivery of County activities and programmes.

3.3 Research design

Kombo and Tromp (2006) define research design as the structure of research that holds all of the elements in a research project together. A design is used to structure the research, to show how all of the major parts of the research project work together to try to address the central research questions. Kothari (2004) defines research design as the conceptual structure within which the research is conducted. It constitutes the blueprint for the collection, measurement and analysis of data. According to Gupta and Rangi (2014), research design is the map developed to guide the research, as part of planning stage and a blueprint for collection, measurement and analysis of data. This is a master plan specifying the methods and procedures for collecting and analysing data, detailing all the tasks concerned with working out the condition of conducting a research (Gupta and Rangi, 2014). Kothari (2012) stated that research design addresses the questions; why the study is being conducted, what the study is all about, when the study will be carried out, and where the study will be conducted. He further noted that research design also answers the questions; what kind of data is required, what technique is used for collecting data, what method of data collection is adopted, what will be the method of sampling data, and what will be the format of reporting the data.

The study was conducted through the use of a case study design. A case study is a research design that gives an in-depth investigation of the problem at hand. It brings about deeper in-sights and better understanding of the problem (Kombo and Tromp, 2006). Kombo and Tromp (2006) further noted that case study is ideally suitable for studies that are carried out on individuals, group, institution or phenomena. Case study research also guides the building of theories from multiple case studies by investigating patterns within a single case study as well as cross-case patterns (Akroush, 2017). In this research, case study research design was found suitable since it does not depend on previous empirical evidence or research. Akroush (2017) noted that under case study research design, it is essential that after findings are drawn from the data collected, the existing literature is examined for agreeing. Once data is analysed, similarities are drawn to the literature and differences are investigated to increase confidence in the data as well as increase the internal validity of the concluded findings (Akroush, 2017). Case study design was suitable for this study because it gave enlightened records of personal expressions that revealed the importance of implementing a sound records management policy at Kakamega County. Case study design also enabled the researcher to describe and explain the importance of a comprehensive policy framework for managing records at the Kakamega County.

3.4 Target population

Kombo and Tromp (2006) defines target population as a group of individuals, objects or items from which samples are taken for measurement. The target population consisted of one hundred and three (103) officers drawn from the Top management, Chief officers, Action officers, Records managers, Registry staff, and Clerical officers.

Table 3. 1: Target population

Number	Target group	Total population
1	Top management	5
2	Chief Officers	10
3	Records managers	5
4	Action officers	29
5	Registry staff	18
6	Clerical officers	36
	Total	103

Source: Kakamega County (2016)

The Top management comprised of; the Governor, Deputy Governor, the Speaker, Human Resource Manager, and the County Secretary. The responsibility of the Governor were; supervising the County Executive Committee, and implementing the County Projects and activities. The Deputy Governor was charged with duties of; assisting the Governor in the supervision of the work of the County Executive Committee, assisting the County Executive Committee in preparing proposals for the County legislation, and in the absence of the Governor he supervised the implementation of County projects and programmes. The Human Resource Manager was charged with various responsibilities such as; training of the County personnel, recruitment and selection of employees, planning and organising various County activities, counselling, and developing health policies of the County staff.

The Speaker was charged with the task of; maintaining order and decorum in the chamber, overseeing the administration of the house, and spokesperson and representative of the Assembly. The County Secretary was charged with various responsibilities among them; scheduling of County activities and taking minutes

during County Executive meetings, conveying the decisions of the County executive to the appropriate persons or authorities, coordinating day to day administrative duties and logistics, coordinating and drafting briefs, speeches and policies. The Chief Officers were in-charge of the ten (10) County ministries. They were responsible for administration, office management and assigning programs and policies. Their specific duties included; supervising their staff members, overall administration of the department, formulating and implementing programs, implementing policies, strategic planning, and attending council meetings.

The action officers were tasked with the following duties; implementing the County policies, overseeing the County operations, evaluating adequacy of their departments, main technical advisor to the Chief officers, preparing reports, supervising their subordinates, producing annual reports, creation of databases, and implementing the County programmes as well as monitoring the programmes.

Records managers were responsible for; providing security to records, systems development, conducting records survey, conducting outreach programmes, designing of records retention and disposal schedules, conducting records appraisal, custodians of records, and data processing which involved performing activities such as: accessioning, sorting, classification, arrangement, listing, description, labelling, shelving and editing. The specific tasks for the registry staff were; general recordkeeping, filing, dispatching of mails and files to Action officers, updating records, and receiving of mails. Lastly, the Clerical officers were responsible for; data entry, scheduling appointments, dispatching of mails, reporting departmental activities to the County Board, taking minutes, monitoring office stock, answering telephone calls, sorting office mails, and performing other office duties assigned.

3.5 Sampling techniques

A sample is a subset of the population which is selected to represent the entire population during the study, whereas sampling procedure is the process of selecting a sample from a population (Kothari, 2004; Kasomo, 2006). Sampling is the process of selecting a number of individuals for a study in such a way that the individuals represent the large group from which they were selected (Mugenda and Mugenda, 2003).

The study used purposive sampling and census sampling techniques to select the sample. Kombo and Tromp (2006:82) noted that in purposive sampling, the researcher purposely targets a group of people believed to be reliable for the study. Kombo and Tromp (2006) further noted that purposive sampling technique is a technique that select information rich cases for in-depth data related to the central issues being studied. The study used purposive sampling technique to select the target population that the research covered within the County Headquarters. Purposive sampling was used to select Top Managers, Chief Officers, Action officers, Clerical officers, Records Managers and Registry Staff. The Top managers, Chief officers, and Action officers were selected because they were involved in planning of County activities and programmes, decision making, training, staff recruitment, resource allocation implementing County policies and programmes, and evaluating adequacy of the County activities and programmes. Records managers, Registry staff, and Clerical officers were selected because they were involved in the management of records at Kakamega County.

The researcher further sampled the entire target population drawn from the Top managers, Chief officers, Action officers, Records managers, Registry staff, and

Clerical officers. According to Fraenkel and Warren (1993), census is the total list of the study population. A census sampling technique was applied since the targeted population were not large. In this case, everybody in the selected divisions was given an equal opportunity to participate in the study. Census sampling was advantageous because all the elements of the target population were represented and not a sample of the target population.

3.6 Data collection method

Kothari (2012) indicate that there are several methods of collecting data. The systematic gathering of information relevant to the research sub-problems involves using methods such as interviewing, participant observations, focus group discussions, narratives and case. Each one of them differs considerably from the other in terms of cost, time and other resources at the disposal of the researcher (Kothari, 2012).

The method of data collection used in this study included administering of interviews. Interviews were preferred because they; allowed the researcher to obtain more detailed information; were more flexible as they provided opportunity to restructure questions; provided ease in obtaining personal information; allowed samples to be controlled more effectively. Kothari (2012) states that an interview involves presentation of oral-verbal stimuli and reply in the oral verbal responses. Focus group was not used because it would be challenging to gather the entire group on specific time since the respondents were engaged in different official duties.

The researcher used the semi-structured interview schedule, which consisted of structured and open-ended questions. Semi-structured interviews are flexible, in-depth information is gathered and therefore suitable for the study (Kombo and Tromp, 2006;

93). Despite the fact that semi-structured interviews can be time consuming due to open-ended questions the researcher developed interview questions basing them on the research questions of the study.

3.7 Data collection procedure

According to Kombo and Tromp (2006; 99), data collection refers to the process of gathering specific information aimed at proving or refuting some facts. The researcher visited the interviewees in person, booked an appointment and on the scheduled time administered a friendly and simple face-to-face interview lasting an average of twenty (20) minutes. In order to obtain more data, the researcher carefully listened and probed where necessary to obtain clarification. Throughout the interview, the interviewer interacted with the respondents and recorded all the responses for analysis and interpretation ensuring that the most important points were noted and all the interview questions were answered.

3.8 Validity and reliability of the research instrument

Kothari (2010) defines reliability as a measure of the degree to which a research instrument yields consistent results or data after repeated trials. Reliability indicates the extent to which the measure is without bias and hence offers consistent results. Kombo and Tromp (2006) defined reliability as a measure of how consistent the results from a test are. They further noted that reliability enables the researcher to yield similar result if the test is administered to the same subject twice. Kothari (2010) defines validity as the accuracy and meaningfulness of inferences, which is based on the research results or the degree to which results obtained from data analysis represent the phenomenon under study. According to Kombo and Tromp (2006), validity is a measure of how well a test measures what it is supposed to measure.

Content validity method was used to increase credibility of the findings. According to Mugenda and Mugenda (2003), content validity is a measure of the degree to which data collected using a particular instrument represent a specific domain of indicators or content of a particular concept. The usual procedure in assessing content validity of a measure is to use professionals or experts in the particular field (Mugenda and Mugenda, 2003). In order to ensure validity of the study, the interview schedule was designed from the study objectives. The researcher also ensured that the supervisors assessed the interview schedule to determine whether the instrument represented the concepts under study.

A pilot test was carried out one week prior to the main study to test the reliability of the research instrument. A pilot study can be the pre-testing or trying out of a particular research instrument (Baker, 1994). According to Polit et al. (2001), pilot study is used to refer to the feasibility studies which are small scale version, or trial runs done in preparation for the major study. Teijlingen and Hundley (2001) noted that pilot study can be done to test the wording, test the order of the questions, and try to identify potential practical problems in a study. According to Baker (1994), the pilot study should consist of at least 10% of the total sample size. The researcher interviewed twelve (12) respondents who were selected randomly from the target population. The respondents comprised of; one (1) Top manager, one (1) Chief officer, three (3) Action officers, one (1) Records manager, two (2) Registry staff, and four (4) Clerical officers. All the twelve (12) respondents that were approached agreed to participate in the pilot study. The researcher conducted an interview that lasted the required time as in the actual study (20mins).

The pilot study revealed that; all the respondents who participated in the study were able to answer all the questions within the stipulated time (20mins), the research instruments were providing answers to the study objectives, and the wordings and layout of the interview schedules were clear. Teijlingen and Hundley (2001) noted that it is not possible to exclude the pilot study participants because to do so would result in a small sample in the main study. Data obtained from the pilot study was used as part of the main study. Pilot-testing was conducted to ensure the clarity and suitability of the research instrument.

3.9 Data processing and analysis

Qualitative data analysis consists of words and observations which are interpreted to bring order and understanding. According to Kasomo (2006), analysing and interpreting data calls for patience, tolerance, disciplined study, creative insight and careful attention to the purpose of the study. Analysis requires bringing order to the data in organised units and patterns and manipulating it (Kasomo, 2006). On the other hand, interpretation refers to attaching meaning and significance to the analysis, explaining descriptive patterns and looking for relationship linkages among descriptive dimensions (Kasomo, 2006).

The researcher used thematic analysis technique to compile the data into themes developed from research questions. The researcher interpreted the meaning of the themes against her experience comparing with the information from literature review and the theories adopted. The researcher therefore made sense from what she uncovered from the interview and reported them using descriptive texts, direct quotations and tables.

3.10 Ethical considerations

The ethical considerations that were adhered to during the study included; avoiding plagiarism, obtaining a research permit from the National Commission for Science, Technology and Innovation (NACOSTI), and respect for respondent's confidentiality and privacy. In this regard, all the data collected was kept in safe custody, under key and lock. Further, the respondents were not required to write their names on the interview schedule to avoid exposing who gave what information. A letter of request to participate in the study was addressed to the respondents. This was a show of courtesy to the respondents as well as a mechanism of ensuring informed consent to participate in the study. After completion of the study, the research findings will not be concealed but rather disseminated.

3.11 Summary

This chapter presented the research methodology. It justifies why qualitative approach was adopted. The target population for the study was the Top managers, Chief Officers, Action Officers, Records Managers, Registry staff, and Clerical Officers. The study adopted purposive sampling technique to select the sample. Data was collected using an interview schedule. Validity and reliability of research instruments, and the ethical considerations has also been discussed in this chapter.

CHAPTER FOUR

DATA PRESENTATION, ANALYSIS AND INTERPRETATION

4.1 Introduction

This chapter presents the findings of the study based on data collected from the field using face to face interviews. It provides an analysis and presentation of the results obtained from data collected from the field. The study adopted the qualitative approach using a case study design. The method enabled the researcher to investigate, interpret and understand phenomena under study by providing in-depth information and thereby obtaining an understanding of the research problem.

The study analysed the results based on the objectives of the study. Thematic analysis was used to analyse the qualitative data. The data was compiled into themes developed from the following research objectives: Determine the activities and programmes the County is engaged in; Assess the effectiveness of current records management practices in supporting County activities and programmes; Determine level of support provided by County executives towards implementation of existing records management policies; and Propose a policy framework to enhance recordkeeping as a key tool in the delivery of County activities and programmes.

4.2 Response rate

The study collected data from one hundred and three (103) respondents all of whom were employees of Kakamega County. The respondents were selected using purposive sampling method. The researcher approached the selected respondents and requested them to provide answers to the questions asked. Table 4.1 below provides a summary of the response rate.

Table 4.1: Analysis by response rate

Category	Sample Size	Response (Frequency)	Response Rate (Percent)
Top management	5	4	80.00%
Chief Officers	10	10	100.00%
Records managers	5	4	80.00%
Action officers	29	22	75.86%
Registry staff	18	14	77.78%
Clerical officers	36	36	100.00%
Total	103	90	87.38%

Source: Research Data (2017)

The results in table 4.1 show that out of a sample size of 103, the response rate was 90(87.38%). This was made possible because of the researcher's persistence in confirming and reconfirming the appointments. In spite of the good results achieved 13(12.62%) targeted respondents did not participate in the study owing to their busy schedules.

From table 4.1, it shows that the respondents comprised of four (4) top managers, ten (10) Chief Officers, four (4) Records managers, twenty-two (22) Action officers, fourteen (14) Registry staff and thirty-six (36) Clerical officers.

4.3 Activities and programme the county was engaged In

The first objective was to determine the activities and programmes the County is engaged in.

4.3.1 Activity and programmes of the county

The study sought to determine the activities and programmes the County was engaged in. Ninety (90) respondents comprising four (4) top managers, ten (10) chief officers,

four (4) records managers, twenty-two (22) action officers, fourteen (14) registry staff, and thirty-six (36) clerical officers were asked to explain the activities and programmes of Kakamega County. From the findings of the study the common activities undertaken by the County were: improving the agricultural activities including livestock management; planning and development which included development of policies and implementation of strategies; activities in the education sector involved providing education to the public and improving pre-primary education; and in the health sector, activities included drug control; and in infrastructure development, activities included the maintenance of public service facilities and transport systems; and last but not least, activities in public welfare involved managing the environmental issues such as disaster management and control of air pollution. Besides the above activities, the County's other programmes and activities included managing tertiary education, trade development, improving cultural activities, provision of services to citizens, improving tourism, and involving citizens in governance.

Koga and Ogawa (2007) indicated that records managers need to have an understanding of the business, regulatory and social context in which they operate in. It is from this advice that the study sought to understand the County activities, and programmes. This step involves activities such as researching to identify the organisation administrative context, and establish functions and activities as well as analysing the work performed by the organisation (Macintosh, 2007). This requirement compelled the researcher in the present study to establish the activities and programmes of Kakamega County. The results of the study indicated that the activities and programmes at Kakamega County were similar with those stipulated in the Constitution of Kenya (2010) that describes the essential activities and

programmes of the County Government in Kenya. The activities and programmes were essential for effective service delivery and for spurring social and economic development at the Kakamega County.

4.3.2 Records management activities

The study sought to establish how the County dealt with various records management activities. From the findings of the study, Records Manager 1 (RM 1) stated:

“we normally ensure the physical control of records in order to enhance order in the registry”.

This statement confirms the findings that records managers were involved in arrangement, listing, accessioning, sorting, classification and shelving of records. The findings of the study revealed that the records managers were able to provide adequate control of records from creation to disposition. Records management activities at Kakamega County are in line with the records continuum model. According to the Australian Standard AS4390 (1996), records continuum is a consistent and coherent regime of management processes from records creation, preservation, and use of archives. As argued by Kemoni (2008), with the records continuum theory these benefits would be realised: ensuring the creation of the right records containing the right information in the right formats; organising the records to facilitate their use; systematically disposing of records no longer required; and protecting and preserving records.

Records and information management procedures and policies help increase an organisation bottom line (Read and Ginn 2011;14). Effective management of records allows fast, accurate, and reliable access to records. According to the findings of the

study, the records managers ensured that they created official records of all decisions and actions made in the course of their official business. All records defined by the County government as important were captured in the recordkeeping system. In addition, the records managers ensured that correspondence was filed promptly to avoid misplacement. Filing of the County records was based on alphanumeric filing systems. Classification of records ensured that records relating to the same activity or transaction were grouped together to form a series of records.

The finding of the study indicated that the records managers ensured the location of each record was recorded and updated at every movement. The records managers were able to know where records were at a given time. Recording and updating the movement of files and records enabled the records managers to reduce cases of missing files in the registry. The study also established that security was availed where the security measures included; introduction of security access, use of lockable drawers and cabinets, use of file movement registers, fastening of file folders so that records were not lost inside the file, registration of incoming and outgoing mails, and conducting user education. Records in the registry were stored in designated storage area with access restriction. Only authorized staff had access to the storage area and cabinets. The Action officers were encouraged to return files to the registry after use in order to reduce the number of missing files. The findings of the study revealed that access to records was governed by the nature of the content and regulatory framework. It was further noted that there is need for records managers to take into account the access element and develop appropriate policy that will protect records from unauthorized access, disclosure, deletion, alteration, and destruction. This study is in agreement with Franks (2013) who notes that harmonizing the security policies

will ensure records can be accounted for in the same way as other assets in the County.

The results of the finding revealed that records managers were responsible for regulating the environmental conditions such as checking the temperature and humidity levels in the records storage area. The study established that the records managers ensured records were placed in stable environments away from agents of destruction. The records managers conducted regular security and safety checks in order to review threats to the County records. In order to ensure continuity in case of a disaster, the records managers had identified and protected copies of records containing vital information in a separate location.

Thirty-two (32) respondents comprising two (2) records managers, nine (9) registry staff and twenty-one (21) clerks stated that safety measures such as using lockable drawers, locking doors, purchasing lockable metallic cabinets and storing records in an environment free from pest infestations and harsh conditions were put in place. They further stated that file movement cards and file movement registers were used to track the movement of files among individuals or departments at the County. From the findings of the study, it was revealed that fourteen (14) registry staffs were involved in scanning and storing personnel records in computer database. They further stated that indexes were used to ease retrieval and access to the computerized records. The respondents indicated that the ICT officer was responsible for ensuring the scanned and digitized records were refreshed or replicated when scheduled, or when degradation was detected so as to enable access to those particular records.

From the findings of the study, three (3) records managers indicated that they were involved in records appraisal. Records Manager 2 (RM 2) stated:

The registry cannot store all records that have been generated in the County hence the need to design a records retention and disposition schedule. Records that do not have primary value are disposed of by either total destruction or transferring them to the archive for permanent preservation.

The study established that rarely used records or records no longer in use for official purposes were retained in accordance with the current retention and disposal authority. The determination of the appropriate retention period is the result of the appraisal process that takes place during the development and approval of the records schedule. According to Mary (2004) disposal schedule is a document prepared as part of a records retention programme that list the type of records and specify a period of time after which destruction is authorized. The present study is in agreement with Chaterera (2013) that retention and disposal authority will provide for the transfer of semi active records or inactive records from prime office space to other facilities for continuing retention or total destruction. The study established that the disposal policy will provide the required information to comply with timely destruction of the County's ephemeral records.

Records managers and registry staff were requested to state if the County had a disaster management plan. Ten (10) respondents stated that there was a disaster management plan as six (6) respondents stated that there was no disaster management plan and two (2) respondents indicated that they were not sure whether there was a disaster management plan in the County. When asked to comment on the disaster management plan, Records Manager 2 (RM 2) stated:

The County Government has put in place strategies for protecting vital records against agents of destruction and man is the most notorious. We as the records managers do carryout user awareness and training to all the records users on how to handle files and records.

Records Manager 3 (RM 3) noted:

Disasters are beyond our control but we try as much as possible to reduce the damages caused by the disasters. All records are locked in metallic cabinets in case of fire or floods. In case of computer failure and attack by viruses, the County Government has backup copies which are stored in a different location.

The present study established that there was a disaster management plan in the County which included plans for protecting records against; mishandling of records, theft, and computer failure. The study further established that a disaster management plan ensures the right measures are taken at the right time in the event of an emergency or disaster. The current study concurs with Shepherd and Yeo (2003) that the benefits of a disaster management plan is to provide continuity in the event of a disaster. However, the study noted that there is need for the County Government to establish a comprehensive disaster management plan in order to ensure risks are minimized and recovery actions are taken immediately when a disaster occur.

4.3.3 Records generated and maintained

The study requested ten (10) chief officers and twenty-two (22) action officers to list the form of records that their departments generated. All the respondents stated that their departments generated paper records, fifteen (15) respondents stated that their departments generated electronic records, while all the respondents indicated that their departments did not generate audio visual records. The findings of the study showed that twenty-one (21) of the respondents stated that they had experience in dealing with electronic records while eleven (11) respondents indicated that they did not have any experience in dealing with electronic records.

The study sought to establish the various types of information and records that the respondents required in the execution of their duties. Thirty-two (32) respondents comprising ten (10) chief officers and twenty-two (22) action officers stated that the

records required included; the human resource reports, personnel records, general reports, search reports, educational reports and bursary forms. According to ISO (2001), there is need to identify why records are created and captured and clearly ascertain the person responsible for taking the necessary action. The findings of the study established that well-managed records are a foundation for good governance and it needs to originate from a trusted source of information to support decision-making and accountability. The study further established that records were obtained from the National Government, and the County Government. The information from the County Government primarily originated from the finance department and the land registry, while other departments such as research, human resource department, survey department and physical planning department were other main sources of information in the County. These records were either in the form of paper records, electronic records or both.

The respondents were requested to comment on the current situation of records management in the County as at the time of the study. Thirty (30) respondents comprising two (2) records managers, nine (9) registry staff and nineteen (19) clerks stated that they lacked proper systems for managing electronic records. They further stated that lack of adequate personnel, absence of training in records management, congestion in the registry, a lot of time was spent in file retrieval, poor organisation of records, shortage of storage equipment, absence of strategies for records management, and absence of a comprehensive disaster management plan were some of the challenges they faced in the County. However, two (2) records managers, five (5) registry staff and three (3) clerks stated that there were ongoing measures to resolve the challenges. Registry staff 1 (RS 1) noted:

The County is working on digitizing its records so some challenges like poor organisation of records, a lot of time spent on records retrieval, storage space, understaffing, missing files, mishandling of files will be resolved.

The respondents further gave an assessment of the state of records in their departments. Nine (9) action officers, four (4) chief officers and seventeen (17) clerks stated that the state of records in their departments was good. However, six (6) chief officers, thirteen (13) action officers and nineteen (19) clerks stated that they were facing various challenges. They enumerated the challenges to include; missing files, files left lying on top of tables, inadequate personnel and a lot of time spent in retrieving files. The study established that although the assessment of the state of records management in the departments was found to be good, it faced challenges that needed to be addressed. The current study is in agreement with the study by Kalusopa (2012); and Abuki (2014) which notes that poorly managed records may become a liability, hampering operations, and draining organisation resources. The County Government need to take appropriate action and make correct decisions in order to overcome the challenges faced when managing its records. There is need for Kakamega County to implement an effective records management programme for protecting the cycle of its records. The records management programme will enable Kakamega County to limit cost and risks that can come with poorly managed records.

The study sought to establish whether records management staff had the required knowledge and experience to manage the County records. It was established from the findings of the study that out of five (5) records managers, eighteen (18) registry staff, and thirty-six (36) clerical officers only three (3) employees possess a degree in records management, six (6) had a diploma, while eleven (11) employees possess certificate in records management. The study further established that only one (1)

employee had a master's degree in records management. From the results of the study, it was apparent that majority (thirty-eight) employees did not have any training in records and archives management. The study established that although the County lacked qualified individuals with the required knowledge and experience to manage the County records, they had established positions for records management. As advised by Shepherd and Yeo (2003), there is need for the County to hire, and maintain competent and capable work force in the records management department. The competent and capable work force will enable the County Government achieve its mission and improve service delivery to its citizens.

From the findings of the study, seventeen (17) action officers gave their views on computerization of records. The Action Officers stated that computerization of records would facilitate retrieval, enhance multi-access, reduce time spent in retrieving files, enhance security of records and improve productivity. Action officer 1 (AO 1) further stated that computerization of records would improve services being offered and it will enhance efficiency and effectiveness of services in the County. He further noted that computerization will reduce on storage space and access to records will become easier and faster.

IRMT (2009) noted that an electronic records management system can manage the tasks involved in creating and using documents, applying classification schemes, retention and disposal schedules, storing and retrieving records in central or remote location and protecting the confidentiality of sensitive information. Meanwhile, the study established that computerization of records and digitization enhanced; accessibility, security, productivity, storage, safety, and operational cost reduction. However, the study established that there was lack of adequate staff to manage the County electronic records. The findings of the study revealed that the County needed

to employ staff with adequate knowledge to manage records generated in the electronic format. The study further noted that the County Government needed to conduct refresher courses and train its records managers on electronic records management.

The study also sought to establish whether the County departments maintained mini-registries. Nine (9) action officers stated that their departments maintained mini-registries, while thirteen (13) action officers stated that their departments did not maintain mini-registries. From the findings, the respondents stated that the mini-registries were mainly for accessibility purposes. The respondents further stated that the mini-registries provided adequate security for confidential and sensitive records.

4.4 Effectiveness of Current Records Management Practices in Supporting County Activities and Programmes

The second objective was to assess the effectiveness of current records management practices in supporting County activities and programmes.

4.4.1 Implications of records management on the County activities and programmes

From the findings of the study four (4) records managers and fourteen (14) registry staff stated that records management supported the County activities and programmes by enhancing decision making, for evidential purposes, minimizing litigation risk, preserving the corporate memory and enhancing accountability and transparency.

Records Manager 1(RM1) stated:

Records management has greatly supported the County activities; information is needed for reference and to provide evidence on how departments spend the national and local funds. Without records then most of the activities would be difficult if not impossible.

The Human Resource manager also noted:

How can you know the performance of your staff if you have nothing to refer to? Some activities like staff appraisal, recruitment, promotion, and retirement totally depend on the information contained in the personnel files.

This statement by the Human resource manager confirms the findings that records play a vital role in providing the required information for managing and paying their employees. The statement further confirms that records enable the Human resource manager to plan the workforce and monitor staff performance. The Human resource manager further noted that managing personnel records ensure that a complete and comprehensive employment history of each employee is readily available.

Ninety (90) respondents comprising four (4) top managers, ten (10) chief officers, twenty-two (22) action officers, four (4) records managers, fourteen (14) registry staff and thirty-six (36) clerks were asked to state the impact of records management on the County activities and programmes. According to the findings, the respondents showed that records management impacted the County activities and programmes through; integrity, decision making, staff evaluation and appraisal, reduced corruption cases, service delivery, improving the corporate image, efficiency and effectiveness in the provision of services and increased productivity. In addition, two (2) Action Officers stated that records management impacted on protection of citizens and employees' rights. Further, Registry Staff 3 (RS 3) stated:

Due to proper organisation of our files, less time is spent in locating and retrieving files. Cases of missing files has also reduced and fewer resources are spent on ephemeral records.

This statement by Registry Staff 3 (RS 3) confirms that proper records management facilitate efficient and effective file retrieval and access. The statement further

confirms that through proper records management, the County Government is able to save resources that were spent on ephemeral records.

Chief Officer 4 (CO 4) also stated:

So far so good, the records management department is doing a great job and because of them our image and performance has improved. We are able to provide efficient and effective services to our citizens and stakeholders.

This statement by the Chief Officer 4 (CO 4) confirms that proper records management is important for determining issues of accountability and service delivery at the County Government.

The study further requested the respondents to state the impact of records management on service delivery. From the findings of the study, the respondents stated that records management impacted on service delivery through; performance, transparency, efficiency and effectiveness, and protection of citizens' rights. Top manager 1 (TM 1) stated:

Records act as a true reflection of the County activities. If files are well managed then we are able to account for County services in a transparent manner. It is clear that cases of corruption and embezzlement of County resources has greatly reduced.

This statement confirms that proper records management provides the foundation for accountability, protection of human rights and increases citizens awareness to their rights. The statement further confirms that proper records management has facilitated accountability and transparency in County activities and programmes. The present study is in agreement with Luthuli and Kalusopa (2017); Chaterera (2013); and Palmer (2000) that proper records management ensure good public service delivery.

Thus, according to the study, records management helped the County to achieve its mission.

4.4.2 Policy and procedures for records management

On whether the County had a policy for records management, six (6) chief officers, two (2) top managers, six (6) action officers, nine (9) registry staff and eight (8) clerks stated that the County did not have a policy for managing its records. Registry Staff 5 (RS 5) stated:

“Personally I can’t say the County has a policy for records management because I have never seen it. We only use Article 14 and Article 19 to manage our records”.

Eighteen (18) respondents comprising two (2) top managers, three (3) action officers, two (2) records managers, five (5) registry staff and six (6) clerks stated that the County had a records management policy. From the findings of the study those who showed there were policies indicated that the key aspects of the policy were on disposition of records, records creation, access to records, filing systems, storage of records and retrieval of records.

The respondents stated that the key policies and guidelines followed in managing records focused on disposal of records, filing, storage and access. Records Manager 4 (RM 4) stated:

“Yes we have a records management policy but it does not cover all the phases of the life cycle of records. We only have policies on records disposal, security and organisation of records”.

The findings of the study established that Kakamega County had policies and procedures to ensure proper filing and storage of its records. The study established that access to records were govern by the regulatory and intellectual content of the records. The study further established that, the retention and disposal schedules

enabled the records managers to determine the retention period of its records and propose a suitable strategy for the timely destruction of the ephemeral records.

The study sought to establish whether the County had policies on records disposal. Thirty-two (32) respondents comprising seventeen (17) action officers, four (4) records managers, and eleven (11) registry staff indicated that there were policies for disposal of records. Eight respondents comprising five (5) action officers and three (3) registry staff stated that they were not aware if the County had a policy on records disposal. Those who stated that the County had policies on records disposal were asked to indicate if the policies were in-house or national. From the findings of the study, nine (9) respondents indicated that the disposal policies were in-house, twenty-one (21) indicated that the policies were national while two (2) respondents indicated that they were not aware if the policies were in-house or national.

The findings of the study established that Kakamega County only followed policies and procedures on disposal of records, filing, storage, and access. The findings of the study further established that there is need for Kakamega County to adopt a comprehensive policy framework for managing the cycle of its records. The current study is in agreement with IRMT (2009) that some of the regulatory and policies issues to cover; records creation and use, the acquisition of records, appraisal of records, disaster recovery and business continuity, disposal of records, security and privacy, training of records management staff, records storage, and electronic records management. The study established that some of the benefits that the County would achieve through implementation of a records management policy are; making information readily available, facilitating effective performance of activities,

providing continuity in the event of a disaster, and protecting records from unauthorized access.

The present study established that the existence of a records management policy is important, as it ensures full and accurate records of all the County activities and programmes are created, managed and disposed appropriately and in accordance with relevant legislations. The findings of the study identified that, the records creation policy will ensure all records generated as a result of the County activities and programmes are captured and stored in the recordkeeping system. The study further revealed that the creation policy will enable the County Government achieve information accessibility and business enhancement.

The finding of the study established that there is need to record and update the location of each file and records. This will enable the County Government to reduce on the cases of missing files within departments and among the action officers. The findings further noted that the availability of policies on access and storage will ensure records are maintained in an authentic and reliable manner for as long as they are required. The respondents further noted that the access and storage policies will enable the records managers to store the County records in a designated storage area with access restrictions. The study established that records require a storage conditions and handling processes that take into account their specific physical properties. According to the findings of the study, the storage conditions should be designed in order to protect records from unauthorized access, loss or destruction, disasters, and misplacement.

Due to the exponential growth of records in the County, there is need to conduct records survey and records appraisal. The study found out that appraisal policies will

enable the County to control records through protection of vital records and disposal of ephemeral records. The findings of the study further noted that the policies will ensure records are disposed of in a timely and efficient manner thus decongesting the registry. Records of enduring value will be identified in time and protected for archival and research value. This will enable the registry staff to provide the required information with speed and accuracy hence improving efficiency.

The study established that disaster management policies should provide protective measures in response to potential disasters. The current study concurs with Shepherd and Yeo (2003) that the aim of a disaster management plan is to guide records managers on how to protect and restore records against damages caused by fire, earthquakes, floods, technological failure, vandalism, war, accidental loss, thefts, chemical spills, and poor wiring. Besides implementing the disaster management plan on theft, computer failure, and mishandling, there is need for Kakamega County to implement other disaster management plan as noted in the study by Shepherd and Yeo (2003).

4.5 Level of support provided by County Executives

The third objective was to determine the level of support provided by County executives towards implementation of existing records management policies.

4.5.1 Level of support provided to the records management department

According to Read and Ginn (2011), records management systems is a group of interrelated resources; people, policies and procedures, tools, technology, space, and maintenance; acting together according to a plan to accomplish the goals of the records and information program and to facilitate their preservation, retrieval, use, and disposition. Meanwhile Ayoo and Otike (2002) observe that some of the factors to be

considered when formulating policy in developing countries like Kenya include; funding, qualified personnel, training opportunities, and budgetary allocation for professional development. Eighteen (18) respondents comprising four (4) top managers three (3) records managers and eleven (11) registry staff, stated that the support provided by the County Government was in terms of; policies and procedures, budgeting, ICT, and training in records management.

Under budgeting, the current study established that the County Government supported the records management departments through; purchase of computers, procurement of stationery, and purchase of office facilities. Availability of computers and scanners enabled the records managers at Kakamega County to digitize its personnel records. The respondents noted that the office facilities enabled them to conduct their daily records management activities. The study further established that funds were allocated by the County executives in support of the records management activities.

On policies and procedures, the study established that the County Government provided documentation manuals and code of regulations. The findings of the study further noted that the documentation manuals and code of regulations provided guidelines to the records managers on how to conduct their daily duties in the registry. The present study concurs with the study by Mwanyungu (2018) that there is lack of enforceability of records management policies. Barkenbus (1998) noted that top managers in agencies are seen as the front-line in organisations because they are charged with the responsibility of carrying out the dictates of policy. The current study noted that the records management policy should be launched and copies of the policy should be distributed within the County as well as posting them on the County

website. The findings of the study further noted that awareness raising should be a continuous process to ensure that the policy is known.

The respondents stated the support provided under ICT involved the purchase of computers and scanners. The respondents stated that the scanners and computers enabled the digitization process to be conducted. The respondents further stated that since the County Government had not implemented an Electronic Records Management System (ERMS), the digitized records were stored in the computer's hard drives. The findings of the study revealed that communication channels between and within the County departments was provided. The communication channels enabled faster communication between employees from different departments in the County headquarters. The study further noted that absences of adequate ICT facilities impacted negatively on the management of electronic records. The present study concurs with Ndungi (2018) that there is need for the County Government to install stable internet network in order to enhance proper management of the electronic records.

Under training, the respondents stated that on job training, seminars and conferences were organised for the records management department. The present study concurs with Ndungi (2018) that lack of training in records management contributed to deterioration of records management activities and demotivation of records management personnel. Hence there is need for Kakamega County Government to conduct induction and also sensitize its officers on the importance of developing and implementing policies on records and archives management.

The study also sought to establish the infrastructure put in place for records management. Seventy-eight (78) respondents comprising eight (8) chief officers,

twenty-two (22) action officers, four (4) records managers, fourteen (14) registry staff and thirty (30) clerks stated that staffing, budgeting, computerization, filing systems, training, space and accommodation were some of the infrastructure that the County Government had put in place to support records management activities. The current study is in agreement with Mwanyungu (2018); Abuki (2014); Ndungi (2018); and Ayoo and Otiye (2002) that lack of senior management support impact negatively on records management activities thus interfering with the process of policy formulation.

4.5.2 Appreciation of records management by various respondents

The respondents provided their perceptions on the appreciation of records management department by the various County staff. The findings of the study showed that top managers appreciated the records management department through; provision of funds, staff motivation, staffing, and training of records management staff. From the findings of the study, the Chief officers appreciated the records management department through; staff development, staff motivation, proper file handling, promoting teamwork, communicating positive feedback and cultivating peak performance. The findings of the study further showed that the Action officers appreciated the records management department through; proper file handling, providing positive feedback, returning of files after use and promoting teamwork among the records management staff. The findings of the study also showed the appreciation of records management department by other staff through; reporting of missing files, observing rules set by the records managers and enhancing teamwork.

4.6 Policy Framework to Enhance Records Management

The study sought to propose a policy framework to enhance recordkeeping as a key tool in the delivery of County activities and programmes. According to Wamukoya

(2017), the non-existent in records management policies and the existent of weak or outdated legislative and regulatory framework in records and archives management were some of the factors that contributes to poor records management in Kenya. A study conducted by Kanzi (2016) also established that Kenya National Archives faced numerous challenges especially on the inadequacies in existing records management legislation. The proposed framework takes into account future projections based on records management at the Kakamega County.

Seventy-eight (78) respondents commented on the future plans for records management in their respective departments. Four (4) top managers, eight (8) chief officers, nineteen (19) action officers, four (4) records managers, ten (10) registry staff and thirty-three (33) clerks stated the future plans were to focus on digitization, introduction of electronic records management systems, employment of more qualified staff and implementation of policies on information and records. Records Manager 2 (RM2) stated the County had plans to expand the registry facilities and to manage records in a hybrid environment. The findings of the study established that a comprehensive records management programme should seek to ensure that records are managed efficiently and in a cost-effective manner. The findings of the study further established that the records management programme should ensure accessibility to records and when no longer required, they should be disposed of in a timely and efficient manner.

The study sought to establish the various challenges that affected records management at the County. From the findings of the study, three records managers (3), thirty (30) clerks and eleven (11) registry staff stated that staffing, missing files, absence of records management policies, absence of strategies and standards for records

management, funding, insufficient storage space, staff training, absence of proper methods for records disposal, and digitization were some of the challenges that affected the County. Two (2) registry staff and five (5) clerks further stated the County did not have equipment and facilities for records management, low priorities accorded to records management, absence of standards and best practices, lack of top management support and, mishandling of files were some of the challenges that the respondents noted. Further from the findings of the study, three (3) chief officers and seven (7) action officers stated preservation, access and retrieval were some of the gaps in the records management department.

The respondents further commented on the gaps that needed to be filled. Seventeen (17) action officers, four (4) records managers, nine (9) registry staff and sixteen (16) clerks noted the gaps to be filled were centred on security, preservation, training in records management and storage. The study further established as indicated by ten (10) action officers, four (4) records managers, twelve (12) registry staff and twenty-three (23) clerks that security of records, retention, records survey, appraisal, disaster management plan, digitization of records and preservation policies were some of the gaps that needed to be filled in the records management policy. The present study concurs with Yusof (2009) that the existing problems such as less effective and uncommitted management techniques and poor awareness of management responsibility can be overcome with one policy which is well defined, easily understood and implemented.

The current study concurs with Wamukoya (2017); IRMT (2009); Shepherd and Yeo (2003); Read and Ginn (2011); and Yusof (2009), that there is need for the County Government to have a comprehensive policy framework for managing the cycle of its

records. The study therefore established that the main aspects that the County needed to include in the policy framework included; security of records, access and use, retention, survey, appraisal, storage of records, disaster management plan, electronic records management, and staff development.

4.7 Summary

The chapter presented, analysed and interpreted the findings based on the objectives of the study. The chapter presented data on the; response rate, activities and programme the County is engaged in, records management activities, effectiveness of current records management practices in supporting County activities and programmes, and level of support provided by County executives towards implementation of existing records management policies. The findings were discussed with reference to the literature reviewed in chapter two.

CHAPTER FIVE

SUMMARY OF FINDINGS, CONCLUSION AND RECOMMENDATIONS

5.1 Introduction

This chapter presents a summary of research findings and conclusion as well as the recommendations of the study based on the research objectives. The research objectives were to: Determine the activities and programmes the County is engaged in; Assess the effectiveness of current records management practices in supporting County activities and programmes; Determine level of support provided by County executives towards implementation of existing records management policies; and Propose a policy framework to enhance recordkeeping as a key tool in the delivery of County activities and programmes.

This chapter further highlights the research gaps identified by the researcher and how they would be addressed. It concludes by proposing a policy framework for records management at Kakamega County.

5.2 Summary of Findings

The study summarized the results obtained from data analysis and interpretations as guided by the study objectives. These are provided below

5.2.1 Activities and Programmes undertaken by the County

The findings of the study revealed that:

Kakamega County was involved in various activities and programmes. These activities and programmes included; agricultural activities, planning and development, education programs, health services, tourism and trade development. Other activities and programmes included; cultural activities, infrastructure and public works,

implementation of National policies, public welfare, environmental issues, and tertiary training.

The activities and programmes were essential for effective service delivery and for spurring social and economic development at the Kakamega County.

5.2.2 Records management activities

The study established that:

- Records managers were involved in creating, organizing, maintaining, providing access, and disposing records.
- Records managers created official records of all actions and decisions made in the County.
- Records managers ensured filing and classification of files and records were done promptly.
- File movement cards and file movement registers were used to track the movement of files and records within the County departments.
- Security measures such as; access security, use of lockable drawers and cabinets, use of file movement registers, user education, and fastening of file folders was availed.
- Records managers were responsible for regulating the environmental conditions of the County records.
- Access to records was governed by the nature of the content and regulatory framework.

- ICT officers were responsible for ensuring the digital records were refreshed and replicated when scheduled.
- Rarely used records were retained in accordance with the current retention and disposal policies.
- There is need for the County Government to established a comprehensive disaster management policy in order to minimize risks.

5.2.3 Records generated and maintained

The findings of the study revealed that:

- Records generated and maintained in the County were either in paper format, electronic format or both.
- There were no records in microforms or audio-visual format.
- The registry staffs were found to have less experience in dealing with records generated in the electronic environment.
- Records were obtained from the National Government and the County departments.
- The County Government did not have adequate storage equipment and facilities to store their records.
- There were no proper systems for managing electronic records.
- A majority of the employees did not have any training in records and archives management.

- Only three (3) departments (Health department, Finance department, and Lands department) maintained mini-registries. However, these mini-registries were necessary for; accessibility, security, and confidentiality of records.
- Although the assessment of the state of records in the departments was found to be good, the departments faced challenges such as; absence of proper system for managing e-records, personnel, congestion in the registry, shortage of storage facilities, misplacement of files, and absence of a comprehensive disaster management plan.

5.2.4 Effectiveness of current records management practices in supporting County activities and programmes

The study established that:

- Records management had a significant impact on County activities and programmes thus enabling the County to achieve its mission.
- Records management impacted on service delivery through; performance, transparency, efficiency and effectiveness, and protection of citizens' rights.

5.2.5 Effectiveness of the existing records management policies in discharging County activities and programmes

The research findings established that:

- The key policies and guidelines followed in managing records at the County were on; disposal, filing, storage, and access.
- There were no records management policies on; creation and capturing of records, storage, appraisal, and disaster management.

- The creation policy will ensure all records generated as a result of the County activities and programmes are captured and stored in the recordkeeping system.
- The availability of policies on access and storage will ensure records are maintained in an authentic and reliable manner.
- Policies on storage will ensure records are protected from unauthorized access, loss, destruction, and misplacement.
- The appraisal policies will enable the County to control the exponential growth of records.
- A comprehensive disaster management policy will provide protective measures in response to potential disasters.

5.2.6 Level of support provided by County executives

The findings of the study revealed that:

- The County Government provided support toward records management in terms of policies and procedures, budgeting, ICT and training in records management.
- On policies and procedures, the County Government supported records management department through the provision of documentation manuals for guidance, and code of regulations.
- There is need for the County Government to establish strategies for the implementation of the records management policies.

- Under budgeting, the County Government supported records management department through; purchase of computers, procurement of stationery, purchase of office facilities and allocation of funds to the records management activities.
- Under ICT, the County Government had purchased computers and scanners for the records management department.
- Under training, the County Government supported records management department through organizing; on job training, seminars, and conferences.
- The Top managers appreciated records management department through; allocation of finances, staff motivation, and training.
- The Chief Officers appreciated records management through; staff development, staff motivation, proper file handling, and communicating positive feedback.
- The Action officers appreciated records management department through; proper file handling, providing positive feedback, returning files after use, and promoting teamwork.
- Other staff appreciated records management department through; reporting of missing files, observing rules set by the records managers, and enhancing teamwork.

5.2.7 Policy framework to enhance records management at the County

The research findings established that:

- Although the Top Management, Chief Officers, and Action officers provided support to the records management department in terms of; funding, staffing, policies and procedures, infrastructure, ICT and training the support was not sufficient.
- The challenges faced by the records management department were on; insufficient storage space, security issues, inadequate funding, absence of a clear records management policy and procedures, absence of standards and best practices for records management, under staffing, mishandling and misplacement of files.
- There were gaps in the records management policy which included; security issues, preservation of files, records appraisal, disaster management plan, improper handling of records, guidelines on how to manage e-records, and records storage.
- The County Government needed to include the following aspects as part of the proposed records management policy framework, namely; security of records, access and use, records retention, records survey and appraisal, digitization, preservation of records, creation and capturing of records, disaster management plan, staff development, and electronic records management.

5.3 Conclusion

The study established that Kakamega County Government engaged in various activities and programmes, which were essential towards provision of effective

service delivery and enhancement of social and economic development of the County and its citizens. The study concludes that records management processes such as records creation, filing, storage and maintenance, distribution and use, survey, appraisal, computerization and digitization supported the County activities and programmes thus making information and by extensive records a vital resource to the County.

The study concludes that records management had a significant impact on the County activities and programmes and its effects on service delivery. The study revealed the impact of records management on service delivery at the county to include; protecting citizens' rights, improved strategic planning, foster more robust problem solving, transparency and accountability, and clients' satisfaction. The study is in line with the findings by Kalusopa (2017) which noted that understanding the scale and dimension of good records management is important for determining issues of accountability in the quest for optimal service delivery and governance.

The study established that records management policies have an impact on records from creation, maintenance, use, access, and disposition. The findings of the study revealed that Kakamega County only followed policies and procedures on disposal of records, filing, storage, and access. The study further revealed that the County Government did not have policies and procedures on records creation and capturing, storage and access, survey, retention, appraisal, maintenance and use, electronic records management, disaster management, and personnel management. The study concludes that the existence of a comprehensive records management policy framework will enable full and accurate records of all the County activities and

programmes are created, managed, and disposed appropriately and in accordance with relevant legislation and standards.

The study revealed that records management department still experienced challenges on; insufficient storage space, security issues, inadequate funding, lack of enough trained personnel, absence of a clear records management policy and procedures, absence of standards and best practices for records management, under staffing, mishandling and misplacement of files. The study therefore concludes that although the Top managers, Chief officers, and Action officers supported the records management department in terms of; policies and procedures, infrastructure, human resource, budgeting, ICT, and training the support provided was not adequate.

The study established that absence of a comprehensive records management policy framework that includes all records management activities, limits productivity to boost good governance and service delivery at the Kakamega County. The current study is in agreement with Yusof (2009) that the existing records management problems can be overcome by one policy which is well defined, easily understood and can be implemented. The study concludes that the main aspects that the County needed to include in the policy framework included; security of records, access and use, retention and disposal, survey, appraisal, storage, disaster management, electronic records management, and staff development. The study therefore proposes a records management policy framework as a key tool to enhance County activities and programmes at the Kakamega County.

5.4 Recommendations

In view of the findings and discussions presented above the following recommendations were suggested.

5.4.1 Monitoring and evaluating County activities and programmes by County executives

The study established that Kakamega County engaged in various activities and programmes, which were essential towards provision of effective service to its citizens. The study therefore recommends the need for the County executives to put in place monitoring and evaluation guidelines on County activities and programmes which will bring to light evidence of County performance and achievement. Monitoring and evaluating County activities will enable County executives to allocate resources where they are needed by the common 'mwananchi' to feel the impact of devolution. Monitoring and evaluation of County activities and programmes will further enable the County Government measure the extent to which the County activities and programmes have been achieved or how likely they are to be achieved.

5.4.2 Records improvement strategies

The study established that Kakamega County faced various challenges such as; insufficient storage space, absence of records management standards and best practices, mishandling and misplacing of files, absence of a comprehensive records management policy, absence of a functional filing system among many others. These resulted in poor organisation of records and difficulty in records retrieval. The researcher recommends the need for records managers to enforce standardized system for creating, organizing, storing, retrieving, appraising, preservation, and disposing

the County records. The strategy will enable consistency in records management at the County Government.

5.4.3 Policy implementation by the County executives

The study recommends that sensitization of staff on records management policies should be a continuous process for both the records managers and other County staff as a way of enhancing proper records management and good governance. The study also recommends that the records management policy framework be launched and copies of the policies be distributed amongst the County members. The study further recommends the County executives to implement mechanisms to see to it that all members of staff are abiding by the policies and procedures set by the records management department. Severe actions should be taken to those who fail to comply with the stated regulations.

5.4.4 Capacity building for records management staff

The findings of the study revealed that Kakamega County lacked adequate personnel in terms of quality and quantity to manage its recordkeeping activities. Though the County had shown interest in improving its records management activities, this cannot be achieved unless the senior managers employ qualified staff and train existing ones. The study therefore recommends the need for the senior managers to provide more support for records management staff by employing qualified personnel with proper records management skills and retraining of existing ones.

5.4.5 Budgetary allocation by the County executives

The study identified that there were inappropriate allocation of resources to the records management activities and programmes. The study recommends that

Kakamega County should provide adequate resources for the development, implementation as well as evaluation of records management policies and procedures.

5.4.6 Proposed policy recommendation

From the research findings, the researcher proposes a records management policy framework that will enhance proper records management. Proper records management will facilitate decision making, risk management, accountability and transparency, and good governance at the Kakamega County. It will also ensure that the County conducts its activities in a more efficient and effective manner.

The framework comprises six (6) interrelated themes namely; County activities, ICT unit, records management unit, records management activities, records management policy framework, and good governance. The County generates different types of records in the course of conducting its activities and programmes. The records should be transferred to the records management unit for organisation and maintenance. An electronic records management system should be used to capture and manage electronic records in the ICT unit. The records management policy framework will enable records managers to perform all the records management activities from creation to disposition. Properly managed records will enable the County officials to perform their duties hence the provision of services to the County citizens and stakeholders.

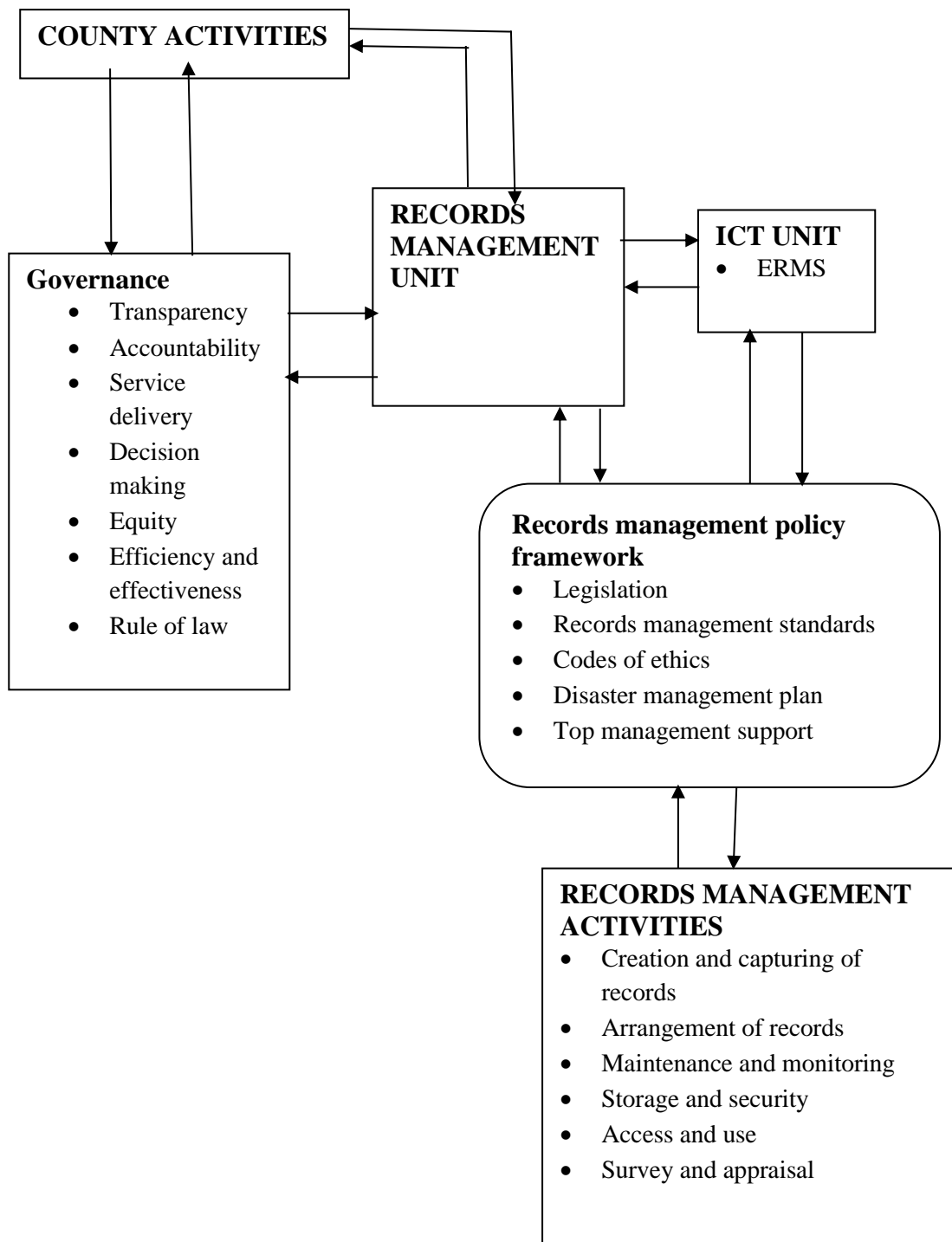


Figure 5. 1: Proposed policy framework for records management and good governance

Source: Chamwada policy framework for records management and good governance

1) County Activities and programmes

As a result of conducting its activities and programmes, the County Government generates different forms and types of records that need to be managed in an effective manner. Proper records management enables the County Government meet its goals and objectives. The core County activities and programmes includes: planning and development, improving agricultural activities, providing education to the public, improving the health sector, infrastructure development, trade and development, cultural activities, and improving the tourism sector.

2) Records management unit

Records managers should collect all records generated as a result of the County activities and programmes. These records usually contain different value hence the need to properly manage and preserve them. Access to records should be determined by the type of user and the content of the records. Properly managed records will enable the County departments to perform their County duties in a more timely and accurate manner. Records users will only access the desired records through their respective departments.

3) ICT unit

An ICT provider will be required to supply and support ERMS application for managing electronic databases.

4) Records management policy framework

The records management policy framework shows the aspect that needs to be incorporated in the records management policy framework. The County should incorporate relevant legislation that are applicable to records and information, such as; the public archives and documentation service Act CAP 19, Records disposal Act

CAP 14, the anti-corruption and economic crime, freedom for information Act No 31, and data privacy and protection law. In addition to the legislation, the County need to adopt relevant standards that influence the way records are managed in the County. This includes; ISO 13008:2012 (Digital records conversion and migration processes), ISO/TR13028:2010 (implementation guidelines for digitization of records), ISO 15489-1:2016 (Records management –part 1: concepts and principles), ISO 16175-1:2010 (Principles and functional requirements for records in electronic office environment), ISO 30300 (Management systems for records- fundamentals and vocabulary), and ISO 23081-2:2009 (Managing metadata for records).

Protective measures should be put in place to respond to potential disasters. The aim of the disaster management plan is to guide records managers on how to protect and restore records against damages caused by fire, earthquakes, floods, technological failure, vandalism, war, accidental loss, theft, chemical spills, and poor wiring. Besides the disaster management plan, codes of ethics should be well designed to help the records managers conduct their activities honestly and with integrity. The codes of ethics should include; integrity, objectivity, professional competence, confidentiality, and professional behaviour.

The County executives should provide adequate support to the records management department. These includes; training, funding, staffing, ICT, space and accommodation. The County executives should employ records management personnel with the relevant qualifications. All records management personnel should receive initial training in order to enable them fulfil their roles in the County. There should be regular meetings, conferences, on job training, and seminars to educate the records management personnel on the current trends affecting information and records. The records management personnel should be given opportunity to attend

refresher courses in records and archives management. Adequate funding should be provided to the records management department for the purchase of office facilities and equipment, training, and for the implementation and management of the electronic records management system. The County executives should provide computers, scanners, internet, and an electronic system for the management of electronic information. Besides the ICT support, adequate storage space and equipment should be provided. These will reduce congestion in the registry and records centre.

5) Records management activities

Records management activities are applied to records in all formats. Records creation and capture will enable the County staff create records of all decisions and actions made in the cause of their official business. All records defined by the County as important should be captured in the recordkeeping system and their associated metadata should be managed. When arranging records, the County should use accepted records management principles such as principles of provenance and principle of original order.

The location of all records should be recorded and updated at every movement of the record. Digital records should be refreshed or replicated when new storage devices and media are being installed or when degradation is detected so as to facilitate retrieval and access. Access to records should be governed by the nature of the content, the statutory and regulatory framework within which the County operates and the business needs and requirements of the County. The records managers must take into account the access element and develop appropriate rules with reference to Access to Information Act No. 31 of 2016 that will protect records from unauthorised access, deletion, or alteration.

Current hardcopy records should be stored in storage areas with access restrictions. Records should be placed in stable environment away from agents of destruction. Records requires storage conditions and handling processes that take into account their specific physical properties. Storage conditions and handling processes should be designed to protect records from unauthorized access, loss or destruction, disaster and misplacement.

Due to the exponential growth of records in the County, records survey and records appraisal should be conducted regularly. Records disposal ensures that ephemeral records are destroyed in reference to Records disposal Act CAP 14. Records that possess a secondary value should be transferred to the archives for permanent preservation.

6) Good governance

It is necessary to properly manage records from creation to disposal in order to achieve accountability, transparency, service delivery, equity, efficiency, and effectiveness in the provision of services to the County citizens and stakeholders.

Proper records management will enhance accountability and transparency in the County. It will ensure the County activities and transactions are subjected to internal and external audit. Government officials will be held accountable for their decisions and actions at the County. This will reduce corruption cases, embezzlement of funds, and mismanagement of the County resources.

All citizens in the County will be able to receive services offered at the County in a more timely and effective manner. This will ensure citizens' needs are identified and met, improved customers interaction with the County Government, and provide a channel for customers' feedback. In addition to service delivery, the County

Government will produce results that meet the needs of the citizen while making the best use of the resources at their disposal. All citizens in the County will feel they have a stake in it and they would not feel excluded. The opinion of the minorities in the County will be taken into account and the voices of the most vulnerable in the County will be considered in decision making.

5.5 Contribution and Originality of the Study

Originality of research refers to doing something that has not been done before on the topic under study (Edwards, 2014). According to Ambira (2016), sources of originality in research includes; studying understudied areas, new theory, studying unexplored topics, use of new methods and tools, and new and innovative use of data. Edwards (2014) noted that originality of research may include; testing someone's else idea, testing new experiences, continuing a previously original work, and revealing new evidence on a known issue.

The originality of this study is based on original topic. Original topic refers to where the topic of the study has never been studied (Ambira, 2016). Existing literature shows that a lot has been written on the importance and functions of records management policies (Abuki, 2014; Ndungi, 2018; Mwanyungu, 2018; Amodot, 2018; David, 2017; Ambira, 2016; Mampe and Kalusopa, 2012; Kemoni, 2007). However, none has specifically proposed a framework for integrating County's activities and programmes, records management activities, records management policies, and good governance in Kenya. The present study broke new ground in records management at Kakamega County Government in Kenya by focusing on examination of current records management policies framework as a key tool in the

delivery of County activities and programmes. The proposed records management policy framework has provided a basis for further scholarly engagement.

5.6 Suggestions for Further Study

The researcher proposes the need for possible future research in the following areas;

- Records management legislations.
- Strategies for managing County Government records.
- Managing records in the cloud

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APPENDICES

Appendix 1: Interview Schedule for the Top Management

1. Current job title.....
.....
.....
2. What are your duties and responsibilities in the County?
.....
.....
3. Briefly explain the activities and programmes of Kakamega County
.....
.....
4. What importance does the County attach to records and records management?
.....
.....
5. What contribution do records make towards the realization of County objectives and mandates?
.....
.....
6. Comment on whether the County has a policy on records and information management.....
.....
.....
If yes, what are the key aspects of the policy?
.....
.....

7. How are staff made aware of this policy?

.....
.....

8. How essential/effective is the policy in managing records at the County?

.....
.....

9. What is the impact of records management on:

(i) Transparency and accountability?

.....
.....

(ii) Service delivery?

.....
.....

(iii) Protection of citizens' rights?

.....
.....

10. Explain the kind of support that your office provides to the records management department in terms of:

(i) Policy and procedures

.....
.....

(ii) Infrastructure.....

.....

(iii) Training in records management

.....
.....

(iv) Human resource

.....
.....

(v) Budgeting.....

(vi) Information Communication Technology

.....
.....

11. Comment on the future plans the County has for records management.....

.....

Appendix 2: Interview Schedule for Chief Officers

1. Current job title.....

2. Briefly describe your role and duties at the County

.....
.....

3. Briefly describe the activities and programmes of the County

.....
.....

4. How long have you served in this position?

.....
.....

5. What information do you require to fulfill your mandates?

.....
.....

6. How is this information obtained and from where?

.....
.....

7. What type of records do you make reference to in the course of executing your functions?

.....
.....

(i) Are those records always available?

.....
.....

(ii) Do you face any challenges in obtaining those records?

.....
.....

8. What form of records does your department generate and maintain?

- (i) Paper records
- (ii) Electronic records
- (iii) Microforms records
- (iv) Audio Visual records

9. What specific contribution does records management have towards the implementation of programmes and activities in your department?

.....
.....

10. How would you assess the records management situation in the County?

.....
.....

11. How are records organised in your department?

.....
.....

12. Who is in charge of managing records in your department?

.....
.....

13. Has the County established positions for records management?

.....
.....

14. Identify the infrastructure available at the County to support records management in terms of:

- (i) Space and accommodation.....
- (ii) Personnel.....
.....
- (iii) Budgeting.....
.....
- (iv) Retention and disposal schedules.....
- (v) Filing systems.....
- (vi) Information technology support.....
- (vii) Policies and procedures.....

15. Briefly describe the support you provide to the records management department

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

16. Briefly comment on the future plans of records management in your department

.....
.....

Appendix 3: Interview Schedule for Action Officers

1. Current job title.....

2. Briefly describe your specific responsibilities in the County

3. What are the activities and programmes of Kakamega County?

4. What form of records does your department generate and maintain
 - (i) Paper records
 - (ii) Electronic records
 - (iii) Microforms records
 - (iv) Audio visual records

5. Do you have an experience in dealing with electronic records generated in the County?

6. Do you consider records as being important in the execution of your mandates?

 If yes elaborate.....

7. What types of records do you require on a regular basis in the execution of your duties?.....

8. How would you assess the state of records in your department?

.....
.....

9. How would you rate the speed at which you are able to access information and records when required in the department

- (i) Very slow
- (ii) Slow
- (iii) Fast
- (iv) Very fast

10. Identify the infrastructure available at the County to support records management

- (i) Staffing
- (ii) Budgeting
- (iii) IT Support
- (iv) Policies and procedures

11. Comment on whether the County has a policy and procedures for records management.....

.....

If yes, to what extent are they adhered to?

.....
.....

12. Comment on whether there are any gaps in the current records management policies.....

.....
.....

13. Does the policy have any impact on records management?

.....
.....

14. What are the key aspects of the records management policy?

.....
.....

15. Do you think that records management staff have the required knowledge and experience to manage County records?

.....
.....

16. Does your department maintain mini-registries

.....
.....

If yes, why is it necessary?

.....
.....

17. How does the County dispose its records when no longer needed?

- (i) Burning
- (ii) Shredding
- (iii) Selling them to recycling companies

18. Does the County have a policy for regulating the disposal of records?

.....
.....

If yes, is it in-house or national?

.....
.....

19. What is your view on computerization of records?

.....
.....

20. What is your appreciation towards records and records management?

.....
.....

21. Comment on the future plans of records and records management in your department.....

.....

Appendix 4: Interview Schedule for Records Managers and Registry Staff

1. What is your current job title?.....
2. Briefly state your duties and responsibilities in the County

3. What is your highest level of education?

(i) O-level	<input type="checkbox"/>
(ii) Certificate	<input type="checkbox"/>
(iii) Diploma	<input type="checkbox"/>
(iv) Undergraduate	<input type="checkbox"/>
(v) Postgraduate	<input type="checkbox"/>
4. What is your highest academic training in records management?

(i) Certificate	<input type="checkbox"/>
(ii) Diploma	<input type="checkbox"/>
(iii) Undergraduate	<input type="checkbox"/>
(iv) Postgraduate	<input type="checkbox"/>
(v) None	<input type="checkbox"/>
5. Do you have any other professional training related to records and archives management?.....

 If yes, which one(s)

6. What is your experience in the current field of work specialization?

- (i) Less than a year
- (ii) 2-6 years
- (iii) More than 10 years

7. Explain how records and records management support the activities and programmes of the County Government

.....
.....

8. Comment on the appreciation of records management by:

- (i) Top management.....
- (ii) Chief Officers.....
- (iii) Action officers.....
- (iv) Other staff.....

9. How do you deal with records management issues including:

- (i) Records creation and capture.....
- (ii) Filing.....
- (iii) Storage and maintenance.....
- (iv) Distribution and use.....
- (v) Survey.....
- (vi) Appraisal and retention schedules.....
- (vii) Records disposal.....
- (viii) Computerization and digitization.....

10. What are the day to day challenges that you face in the management of records
In the department?

.....
.....

At the County level?

.....
.....

11. Mention the various support that you receive from the County Government in
relation to records and records management in terms of:

- (i) Policies and procedures.....
- (ii) Infrastructure.....
- (iii) Human resource.....
- (iv) Budgeting.....
- (v) Information communication technology
.....
- (vi) Training in records management
.....
.....

12. Identify the infrastructure available in the County to support records
management in terms of:

- (i) Staffing.....
- (ii) Training.....
- (iii) Space and accommodation.....
- (iv) Filing systems.....
- (v) Policies and procedures.....,

(vi) Computerization.....

13. Describe the measures put in place to ensure security of records

.....
.....

14. Comment on whether the County has a policy on information and records management.....

15. What are the key aspects of the policy?

.....
.....

16. Briefly explain the policies and guidelines you follow in managing records

.....
.....

17. Identify the policies that you would want in place in order to facilitate proper management of records:

- (i) Creation and capture or records
- (ii) File classification
- (iii) Access and use of records
- (iv) Survey
- (v) Appraisal
- (vi) Retention and disposal schedules
- (vii) Security of records
- (viii) Digitization
- (ix) Preservation

18. Comment on the impact of records management policies on recordkeeping

.....
.....

19. Does the County has a disaster management plan?.....

If yes, which of the following components are covered in the plan

- (i) Floods
- (ii) Earth quakes
- (iii) Computer failure
- (iv) Mishandling of records
- (v) Theft
- (vi) Pest infestation
- (vii) Others, please specify

20. How does the County dispose of its records when no longer needed?

- (i) Burning
- (ii) Shredding
- (iii) Selling them to recycling companies

21. Does the County have a policy for regulating the disposal of records?

.....
.....

If yes, is it in-house or national?

.....
.....

22. What are the County's future plans for records management?

.....
.....

Appendix 5: Interview Schedule for Clerical Officers

1. What is your current job title.....
2. Briefly describe your duties and responsibility
.....
.....
3. Does your responsibility involve recordkeeping?
.....
.....
4. Do you have any training in records and archives management?
.....
.....
5. What is your appreciation on information and records management?
.....
.....
6. How has records management impacted on the programmes and activities of the County?.....
.....
7. Which challenges do you face in ensuring effective records management at Kakamega County?
 - (i) Inadequate funding
 - (ii) Lack of enough trained personnel
 - (iii) Lack of equipment and facilities in the registries
 - (iv) Lack of clear records management policy and procedures
 - (v) Lack of standards and best practices to manage paper and electronic records

(vi) Lack of automated records management program

(vii) Low priority given to records management programme

8. What are the measures put in place to ensure security of records?

.....
.....

9. Comment on the current situation of records management at the County

.....
.....

10. Identify the infrastructure available at the County to support records management

(i) Budgeting

(ii) Staffing

(iii) IT Support

(iv) Policies and procedures

11. Does the County have policies and procedures for managing its records?.....

.....

If yes, what are the key aspects of the policy?

.....

.....

12. Briefly describe the policies and guidelines you follow in managing records

.....

.....

13. Comment on whether there are any gaps in the current records management policy

.....
.....

If yes, what are some of the aspects that should be included in the policy?

- (i) File classification
- (ii) Access and use
- (iii) Survey
- (iv) Appraisal
- (v) Retention and disposal
- (vi) Security of records

14. Do the policies have any impact on records management?

.....
.....

If yes, explain the impacts

.....
.....

15. Does the records management policy have any impacts on how you manage your County records?

.....
.....

If yes, comment on the impacts

.....
.....

16. What future plans does the County have for records management?


.....

.....

Appendix 6: Research Permit From NACOSTI

CONDITIONS

- 1. You must report to the County Commissioner and the County Education Officer of the area before embarking on your research. Failure to do that may lead to the cancellation of your permit.**
- 2. Government Officer will not be interviewed without prior appointment.**
- 3. No questionnaire will be used unless it has been approved.**
- 4. Excavation, filming and collection of biological specimens are subject to further permission from the relevant Government Ministries.**
- 5. You are required to submit at least two(2) hard copies and one (1) soft copy of your final report.**
- 6. The Government of Kenya reserves the right to modify the conditions of this permit including its cancellation without notice.**

REPUBLIC OF KENYA

NACOSTI
 National Commission for Science, Technology and Innovation

RESEARCH CLEARANCE PERMIT

12921
Serial No. A

CONDITIONS: see back page

THIS IS TO CERTIFY THAT:


MISS. CYNTHIA CHAMWADA MUGALAVAI of MOI UNIVERSITY, 16334-20100


NAKURU, has been permitted to conduct research in Kakamega County


on the topic: 'DEVELOPING A POLICY FRAMEWORK FOR THE MANAGEMENT OF RECORDS AT THE KAKAMEGA COUNTY

for the period ending: 16th February, 2018

Permit No : NACOSTI/P/17/42214/15362
Date Of Issue : 17th February, 2017
Fee Received :Ksh 1000




Director General
National Commission for Science, Technology & Innovation


Applicant's Signature