

**THE ROLE OF RECORDS MANAGEMENT IN THE PROVISION OF QUALITY
SERVICES AT MOI UNIVERSITY, ELDORET, KENYA**

BY

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2015DECLARATION

DECLARATION BY THE CANDIDATE

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DEDICATION

This work is dedicated to my loving daughter, Shanice Zawadi and to the memory of my late father David Shikuku and my late grandfather Mark Mukhweso without whom none of this would have been possible.

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The accomplishment of this thesis would not have been brought to fruition without the contribution of the mentioned remarkable people. Without them this thesis would have been a distant reality. This thesis was also a product of a large measure of serendipity, fortuitous encounters with people who have changed the course of my academic career. The best and worst moments of my MPhil journey have been shared by the following people who deserve special mention.

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ABSTRACT

Records are valuable business assets. Effective and timely planning and decision making is highly dependent on the efficient provision of well organized records in a timely manner. Sound policies and just decision-making demand that information is collated, stored, managed, used and disclosed wisely and appropriately. Moi University has a problem in records management which is an essential component in quality service provision. The aim of the study was to investigate the role of records management in the provision of quality services at Moi University with a view to proposing a model that integrates sound records management and quality service provision. The specific objectives of the study were to: undertake a business process analysis of Moi University to establish the resultant records generated by these processes; assess the current state of records management at Moi University and how this has impacted on the quality of services provided by the University; establish the existence of a policy and regulatory framework for the management of records at the institution; determine the effects of ICTs on records management and service provision; determine the nexus between sound records management and quality service provision; and propose a model that integrates sound records management and quality service provision. The study was informed by the Integrated Records Management Model advanced by Roper and Millar and the Gap Model of Service Quality (Customer Experience Gap Model) by Parasuraman, Zeithaml and Berry. The study was qualitative in nature. Face to face interviews were used to collect data. Purposive sampling technique was used to obtain the thirty three (33) respondents drawn from the main campus. Among the key findings of the study were that: the core business processes of Moi University generated records; sound records management is central in the attainment of all university business processes; policies on records management were not documented; records are inextricably linked to increased quality service provision. The study concluded that the poor state of records management negatively impacted on the quality of services provided and was equally an impediment to efficient and effective attainment of the university's business processes. Based on the findings, the study recommended that Moi University should formulate and implement policies in records management; and increase funding for records related activities. Lastly but not least, the study proposes a model that integrates sound records management and quality service provision.

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LIST OF ABBREVIATIONS

ADMIN	-	Administrative
ARMA	-	Archives and Records Management Association
BPA	-	Business Process Analysis
CACO	-	Chief Academic Officer (now Registrar A A)
CADO	-	Chief Administrative Officer (now Registrar Admin)
CHE	-	Commission for Higher Education
DVC (A&F)	-	Deputy Vice Chancellor (Administration and Finance)
DVC (AR&E)	-	Deputy Vice Chancellor (Academic, Research and Extension)
DVC (P&D)	-	Deputy Vice Chancellor (Planning and Development)
DVC (SA)	-	Deputy Vice Chancellor (Student Affairs)
EFQM Management	-	European Foundation for Quality
HODs	-	Heads of Departments
ICTs	-	Information and Communication Technologies
IRMM	-	Integrated Records Management Model
IRMT	-	International Records Management Trust
ISO	-	International Organization for Standardization
PAOs	-	Principal Administrative Officers
PDCA	-	Plan-Do-Check-Act Cycle
QA	-	Quality Assurance
QS	-	Quality Services
RATER	-	Reliability; Assurance; Tangibles; Empathy; Responsiveness
REGISTRAR (AA)	-	Registrar (Academic Affairs)
REGISTRAR (ADMIN)	-	Registrar (Administration)

REGISTRA (PREM)	-	Registrar (Planning and Resource Mobilization)
RLC	-	Records Life Cycle
RM	-	Records Management
SAOs	-	Senior Administrative Officers
TQM	-	Total Quality Management
VC	-	Vice Chancellor

CHAPTER ONE

INTRODUCTION AND BACKGROUND INFORMATION

1.0 INTRODUCTION

This chapter discusses the background information to the study. It provides background information about Moi University and an overview of records management and quality service provision. Other areas covered include statement of the problem, aim and objectives of the study, research questions, assumptions, significance, scope and limitations of the study and ethical issues.

1.1 RECORDS AND RECORDS MANAGEMENT

1.1.1 Records

Kemoni and Ngulube (2008), Loadman (2001), and Yusuf and Chell (1999) are in agreement that there is no standard definition of a record, though a standard definition would benefit the records management profession. This notwithstanding, a number of scholars and institutions concerned with records and archives management have provided some working definitions of a record as indicated below.

Duranti and Eastwood (2001) define records as documents made or received by physical or judicial persons as a means of integrity. The inclusion of the record integrity in this definition is especially important in this era of electronic documents when the need for

authenticity of records is very pressing. Records can be found in paper and electronic formats.

Yusuf and Chell (2005) say that records are those documents, in whatever medium, received or created by an organization in the course of its business, and retained by that organization as evidence of its activities or because of the information contained apart from fulfilling the requirements to comply with relevant laws and regulations.

The National Archives and Records Service of South Africa (2006), refers to records as recorded information, regardless of form, whether electronic or paper-based or medium, like cassette, disc and document. It can also be defined as a transaction preserved to be used as evidence in future due to the nature of information it contains.

According to Barata (2001), an electronic record is a record that can be manipulated, transmitted or processed by a computer. It is written on magnetic or optical medium (including magnetic tapes, cassettes, CD-ROMs, hard disks and diskettes), recorded digitally, accessed using computer software and hardware, easily manipulated (that is updated, deleted and so on).

The study has adopted the definition of records advanced by the International Organization of Standardization. ISO 15489-1:2001 Standard defines records as "information created, received, and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business". The reason for adopting this definition is because this is an internationally acceptable definition of records management and it is also applicable globally.

Shepherd and Yeo (2003) reiterate that there are three main or major domains of record use. They include business domain accountability domain and cultural domain. In the business domain records are used to facilitate planning, decision making, action to be taken and access to precedent. Accountability has to do with proving that organizations have met their obligations, they have complied with best practice, and organizations are meeting legal, regulatory and financial requirements and assessing and proving performance. In the cultural domain there are issues like research promotion, awareness promotion, understanding organizational history, historical reasons and documenting societal values.

1.1.1.2 Records Management

Yusuf and Chell (1999) are in agreement that there is no universally accepted definition of the term records management and this therefore attests to the fact that the discipline of records management is dynamic as the definitions below indicate.

United States National Archives and Records Administration (NARA, 2007) defines records management from the perspective of planning, controlling, directing, organizing, training, promoting and other managerial activities involved in records creation, maintenance and use, and disposition in order to achieve adequate and proper documentation of the policies and transactions of the organization and effective and economical management of operations.

According to the National Archives of Scotland (2009), records management is the systematic control of an organization's records, throughout their life cycle, in order to

meet operational business needs, statutory and fiscal requirements, and community expectations. 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.

There are myriad definitions advanced on records management. However, the definition adapted by this study is that provided by ISO 15489-1:2001 which defines records management as "The field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including the processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records". ISO 15489-1:2001 states that records management includes: setting policies and standards; assigning responsibilities and authorities; establishing and promulgating procedures and guidelines; providing a range of services relating to the management and use of records; designing, implementing and administering specialized systems for managing records; and integrating records management into business systems and processes.

Odlyzko (2000) and Rebore (2005) see records management as the management science of controlling the quantity, quality and costs of records and it encompasses the procedural system operations, space, equipment and staff required to administer the records. In the same vein, Kemoni and Wamukoya (2000) Venne (2001), Efunbayo (2003), Chris (2006), Ijaduola and Sotunde (2006) have posited that proper records management goes a long way in enhancing effective administration of a university. Nonetheless, despite the indispensable value of records and the gargantuan amount of money spent on their

creation and maintenance, proper management of records that will lead to economy and efficiency in their creation use and maintenance as well as disposition is seldom considered the top priority of the university system (Popoola, 2003).

Tangible benefits are those that can be quantified and are generally articulated in terms of measurable improvements or cost savings. The tangible benefits synonymous with records management are well understood and often repeated. These commonly include :- increased efficiency in retrieval of records; increased efficiency in receipt and fulfillment of customer orders; reduced storage costs associated with keeping only required records; reduced storage costs moving from paper-based to electronic storage; reduced storage costs associated with offsite storage; reduced consumable costs associated with less paper-based records; increased productivity associated with automation of information related tasks and use of document templates; and reduced staff costs due to efficient performance of information related tasks, (Joint Information Systems Committee, 2009).

Intangible benefits are non-quantifiable improvements to an organization. Examples of intangible benefits might include improved standards of corporate governance or ensuring legal compliance. Intangible benefits include : - demonstrating the authenticity of records to increase the evidential weight for legal admissibility; improved decision-making and policy formulation supported by reliable information; increased accountability by providing reliable records of actions and decisions; improved innovation and creativity through enhanced corporate knowledge management; efficient collaborative working; effective compliance with the 8 data protection principles;

effective compliance with freedom of information and other information-related legislation, (Joint Information Systems Committee, 2009).

1.2 EVOLUTION OF QUALITY AND QUALITY SERVICES

An absolute definition of quality does not exist. According to ISO 9001:2008 (section 4.2 sub-section 4.2.3 quality of documents and 4.2.4 quality of records), quality, like truth is in the mind of the believer. To define it is to misunderstand the infinite possibilities we are capable of achieving. There is no universal definition. Quality is an ever evolving perception by the customer of the value provided by a service. It is not a static perception that never changes but a fluid process that changes as a service matures (innovation) and other alternatives (competition) are made available as a basis of comparison.

For the sake of common understanding, the study has adopted the following description of quality advanced by the Inter-University Council of East Africa (2008). It defines quality as a means of achieving our goals and aims in an efficient and effective way, assuming that the goals and aims reflect the requirements of all our stakeholders in an adequate way.

The concept of quality has existed for many years, though its meaning has changed and evolved over time. In the early twentieth century, quality management meant inspecting products to ensure that they met specifications.

In the 1940s, during World War II, quality became more statistical in nature. Statistical sampling techniques were used to evaluate quality, and quality control charts were used to monitor the production process. In the 1960s, with the help of so-called “quality

gurus,” the concept took on a broader meaning. Quality began to be viewed as something that encompassed the entire organization, not only the production process. Since all functions were responsible for product quality and all shared the costs of poor quality, quality was seen as a concept that affected the entire organization.

The meaning of quality for businesses changed dramatically in the late 1970s. Before then quality was still viewed as something that needed to be inspected and corrected. To survive, companies had to make major changes in their quality programs. Many hired consultants and instituted quality training programs for their employees. A new concept of quality was emerging. One result is that quality began to have a strategic meaning. Today, successful companies understand that quality provides a competitive advantage. They put the customer first and define quality as meeting or exceeding customer expectations.

Since the 1970s, competition based on quality has grown in importance and has generated tremendous interest, concern, and enthusiasm. Companies in every line of business are focusing on improving quality in order to be more competitive. In many industries quality excellence has become a standard for doing business. Companies that do not meet this standard simply will not survive.

The term used for today’s new concept of quality is total quality management or TQM. A timeline of the old and new concepts of quality has been presented. The old concept is *reactive*, designed to correct quality problems after they occur. The new concept is *proactive*, designed to build quality into the product and process design.

The quality concept will not be complete without mention and recognition of the following individuals who have shaped our understanding of quality. To fully understand the TQM movement, we need to look at the philosophies of notable individuals who have shaped the evolution of TQM. Their philosophies and teachings have contributed to our knowledge and understanding of quality today.

Walter A. Shewhart developed the concept of quality control charts that are used to identify whether the variability in the process is random or due to an assignable cause, such as poor workers or miscalibrated machinery. He stressed that eliminating variability improves quality. His work created the foundation for today's statistical process control, and he is often referred to as the "grandfather of quality control."

Edward Deming is often referred to as the "father of quality control." After World War II he assisted many Japanese companies in improving quality. He stressed management's responsibility and role for quality. He further developed "14 Points" to guide companies in quality improvement. Historically, poor quality was blamed on workers—on their lack of productivity, laziness, or carelessness. However, Deming pointed out that only 15 percent of quality problems are actually due to worker error. The remaining 85 percent are caused by processes and systems, including poor management. Deming stressed that quality improvements cannot happen without organizational change that comes from upper management. Deming said that it is up to management to correct system problems and create an environment that promotes quality and enables workers to achieve their full potential. He believed that managers should drive out any fear employees have of identifying quality problems, and that numerical quotas should be eliminated.

After Deming, Juran is considered to have had the greatest impact on quality management. Though his philosophy is similar to Deming's, there are some differences. Whereas Deming stressed the need for an organizational "transformation," Juran believes that implementing quality initiatives should not require such a dramatic change and that quality management should be embedded in the organization.

One of his significant contributions is his focus on the definition of quality and the cost of quality. He is credited with defining quality as fitness for use rather than simply conformance to specifications, which takes into account customer intentions for use of the service, instead of only focusing on technical specifications. He is also credited with developing the concept of cost of quality, which allows us to measure quality in dollar terms rather than on the basis of subjective evaluations.

Juran is well known for originating the idea of the quality trilogy: quality planning, quality control, and quality improvement. The first part of the trilogy, *quality planning*, is necessary so that companies identify their customers, product requirements, and overriding business goals. Processes should be set up to ensure that the quality standards can be met. The second part of the trilogy, *quality control*, stresses the regular use of statistical control methods to ensure that quality standards are met and to identify variations from the standards. The third part of the quality trilogy is *quality improvement*.

According to Juran, quality improvements should be continuous as well as breakthrough. Together with Deming, Juran stressed that to implement continuous improvement

workers need to have training in proper methods on a regular basis. Armand V. Feigenbaum introduced concept of total quality control.

1.3 RECORDS MANAGEMENT AND QUALITY SERVICES IN UNIVERSITIES

Kemoni (2000) asserts that for a University to run its affairs in an open, democratic, transparent and accountable manner, it needs to put in place an efficient records management system especially since the rights, privileges and obligations of a university community are dependent upon good record keeping. Moreover, the Universities stakeholders suffer when inadequate information systems affect the delivery of programs. All aspects of University services including health, education, student's accommodation, pensions, salaries and allowances and legal rights, depend upon well-kept and well-managed records, (Shikuku, 2010).

Records are vital to virtually every aspect of the university's governance process. The effectiveness and efficiency of the University services depends upon the availability of and access to information held in records. Swan, Cunningham and Robertson (2002) concur that proper record keeping is critical for the survival and efficient operation of day-to-day business activities. Badly managed records adversely affect the broad scope of quality services and research and development projects are often difficult to implement and sustain effectively in the absence of well managed records, Elwhiwhu (2005).

Elwhiwhu (2005) notes that university records support the administrative and educational research functions of the institution and the objectives of the university to support

teaching, research and services in the university setting. He further observes that university records are its life's memory. With regard to accountability, Wamukoya (2007) opines that records help expose corruption, fraud, embezzlement and all manner of waste and mismanagement. They are the basis upon which corporate entities are able to defend their decisions and actions. With respect to research, Wamukoya (2007) further reiterates that records embody and relive society's collective memory and experiences including historical, cultural, sociological, demographic, scientific and technological. As business value, Lundgren and Lundgren (1989) underscore the fact that records are identification and evidence of business transactions. They go on to say that records identify people, services and goods in recording economic transactions.

Kemoni, Ngulube and Stilwell (2007), are all in agreement that records are required for developing and implementing policies, planning, keeping track of actions, achieving consistency in decision making, providing effective services to citizens and achieving greater efficiency.

Despite the important role that records play, there is overwhelming evidence that the management of university records has largely been neglected (Choongo 1998; Kemoni and Wamukoya 2000; Mnjama 2002; Oyiti 1998; Procter 2002; Taylor 2000; Uwaifo 2004; Wema 2003). To ensure that records management receives the attention it deserves, it should be a strategic objective in the University's strategic and business plans. The University senior management should also ensure that they budget for the records management function and that the necessary financial, human and technological resources are allocated to support the records management function.

1.4 BACKGROUND INFORMATION ON MOI UNIVERSITY

Moi University was the first University to be initiated developed solely by Kenyans and is the second oldest university in Kenya, established in 1984 through an Act of Parliament that recommended its establishment in a rural set up. It is named after the former President Hon. Daniel Toroitich arap Moi. The idea of establishing Moi University started in January 1981, with the appointment of a Presidential Working Party headed by Prof. Mackay. This body, after considering the demand for higher education vis-avis the existing institutions of higher learning, recommended the establishment of a second university in the country.

On May 30, 1984, Moi University Act, already approved by Parliament, received presidential assent. The inauguration of the University took place on 6th December, 1984, in a colorful ceremony presided over by H. E. President. In September 1984, the Department of Forestry at the University of Nairobi, with 85 students and about 12 teaching staff was transferred to Moi University. The department was expanded to become a fully-fledged Faculty of Forestry Resources and Wildlife Management.

The University's first temporary accommodation was at Kaptagat Hotel. Where the students stayed in tents pitched on the hotel lawns. Thereafter, the university administration moved to the National Bank building in Eldoret town and from here to the Main campus sites. Since then, tremendous development has taken place in terms of physical facilities, students, staff and academic programmes. As a result of the "double intake" of students in the 1990/91 academic year a new campus and a constituent college

were established to cope with the sudden increase in student population. Siriba Teachers Training College and the Government Training Institute, Maseno were converted to Maseno University College while the former Moi Teachers college was turned into Chepkoilel Campus; the Rift Valley Technical Institute provided some residential facilities for temporary use by the School of Health Sciences up to November 1993.

Over the past thirty years, the university has witnessed phenomenal growth and development in the number of students, staff, academic programmes and expansion in physical facilities.

The university has grown tremendously from its initial one faculty in 1984, to a total of thirteen (13) Schools and four (4) Directorates and two (2) Institutes in 2012.

Moi University currently has thirteen Schools which include:

1. School of Business and Economics
2. School of Education
3. School of Information Sciences
4. School of Engineering
5. School of Medicine
6. School of Nursing Sciences
7. School of Dentistry
8. School of Public Health
9. School of Law
10. School of Biological Sciences
11. School of Arts and Social Sciences

12. School of Aerospace Science

13. School of Human Resource Development, (Moi University Student Guide Book, 6th ed.2012),

1.4.1 Location

The University is located thirty-five kilometers southeast of the town of Eldoret and 300 kilometers northwest of Nairobi. Eldoret, which is a rapidly growing industrial town and a gateway to Central Africa is the fifth-largest town in Kenya with an estimated population of 800,000 people (Central Bureau of Statistics 1999). According to the Uasin Gishu District Development Plan, (1996), the rural setting and scenery of Moi University provides an excellent quiet atmosphere for intellectual activity and recreation in the growing Western Kenya tourist circuit. This atmosphere enhances interaction between researchers and the rural community and promotes cost-effective implementation of outreach programmes for sustainable development, such as health education and intervention, Legal Aid Clinics and Fish farming.

The University currently operates four geographically spread campuses and one constituent college. The Campuses are: Main Campus at Kesses, situated 35 km south of Eldoret Town; Town Campus which hosts the College of Health Sciences (Medical complex) in Eldoret town near Moi Teaching and Referral Hospital, School of Law (Annex) which is situated about 5 km to the South-East on the Eldoret – Nakuru Highway, School of Aerospace Sciences (Rivatex); Eldoret West Campus which is home to the PSSP programmes and Odera Akang’o Campus respectively.

1.4.2 Vision, Mission, and Core Values and Quality Policy Statement of Moi University

1.4 2.1 Vision

To be the University of choice in nurturing innovation and talent in science, technology and development, (Moi University Strategic Plan, 2005-2015).

1.4 2.2 Mission

To preserve, create, and disseminate knowledge, conserve and develop scientific, technological and cultural heritage through quality teaching and research; to create conducive work and learning environment; and to work with stakeholders for the betterment of society, (Moi University Strategic Plan, 2005-2015).

1.4.2.3 Core Values

The Moi University Strategic Plan, 2005-2015 outlines the following core values of Moi University

- Promotion and defense of intellectual and academic freedom, scholarship and relentless search for truth.
- Fostering teamwork, innovation, networking, tolerance, and a culture of peace.
- Embracing excellence, transparency & accountability.
- Practicing professionalism, meritocracy, equality, integrity and social justice.
- Maintaining self-respect, discipline, responsibility, institutional loyalty, national patriotism & international competitiveness.

- Continual improvement of services in order to remain competitive and relevant.

1.4.2.4 Quality Policy Statement

Moi University is committed to providing quality education and services that meet the needs of its customers and stakeholders through quality and relevant teaching, research and community service and outreach. The University is committed to a quality work and learning environment that is grounded in intellectual and academic freedom, teamwork, quest for excellence, professionalism, discipline and continuous improvement of its products (programmes/activities) and services so as to achieve client/customer satisfaction. To be able to realize this commitment, the University will continually review its products (programmes/activities) and services to conform to the Quality Management Systems based on the ISO 9001 - 2008 Standards, (Moi University Quality Manual Document, 2009).

1.4 2.5 Students and Staff

The Moi University Strategic Plan, 2005-2015 indicates that the total student enrolment now stands at 31,723 distributes as follows: - Diploma 1029; Undergraduates – Government sponsored (GSSP) 14,545; Undergraduates - Privately Sponsored (PSSP) 14,306; 1843 are Postgraduate Students – MPhil 1,577 and DPhil 266 in various disciplines. The students are registered in 297 programmes consisting of 90 for undergraduate, 134 Master of Philosophy, 61 Doctor of Philosophy and 12 Postgraduate Diploma programmes. The number of students is envisaged to increase to 42,000 by 2014/15, taking into account the current annual student growth rate of approximately

16% per year cumulatively in all categories of Government sponsored, Privately Sponsored and student population growth at the satellite campuses. The figure could still go higher with the inception of the Open and Distance learning programmes. There are a total of over 5,672 staff all levels of whom 934 are academic staff, while the rest are administrative and support staff.

1.4.2.6 Infrastructure

The University has modern teaching facilities that support academic programmes: Margaret Thatcher Library, the Moi Teaching and Referral Hospital, Seed Testing Laboratory and Water Resource Engineering Laboratory and, Fish Farm, a textile factory, and School of Aerospace that is training pilots (Moi University Report, 2008).

1.4.2.7 Structure and Governance

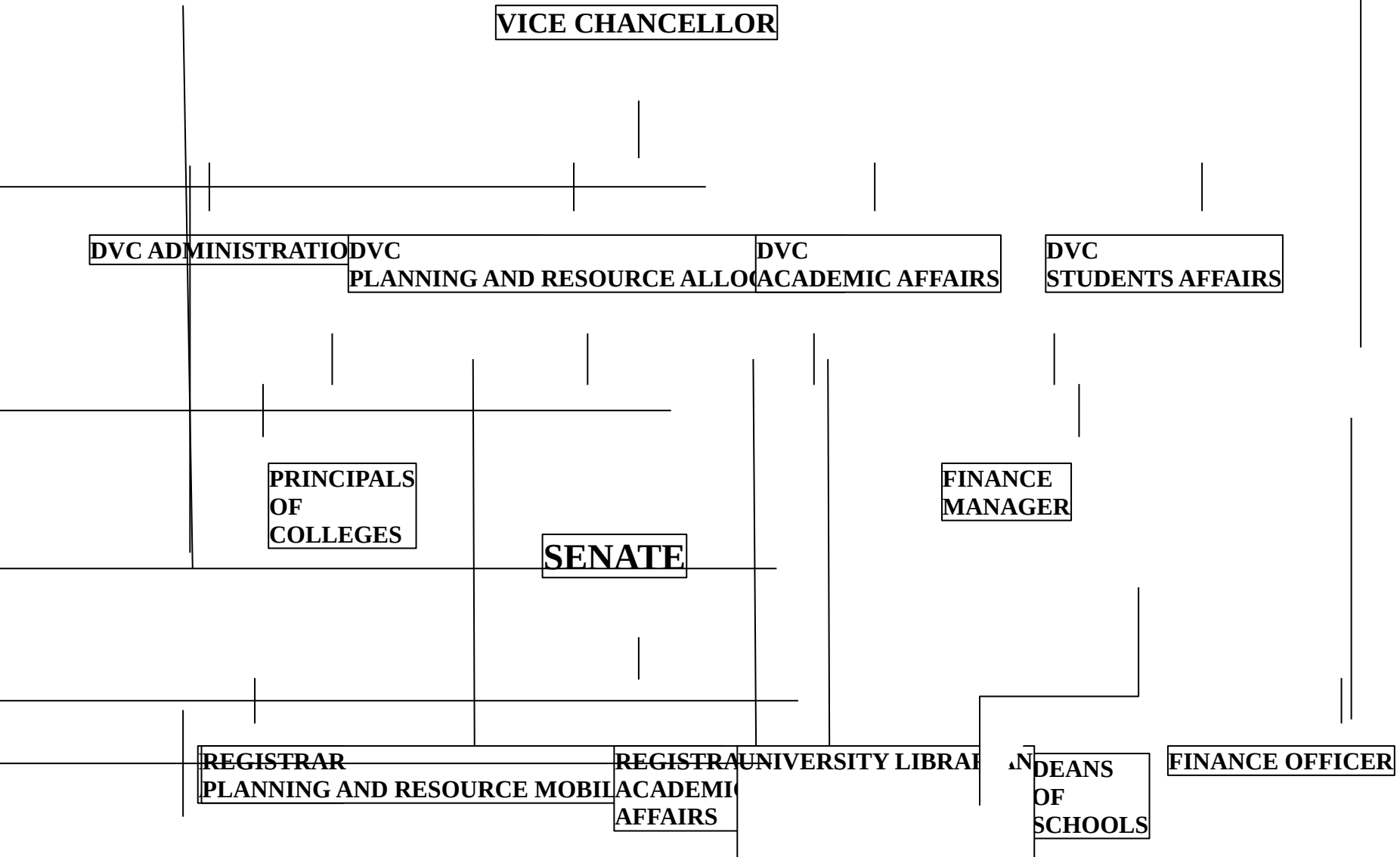
Moi University is a body corporate established by an Act of Parliament, in Moi University Act, 1984. For its effective management it has various bodies

- Chancellor
- The Council
- The University Management Board
- The Senate
- Academic Boards of the campus/constituent colleges or schools
- Departmental Boards (Moi University Report, 2008).

The organizational structure of the university is given below.

Figure 1.4: Proposed Organizational Structure of Moi University

Source: Moi University Strategic Plan 2005-2015



Following the enactment of the new university act the following offices have been restructured but the research was ongoing therefore the data is based on the old structure since data collection had already been concluded when the new structure took effect.

The university now has four Deputy Vice Chancellors i.e.

- Deputy Vice Chancellor (Finance)
- Deputy Vice Chancellor (Academic, Research and Extension)
- Deputy Vice Chancellor (Student Affairs)
- Deputy Vice Chancellor (Administration, Planning and Development)

Additionally, the university has since restructured the posts of Chief Academic Officer and Chief Administrative Officer to include:

- Registrar (Academic)
- Registrar (Administration)
- Registrar (Planning and Resource Mobilization)

1.4.2.9 Current Records Management set up at Moi University

According to Kagotho (2010) and Erima, (2013), Moi University has several registry systems performing various tasks and distributed across its four campuses and satellite campuses. There is the Central records system (registry), the Mail records system (registry), the Personnel records system (registry), the Recruitment and Training records system (registry), Examinations, Students Admissions and the Medical records system (registry). The Central Registry Services which is a section within the Central Services

Department (Administration Division) is headed by a Principal Administrative Officer (PAO). Students Registry, Recruitment and Training Registry are also headed by respective PAOs under the office of Chief Administrative Officer (CADO).

These records system discharge various duties and functions that they are entrusted with. They include receiving and distributing of incoming and outgoing mail, receiving, organizing, storing, securing and facilitating access to the records that they are entrusted with by the creators of these records, tracking the movement of records as they move through the different offices of the action officers so that they do not lose sight of them and facilitate communication between the various departments within and without the University among other duties.

According to Musembi (2002), registry functions include the following: - Receiving, opening, recording and distribution of incoming and outgoing mail; opening and indexing of files; classification and placing of correspondence neatly in appropriate files; passing files promptly to action officers; provision of records storage and reference services; controlling and tracing the movement of files within an agency; maintenance of security and confidentiality of all records in the registry; preparation, maintenance and updating of an approved and well-planned filing classification scheme and; receiving and disposing of all non-current records.

1.5 STATEMENT OF THE PROBLEM

Sound records management underpins the very essence of quality service provision while lack of proper records management is an impediment to quality service provision. Quality services provision is a prerequisite of ISO 9001 standard and hence Moi University being

ISO certified has to live up to these standards and show its commitment to ensuring that a quality management record keeping system is in place to ensure the achievement of quality service provision is achieved, enhanced and maintained. Documentation of every record keeping process and procedure is the emphasis of the ISO standard as it underscores the very essence of quality service provision.

Preliminary analysis of the current record keeping system indicated that it fell short of a sound record keeping capacity and this is negatively impacting on quality service provision. The expansion of the University has resulted in the exponential growth of records, which was not anticipated and this has put unnecessary strain on the records system's resources. Lack of suitable and inadequate equipment have resulted in records being kept in any available space, which exposes them to too much light, dust and harsh environmental conditions hence accelerating their deterioration over time.

Frequent transfers of qualified staff from the records units is affecting the provision of quality services. File classification and indexing systems originally designed to meet the small record keeping system requirements of the past years cannot meet the needs of complex modern electronic records environment.

Paradoxically, despite the low usage of some of the records, there is an extreme reluctance to destroy records, even after they have ceased to have any business value to the institution. In the absence of rules and guidelines for what should be kept and for how long, staff are reluctant to authorize destruction. Over time, the records system has become severely congested with ephemeral records. Ultimately, the records system is faced with total collapse under its own weight.

In a nutshell, absence of appropriate regulatory and policy framework for destruction of records, outdated procedures, inadequate and inappropriate physical facilities and low status and attention paid to the records management task has resulted in records being neglected and this has only served to undermine quality service provision. Kemoni and Ngulube (2008) observe that inadequate records keeping practices and difficulty to trace the movement of records and missing files and documents delays service to the public. Wamukoya and Mutula (2007) concur with the above sentiments and they sum all the above deficiencies as lack of knowledge about the electronic records programs fundamental elements, which are skilled staff and necessary competencies in the electronic information system; electronic records management legal and administrative requirement; and accurately documented policies, standard operating procedures and formal methodologies for managing e-records.

Administrators find it difficult to retrieve the information they need on a timely basis to formulate, implement, and monitor policy and to manage key personnel and financial resources. This situation impedes the capacity to carry out the University's core business activities, goals and objectives aimed at achieving efficiency, accountability, and provision of quality services to the University's stakeholders. Piggot (2002) asserts that "without access to good records, officials are forced to take decisions on an ad hoc basis without the benefit of institutional memory. Fraud cannot be proven, meaningful audits cannot be carried out and government actions are not open to review".

There is little incentive to maintain an effective record keeping system or to allocate adequate resources for records storage and staff. Poor remuneration of the staff has

resulted into demotivated staff and this is negatively impacting on the quality of service provision. We all know that services are as good as the people who provide them hence motivated staff will provide impeccable service and vice versa (Shikuku, 2010).

Wamukoya (2000) reiterates that effective records management systems provide information required for the proper functioning of organizations, including universities. On the other hand, poor records management can be risky to organizations. Djorka and Conneen (1984) summarize the consequences of poor records management as follows: “an institution where paperwork is poorly managed, the flow of records through the life cycle is retarded, chaotic, or non-existent. Records and the information they contain are difficult to retrieve, and costly duplication of paperwork is a frequent occurrence. The net effect of poor management is a decrease in the efficiency of the institution and an inflation of its operating costs”.

Various studies have been previously undertaken by students at Moi University, School of Information Sciences, and they revealed many deficiencies and ineffective records management practices within the institution. Such studies include those by Erima, (2013), Nasieku, (2010) and Kagotho, (2010). However none of these studies have adequately addressed the link between records management and quality service provision and this was the motivation behind the current study.

This study sought to investigate the role of records management in the provision of quality services at Moi University with a view to proposing a model that integrates records management and quality services as a way of promoting sound records management and quality service provision.

1.6 AIM AND OBJECTIVES OF THE STUDY

1.6.1 Aim of the Study

The study set out to investigate the role played by records management in the provision of quality services at Moi University with a view to proposing a model that integrates sound records management and quality service provision.

1.6.2 Objectives of the Study

In conducting the study the research was informed by the following specific objectives : -

1. Undertake a business process analysis (BPA) of Moi University to establish the kind of records generated by these processes;
2. Assess how the current state of records management at Moi University has impacted on the quality of services provided by the University;
3. Establish the existence of a policy and regulatory framework for the management of records at the institution;
4. Determine the effects of ICTs on records management and service provision;
5. Determine the nexus between sound records management and quality service provision;
6. Propose a model that integrates records management and service delivery as a way of promoting sound records management and quality service provision.

1.7 RESEARCH QUESTIONS

To address the stated objectives, the study sought to answer the following research questions: -

1. What are the main business activities of Moi University and what kind of records emanate from these businesses?
2. How is the current state of records management at Moi University impacting on service provision?
3. What policy and regulatory framework is in place to ensure effective management of records and to enhance service provision?
4. How will the harnessing of ICTS affect the management of records and service provision?
5. What is the nexus between sound records management and quality service provision?
6. What recommendations can be made to ensure effective management of records to enhance quality services provision?

1.8 ASSUMPTION

This study sought to prove or disapprove the following assumption:

One strategy to ensure provision of quality services at Moi University is to invest in sound records management

1.9 SIGNIFICANCE OF THE STUDY

The study has come up with a model which apart from integrating records management and service provision will form part of the strategy to address many of the weaknesses revealed in the study findings which include lack of documented policies and a legal framework to offer guidance in the management of records, inadequate records management and ICT skills and capacity and lack of top management support in terms of resources, (the right people, resources and processes to ensure the effective management of records to enhance quality service provision). This study will inform policy formulation and lead to the development of sound records management as an integral part of quality service provision. Apart from the proposed model the study has suggested various recommendations as a basis for corrective action.

1.10 SCOPE AND LIMITATIONS OF THE STUDY

1.10.1 Scope of the Study

Although Moi University has several campuses and satellite campuses the study was confined to the Main Campus targeting academic and administrative departments. The university has several schools and faculties but the study limited itself to the administrative arm of the university. The targeted sample respondents were the University Management (Vice Chancellor, Deputy Vice Chancellors, Chief Academic and Administrative Officers (now Registrar Academic and Administration), Action Officers (Administrators in charge of administration and the academic division), Administrative officers in charge of the records systems, supervisors and clerical officers of the records systems. Similarly the targeted secretaries were those attached to administrative units

within the academic division. The study excluded staff who did not fall within the listed categories.

The survey of all campuses was deemed unnecessary because the overall picture of how records are managed and the problems encountered at the main campus gave an indication of records management practices and procedures on all campuses of the University. Admittedly, different units are likely to be motivated differently on how to manage their records, but guiding principles are likely to be similar university-wide.

1.10.2 Limitation of the Study

The researcher experienced some problems during data collection. The top management officers of the university were unavailable for the scheduled interviews owing to their busy schedules. However, this gap was filled by administrative staff who in essence act as their personal assistants. These administrators were very cooperative even though the interviews were interrupted from time to time by the secretaries in these offices as they sought to make consultations.

A further limitation was that some officers were not very open and they tended to give piecemeal information even after reassuring them of the confidentiality of the information, the purpose for which the information was sought and their anonymity. The concept “quality services” was also something that was alien to some of the respondents because at the time of the study the University was still undergoing the ISO certification process. The researcher had to explain the term over and over again so that the information that the respondents provided was well informed, relevant and accurate. If

the study was conducted now after the certification then things would have been much easier.

A further limitation was the fact that that the structure of the university changed during the course of the research. Data had already been collected and analyzed when the offices of the Deputy Vice Chancellors and that of the Chief Academic and Administrative officers were restructured. Therefore fitting in the new titles to the almost concluded thesis was an uphill task. Not to mention the fact that the offices had increased in number, that is the previous office bearers of the DVC's offices and the Chief Academic and Administrative offices were two in number. The former has increased to four while the latter has increased to three. Factoring the new offices in the research meant that one had to go back to the field to collect data.

1.11 CHAPTER SUMMARY

This chapter has provided a preamble, background information and introduction to the study and has therefore set the pace for the study and served as a basis for subsequent chapters. The themes discussed in the chapter are the definitions of the key terms in the study, background information of Moi University and on services at the institution, statement of the problem, the aim and objectives of the study, research questions, assumptions of the study, scope and limitations of the study, and the significance of the study.

CHAPTER TWO

LITERATURE REVIEW

2.0 INTRODUCTION

This chapter discusses the theoretical framework and literature review related to the study. Taylor, (2008) opines that the role of literature review is to lay the foundation for the study by looking at what other authors and renowned scholars have previously done in relation to the topic of study. It acknowledges the work of other authors referred to and it serves to point out the gaps and omissions in the study, which the researcher focused on. A good literature review according to Elwood (2006) should therefore be focused, structured, critical, accurately referenced, clearly expressed, reader friendly, informative and balanced.

The benefits of conducting a literature review in any study were highlighted by various scholars (Peters, 1994; Saunders, Lewis and Thornhill, 1997; Birley and Moreland, 1998; Stilwell, 2000, 2004; Kaniki, 2002; Kothari, 2004; Pearce, 2005). Birley and Moreland (1998) pointed out that a literature review assisted in the achievement of a critical analysis of the existing literature in the proposed research area, in clarifying and framing research questions as it discovered what has been done and not done, prior to the proposed research, and in the provision of a comparative account of the suitability, advantages and disadvantages of particular research methodologies chosen in the past, which are relevant to the study. Other purposes include the literature review being useful in discovering research findings and how they relate to the existing appropriate literature.

A good literature review needs to indicate the different views, agreements, disagreements, and trends of thought on the topic of research and be accurately portrayed and acknowledged in the text (Stilwell 2000). It needs to produce a conceptual framework, including philosophical stances and theoretical assumptions and key assumptions and theoretical problems or contradictions; that is, the problems or issues set on the theory and structured around a clear focus on the research objectives. The essential requirements of a successful literature review are its evaluation, as well as its citation of the field, and its attempt to relate the work(s) reviewed to the thesis itself, either directly or indirectly (Pearce, 2005).

2.1 THEORETICAL FRAMEWORK

The Academy of Sciences (2005), posits that theories are analytical tools for understanding, explaining, and making predictions about a given subject matter. There are theories in varied fields of study, including the arts and sciences.

The following authors, Eagleton (2008); Johnathan (2005); Kothari (2004); and Stoner concur with the above opinion and they reiterate that a theory is a set of hypothesis, assumptions or propositions, logically or mathematically linked, offered as an explanation in general terms for a variety of connected natural and observable phenomena. In scientific research, Kemoni (2008) observes that theories serve four purposes namely, description, explanation, prediction and control.

Theories are basically the basis upon which models are formed. A model can be said to be a hypothetical description of a complex process or entity. It is the act of representing something. Kemoni (2007) states that models can be used to explain theories. Koutsoyiannis (1979) states that there are two main purposes of a model, namely: analysis and prediction. Models are therefore important in research studies since they give purpose and direction to a study.

2.2 RECORDS MANAGEMENT THEORIES

There are various records management theories that have been advanced to support records management and they include among others the following:-

2.2.1 The Records Life Cycle Concept

This is a pioneer Model which deserves special mention owing to the fact that the other RM Models are derived and modeled from it, (Shepherd and Yeo, 2003; Tough, 2004, Tough and Moss, 2006; Kemoni, 2008). The RLC concept has its origins in the United States of America in the 1930s. The proponents of this model were the National Archives of USA and it owes its existence to the overwhelming volume of records produced by organizations that were threatening to get out of hand. Yusuf and Chell (2005) reiterate that the records life-cycle concept was regarded as a theory which provided the framework for the operation of a records management programme. The theory was further developed by Theodore Schellenberg and has been the guiding theory for records management globally.

An (2003) and An (2001) opine that the lifecycle model uses a birth to death analogy to describe records as passing through a series of stages, it provides a fragmented

framework for recordkeeping in artificially dividing the mission of records and archives management; in dismantling the responsibilities of records managers and archivists into divided roles; in limited ways of thinking in terms of custody by narrowed selection criteria; in viewing records as tangible physical objects in a paper world and static environment. The above sentiments are echoed by Upward (2001) who observed that this identification of phases in the RLC model created a distinction between the roles played by Records Managers and Archivists. He further stated that “the Archivist intervenes in the cycle sometime towards the end of the lifecycle when the record becomes inactive and archival.”

2.2.1.1 Unsuitability of the Model to the Study

The lifecycle concept has been useful in promoting a sense of order, a systematic approach, to the overall management of recorded information. However, juxtaposition of the records continuum and the lifecycle model shows that the advantages of the records continuum model outweigh the advantages of the lifecycle concept. This model was not suitable for the study because the university is now generating both electronic and paper records. The lifecycle model has serious problems when it deals with electronic records. It simply regards electronic records as new media or physical records like film, recordings and microfiche but needing special handling requirements. This fact is echoed by Yusuf and Chell (2005) who concur that the RLC model is inadequate in the sense that it cannot be applied to managing electronic records. Secondly, the life cycle’s view of a record as a physical entity having a series of distinct and separate phases of usage runs into difficulties with electronic records. The life cycle concept also demarcates the role of

records managers and archivists and regards the stage when the archivists intervene in the cycle as occurring towards the end of the life cycle when the record becomes inactive, (Kent, 2002).

2.2.2 Integrated Records Management Model (IRMM)

This model was advanced by Roper and Millar (1999). The Integrated Records Management Model (IRMM) according to Millar recognizes that records follow a life-cycle and acknowledges the importance of caring for those records through a continuum of concept.

As defined in the Australian Standard 4390 (1996), a records continuum is '...a consistent and coherent regime of management processes from the time of the creation of records [and before creation, in the design of recordkeeping systems] through to the preservation and use of records as archives.' The above definitions suggest an ideal integration for documents, records and archives management.

According to Millar and Roper (1999) an IRMM is there to ensure the creation and maintenance of authoritative and reliable records in an accessible, intelligible and usable form for as long as they are required to support the business and accountability requirements of an organization. For a record to be authoritative and reliable it must be 'fixed and must not be susceptible to change.' This kind of record protection can be fully achieved where an integrated records management programme is in place.

The IRMM ensures efficiency and economy in the management of records through eliminating duplication of effort, creating and maintaining only those records that are needed, systematizing retention and disposal, and so on. With integrated records management, policies are in place which detail retention periods of records found in records offices, records centers and archives. A periodic appraisal of records ensures that offices do not continue to be crammed and jammed with obsolete records, (Berner, 1983).

Peter Marshall (2000) states that the IRMM's primary focus is the multiple purposes of records. It aims for the development of recordkeeping systems that capture, manage, and maintain records with sound evidential characteristics for as long as the records are of value to the organization, its successor, or society. It promotes the integration of recordkeeping into the organizations' business systems and processes.

According to McKemmish (2001) the IRMM brings together records managers and archivists under an integrated recordkeeping framework with the same goal: to guarantee the reliability, authenticity, and completeness of records. The framework provides common understanding, consistent standards, unified best-practice criteria, and interdisciplinary approaches and collaborations in recordkeeping and archiving processes for both paper and digital worlds. It provides sustainable recordkeeping to connect the past to the present and the present to the future.

The IRMM is the best model for managing records when the aim is to improve responsiveness, increase efficiency, and satisfy users' requirements. The Integrated Records Management Model Components include : -

1. An Integrated Framework

An integrated framework (An, 2003) combines the concepts of lifecycle model, records continuum and good practices. This model looks at the management of records as an archival business geared toward customer-satisfaction, service, cost-effective management, and best value. It should be customer-driven and integrated into records management through work processes. It also should produce quality information.

Five levels of integration should be built into the management of recordkeeping processes:

- i) Common culture-common understanding and expectations among creators, users, and administrators on the values of records and functionality of documents, records and archives, through creating and maintaining authoritative and reliable records in an accessible, intelligible, and usable form for as long as they are required to support business and accountability requirements of the organization.
- ii) Common standards, consistent terminology and procedures to make the IRM program routine easier to maintain and interface with throughout the recordkeeping process. This can be achieved through developing policies, procedures, systems, and structures to ensure efficiency and economy in the management of records by eliminating duplication of efforts, creating and maintaining only those records that are needed, systemizing retention and disposal and so on.

- iii) Information sharing, use of best-practice criteria, policies, and standards in the business management processes. This can be achieved through improving access to records and archives to enhance sound decision making and support effective program and service delivery, accountability, transparency, and citizens' rights
- iv) Coordination, negotiation and exchange of records management legislation permitting separate, but interdependent, management to respond to each other's needs and limitations through enacting and implementing comprehensive legislation to regulate the life-cycle management of records and archives, irrespective of medium and format, designating a single authority to oversee the process and assigning clear responsibility for actions at each stage
- v) Collaboration and partnerships of creators, users, custodians, and administrators in implementing integrated frameworks and policies, as well as in accountability for society. This can be achieved through providing adequate resources, including staff, buildings, equipment, and funding, to ensure the implementation of those policies and frameworks in order to ensure the sustainability of the program

The IRMM model employs an interdisciplinary approach to develop integrated frameworks and integrated control through documents management, records and archives management, and business management throughout the records' life to ensure their accuracy, authenticity, reliability, and integrity.

2. An Integrated Control

Integrated control is a means for bringing together the contribution of each participant with something to offer. It is a means of increasing total contribution and completeness of

records delivery, improving collaboration among creators, users, archival administrators, and custodians for better quality of service. Integrated control provides criteria for measuring three aspects of best practice: records control, recordkeeping management process control, and client-oriented service control. Indicators for quality are accuracy, authenticity, and reliability; indicators of quantity are completeness and integrity.

- i) Process control uses integrated frameworks to measure the process of records and archives management. Indicators are effectiveness, economy, and efficiency.
- ii) Service control measures the delivery of service by the sustainability and consistency of service to the satisfaction of the clients. The indicators are records' availability, accessibility, and readability.

The IRMM effectiveness can be measured by client-satisfaction service, cost-effective management process, and best-value records.

2.2.2.1 Application of the Model to the current Study

The integrated approach to records management is suitable and relevant to the study in the sense that it enables the records system in the designing of efficient and effective business processes. This will facilitate the proper management of records and promote quality service provision. The integrated approach serves to close the existing gap between the records managers and archivists. It enables archivists to proactively contribute to the management of records instead of acting as passive participants especially in this era of e-records when records system functionalities need to be embedded in the information systems at the design stage. The gap between the

Information and Communication Technology specialists and the records managers is also narrowed as they become active participants in these technologies.

This is significant to Moi University since it is embracing technology and is anticipated to be fully automated in the near future. The model recognizes the need to integrate records management processes and recordkeeping functionalities into an organization's business processes. This is particularly important since the study set out to investigate the role played by records management in achieving quality service provision. Records managers and archivists are brought together under an integrated recordkeeping framework with the same goal: to guarantee the reliability, authenticity and integrity of records. The IRMM framework is quite ideal in that it advocates for cooperation between business process managers, the University Archivist and the records professionals in various arms of the institution. This will ensure the creation of the right records, containing the right information, in the right format; organize the records and analyze their content and significance to facilitate their availability; make them available promptly to those (administrators and researchers alike) who have a right and a need to access them; systematically dispose of records that are no longer needed for business processes; and protect and preserve the needed records for as long as they are required in achieving the business processes or warrant their preservation as archives (especially those giving the historical background of the University). The IRMM also emphasizes the idea of staffing which is placement of the right staff, with the right competencies, with the right attitude, in sufficient numbers at the right place. For quality services to be achieved the sound records management practices should go hand in hand with qualified and competent staff.

2.3 QUALITY SERVICE PROVISION MODELS

2.3.1 The Plan-Do-Check-Act Cycle

The plan–do–check–act (PDCA) cycle also referred to as the (PDSA) cycle (where check is substituted for study), Deming cycle, Shewhart cycle is an iterative, four stage problem solving model used for improving a process of carrying out a change. Just as a circle has no end, the PDCA cycle should be repeated again and again for continuous improvement. See figure 2.1. below.

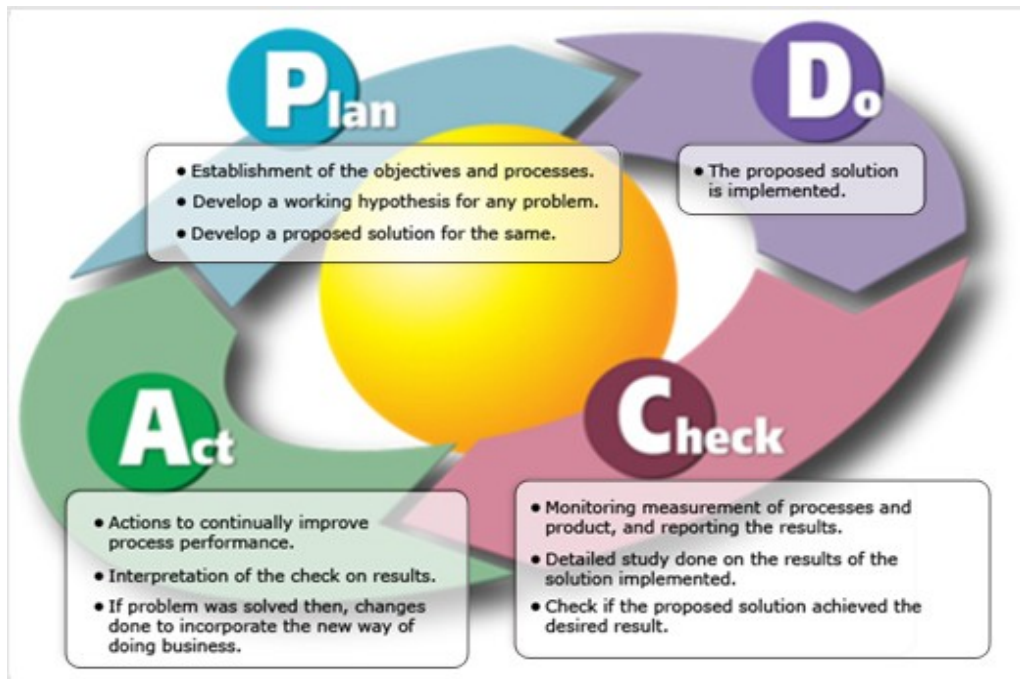


Figure 2.1 : The Plan-Do-Check-Act Cycle (or Deming Wheel)

Adopted from Langley and Nolan (1996)

The four stages in figure 2.1 above are further explained in detail below. They include: -

1. PLAN an improvement. This stage involves identifying the current problem area through examining and reviewing the current work processes. The goal at this stage is to decide what needs to be done and how best it can be done. Planning involves defining the business objectives, developing standards, formulation of goals, developing a plan to carry out the goals (who, what where, when), and finally, selecting a proper scope of implementation of these activities. Most importantly top management support should be obtained at the planning stage to ensure the success of these activities.

2. DO the planned activity. This is the implementation stage during which the improvement or problem-solving plan is actually tried out in the operation. This stage involves setting up of policies and procedures to enhance sound records management and service provision, controlling of operational performance, and documentation of problems encountered. Additionally allocation of resources is done at this stage and the people responsible need to be trained and equipped with the resources necessary to complete the task. This stage itself may involve a mini PDCA cycle as the problems of implementation are discovered and resolved and we begin to see if the implementation of the plan is providing results. Resources and skills required include:

- i) Team Leader and Supervisory leadership skills
- ii) Experiment design and implementation knowledge
- iii) Operations management problems handling skills
- iv) Conflict resolution skills and
- v) On-the-job training

3. CHECK the results. The new implemented solution is evaluated to see whether it has resulted in the expected performance improvement. Analyze the new data available and measure the results to see if the implementation of the plan is giving the results that it should. This stage involves assessing the performance, reviewing the performance, preparing for the certification audit (internal audit should precede the external audit), assessing the plan if it is working, comparing target and performance and annual management review.

4. ACT on the results. If the implementation was successful standardize and document the work and new processes. If the changes were not successful, learn what we can from the trial, adjust where necessary to overcome problems, and formalize the new knowledge before starting the PDCA cycle over again. In starting over again it is imperative to conduct periodic assessment audits; exercise preventive action; take any corrective action that is required to enhance and improve sound records management and service provision (re-engineering of work processes, recognizing and rewarding exemplary performance and ensuring communication channels are open at all times); and finally, lock in the positive and good outcomes and then return to the planning stage and repeat the cycle again as necessary. Documentation may include:

- i) Business process mapping and standardization procedures
- ii) Updating controlled reference information
- iii) New training for the standard processes

2.3.2 The Gaps Model of Service Quality (Customer Experience Gap Model)

This study adopted the Gap Model of Service Quality also known as the Customer Experience Gap Model developed by a group of authors – Parasuraman, Zeithaml and Berry at Texas and North Carolina in 1985. SERVQUAL is an empirically derived method that may be used by a service organization to improve service quality. The model is a priceless tool for a business as it facilitates the understanding of what the customers really value and what they do not. Furthermore, it helps them to evaluate whether they really serve their customers' needs, wants and desires. It measures the gap between customer expectations and experience. The basic assumption of the measurement was that customers can evaluate a firm's service quality by comparing their perceptions with their expectations. Customers generally have a tendency to compare the service they 'experience' with the service they 'expect'. If the experience does not match the expectation, there arises a gap. The resulting gap analysis may then be used as a driver for service quality improvement. It measures the gap between customer expectations and experience. The model has the following Components: -

1. Gap 1: The Delivery Gap: The Gap between Service Quality Specification and Service Delivery: This gap may arise owing to the service personnel. This can be attributed to poor training, incapability or unwillingness to meet the set service standard. This gap exposes the weakness in employee performance. Organizations with a Delivery Gap may specify the service required to support consumers but have subsequently failed to train their employees, put good processes and guidelines in action. As a result, employees are ill equipped to manage consumer's needs.

The possible major reasons for this gap are: -

- i) Deficiencies in human resource policies such as ineffective recruitment, role ambiguity, role conflict, improper evaluation and compensation system on the part of the organization
- ii) Employees lack service knowledge and have difficulty managing customer questions and issues
- iii) Lack of cohesive teams and the inability to deliver
- iv) Ineffective internal marketing
- v) Failure to match demand and supply
- vi) Lack of proper customer education and training

2. Gap 2: The Knowledge Gap: Gap between consumer expectation and management perception : The knowledge gap is the difference between the customer's expectations of the service provided and the company's provision of the service. In this case, managers are not aware or have not correctly interpreted the customer's expectation in relation to the company's services or products. If a knowledge gap exists, it may mean companies are trying to meet wrong or non-existing consumer needs. In a customer-orientated business, it is important to have a clear understanding of the consumer's need for service. To close the gap between the consumer's expectations for service and management's perception of service delivery will require comprehensive market research. This gap arises when the management does not correctly perceive what the customers want. Key factors leading to this gap are:

- i) Insufficient marketing research

- ii) Poorly interpreted information about the customer's expectations
- iii) Research not focused on demand quality

3. Gap 3: The Policy Gap: The Gap between Management Perception and Service Quality Specification: Here the management might correctly perceive what the customer wants, but may not set a performance standard. This gap reflects management's incorrect translation of the service policy into rules and guidelines for employees. Some companies experience difficulties translating consumer expectation into specific service quality delivery. This can include poor service design, failure to maintain and continually update their provision of good customer service or simply a lack of standardization. This gap may see consumers seek a similar product with better service elsewhere. Gap 3 may occur due to following reasons :-

- i) Insufficient planning procedures
- ii) Lack of management commitment
- iii) Unclear or ambiguous service design
- iv) Unsystematic new service development process

4. Gap 4: The communication Gap: The Gap between Service Delivery and External Communications: Consumer expectations are highly influenced by statements made by company representatives and advertisements. The gap arises when these assumed expectations are not fulfilled at the time of delivery of the service. In some cases, promises made by companies through advertising media and communication raise customer expectations. When over-promising in advertising does not match the actual service delivery, it creates a communication gap. Consumers are disappointed because the

promised service does not match the expected service and consequently may seek alternative product sources.

The discrepancy between actual service and the promised one may occur due to the following reasons:

- i) Over-promising in external communication campaign
- ii) Failure to manage customer expectations
- iii) Failure to perform according to specifications

5. Gap 5: The Customer Gap: Gap between Perceived service and Expected service: This gap arises when the consumer misinterprets the service quality. The customer gap is the difference between customer expectations and customer perceptions. Customer perception is totally subjective and is based on the customer's interaction with the product or service. Perception is derived from the customer's satisfaction of the specific product or service and the quality of service delivery. The customer gap is the most important gap and in an ideal world the customer's expectation would be almost identical to the customer's perception.

Customer expectation is what the customer expects according to available resources and is influenced by the following factors: -

- i) Cultural background,
- ii) Family Lifestyle,
- iii) Personality,
- iv) Demographics,

- v) Advertising,
- vi) Experience with similar products and
- vii) Information available online.

In a customer orientated strategy, delivering a quality service for a specific product should be based on a clear understanding of the target market. Understanding customer needs and knowing customer expectations could be the best way to close the gap. This is further illustrated in the diagram 2.2 below.

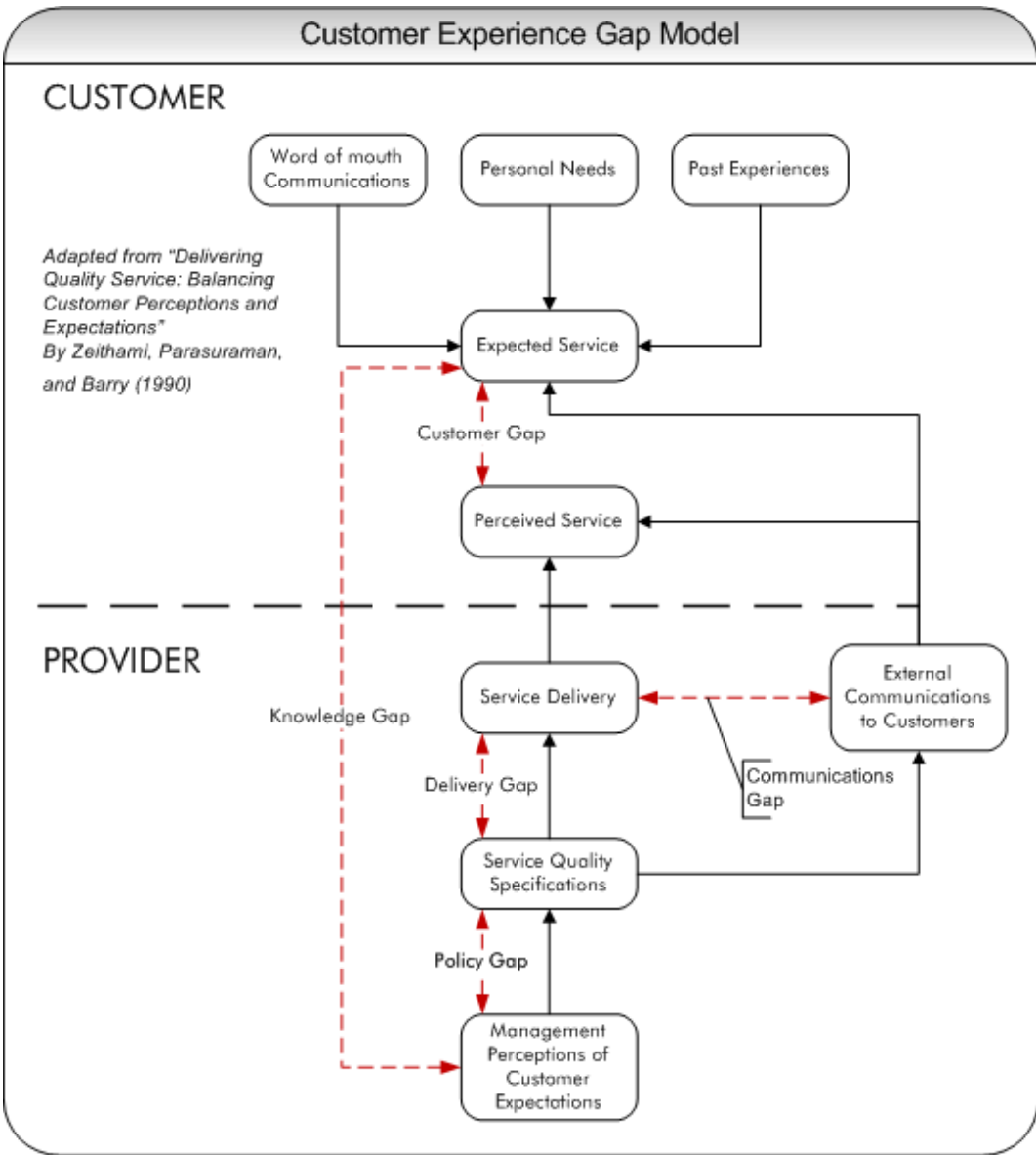


Figure 2.2: The Gap Model of Service Quality (Customer Experience Gap Model)

Source: Parasuraman, Zeithaml and Berry (1990)

As can be seen in the above schema, customers have certain expectation from each company that is related to 4 major issues:

- i) World of mouth communication that will be provided by friends and experts
- ii) Personal needs
- iii) Past experience
- iv) External communication to consumers by the company itself

Using the gap of service quality model method, the quality of services is determined by the general gap between the expected product/service and the product/service delivered.

This means that:

- i) Different customers can perceive the quality of services differently
- ii) The quality of services is determined by the customer, not the provider.

By focusing on these five areas, the service provider can analyze and improve service.

2.3.2.1 Application of the Model to the Current Study

The gap of service quality Model (customer experience gap model) is the most effective analysis tool available to service industries for studying the difference between customer expectations from service and perceptions of service quality. For any service industry, it is essential that customer expectations are properly understood, measured from the customers' perspective, and any gaps in service quality are identified. The model identifies various service quality gaps that may exist in the system of service process. Major attention is paid to gaps associated with external customer services but the model can be extended to other major gaps associated with internal customers. This model is

suitable for an institution like MU because it is a simple and useful for qualitatively exploring and assessing customers' service experiences and has been used widely by service delivery organizations just like MU. It is suitable because it will help MU as an organization shape up its efforts in bridging the gap between perceived and expected service.

The model will help the service providers to recognize the existence of gaps in the services they provide and try and narrow these gaps in order to satisfy the users current, future and anticipated needs. This will help the institution retain loyal customers and not lose them to other institutions especially in this competitive age where universities are mushrooming daily. The service providers will understand who their customers are, what the needs of these customers, where they have fallen short of expectations and how then can go about satisfying and even going a step further and exceeding customers expectations. Secondly, all the bureaucracies involved in reaching certain officers should be reduced in order to make the users know that they are valued.

2.3.3 Triangulation of the Integrated Records Management Model and the Service Quality Gap Model

This study is based on triangulation of IRMM and the SERVQUAL Concepts. Triangulation refers to the use of more than one approach to the investigation of a research study in order to enhance confidence in the ensuing findings. Since much social research is founded on the use of a single research method and as such may suffer from limitations associated with that method or from the specific application of it, triangulation offers the prospect of enhanced confidence, (Denzin, 1970).

The researcher has utilized two types of models to inform the study because the study is touching on two separate areas of knowledge but which are so interrelated and complement each other that they are almost inseparable. This is known as theoretical triangulation, which essentially refers to the use of more than one theoretical position in interpreting data. Triangulation of the two models was necessary because they (IRMM and the gap of quality service models) help in the identification of gaps that are a hindrance to the effective management of records and quality service provision. They go a step further to provide solutions on how these gaps can be addressed to promote sound records management and in effect enhance quality service provision. This triangulation will serve to fill in the gaps occasioned by one theoretical framework and hence it will further contribute to the reliability of the data collected.

2.4. RECORDS AND RECORDS MANAGEMENT CONCEPTS

2.4.1 Records

According to Esse (2000), records are synonymous with human activities and have existed for centuries. Records are any recorded information, regardless of form or medium received and maintained by an agency, institution or organization, or individual in pursuance of its legal obligations or in the transaction of business of any kind (Charman, 1990). Thus records are documentary evidence of transaction made or received in pursuance of legal obligations regardless of the physical form or characteristics of the media. They are information identified by the particular functions they perform in support of business, accountability and cultural heritage. They

substantiate who did what, where and when. According to Popoola (2000), what actually keeps the civil service going is any modern system of government are recorded information, which are used for planning, decision making and controlling. For any effective planning decision-making and controlling to take place, there must be timely access to records.

Shepherd and Yeo (2003) opine 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. Activities may be undertaken by people or may be largely or wholly automated. Records can exist in any medium and in many forms, including documentary, databases, photographs and audio visual. Most organisations have hybrid record systems, with some records in paper and some in digital form.

Cox (2001) defines records as an extension of human memory, purposefully created to record information, document transactions, communicate thoughts, substantiate claims, advance explanations, offer justifications and provide lasting evidence of events.

2.4.2 Records Management

Odlyzko (2000) and Rebore (2005) see records management as the management science of controlling the quantity, qualities and costs of records and it encompasses the procedural system operations, space, equipment and staff required to administer the records. In the same vein, Kemoni and Wamukoya (2000) Venne (2001), Efunbayo (2003), Chris (2006), Ijaduola and Sotunde (2006) have posited that proper records management goes a long way in enhancing effective administration of a university.

Nonetheless, despite the indispensable value of records and the gargantuan amount of money spent on its creation and maintenance, proper management of records that will lead to economy and efficiency in their creation used and maintenance as well as disposition is seldom considered the top priority of the university system (Popoola, 2003).

The University of Melbourne (2001) defines records management as the capturing and maintaining of accurate, complete, reliable and useable documentation of activities of an organization in order to meet legal, evidential, accountability and social/cultural requirements. Records pass through several phases in their life cycle. The primary purpose of a records management programme is to monitor records, regardless of type or format, to ensure that they pass efficiently, and at a minimum cost, through the creation, use, inactive storage and disposal or permanent retention phases (Djorka and Conneen 1984).

2.4.2.1 Importance of Records Management

According to Marutha and Ngulube (2010), proper records management assists the organization in preserving well-organized records in their business. Wamukoya (2008) reiterates that the three domains have recently been defined by information experts as comprising: the business domain, the accountability domain, and the cultural domain. The business domain requires that records must be produced and maintained to support the essential activities of the business process. Therefore, firstly, the records establish precedent and decision-makers must draw upon these to ensure consistency and

reliability of decision making. Secondly, the evidential nature of records demonstrates that the actions were indeed carried out and the records thus provide evidence of the conduct of business. Thirdly, records have no longer term business needs which help to provide continuity in specific business functions and activities. Such records not only serve long-term reference needs by providing a record of the successes or failures of past business transactions, they also ensure that we do not re-invent the wheel.

Mullon (2004) opines that records management helps to “reduce operational costs, save space, eliminate data duplication and clutter by ensuring that only needed information is stored”. Marutha and Ngulube (2010) argue that centralization of records management activities and preservation ensures that government bodies comply with the principle of value for money by avoiding duplication of efforts. This is because it saves a lot of time and energy for different organizational offices to do similar things at the same time. They summarize the above with a quote that says “Time is money in any organization”.

Penn, Pennix and Coulson (1994) and King (1997) point out that many business transactions depend on the proper creation and maintenance of recorded information. The medium on which the recording of information could be done may be paper, microfilm, audiotapes, videotapes, photographs, slides, or any computer-readable medium, such as computer tapes or disks, compact disks and optical disks. Gold (1995) characterized an Organization's Management of its records as the 'Corporate ... Secret Weapon' and 'The Winning Strategy' that give the organization the competitive edge. Yet few organizations, including universities, pay attention to the management of this corporate resource. Mnjama 2002; Procter (2002) point out that despite the fact that universities are

continually being called upon to function in a business's-like manner in order to be self-sustaining and to remain competitive, they overlook the enormous advantages that proper records management practices could contribute to the achievement of their objectives.

Taylor (2000) opines that proper records management will help the university to manage its information, efficiently fulfill its mandate, protect it from litigation, preserve its corporate memory, and foster accountability and quality service provision. The information contained in university records needs to be managed according to a methodical approach in order to enhance the effectiveness and efficiency of the university in carrying out its mission.

Ngoepe (2004) underscores the fact that information is a key for the organization to effectively manage its business since it provides guidance for decision-making and accountability. This is because records provide a corporate memory to depend on. Proper practice of proper records management will ensure sustainable and good governance of the organization since it documents decisions and organizational activities decision making. McLeod and Childs (2007) affirm that records support more effective and efficient business, underpin e-government and service delivery, help to demonstrate accountability, transparency and corporate governance, and are the source of information for citizens in the context of open government and freedom of information

Organizations that manage their records well reap immediate benefits in terms of being able to utilize all available information resources for competitive advantage. Kemoni and

Venter (2004) and Lipchak (2002) underscore the fact that systematic management of records allows organizations to: - know what records they have, and locate them easily; increase efficiency and effectiveness; make savings in administration costs, both in staff time and storage; support decision making; be accountable; achieve business objectives and targets; provide continuity in the event of a disaster; meet legislative and regulatory requirements, particularly as laid down by the Freedom of Information Act and the Data Protection Act; protect the interests of employees, clients and stakeholders.

Wamukoya (2000) posits that effective records management systems provide information required for the proper functioning of organizations, including universities. On the other hand, poor records management can be risky to organizations and in the same breadth Universities might find themselves in an embarrassing position if requested records are not found as a result of poor records systems

Thurston (2005) opines that ineffective records management leads to files being piled in different offices and corridors, as a result of dumping difficult personnel to the records management unit and lack of continuous training, lack of policies and procedures and standards. Thurston 2005; Kemoni and Ngulube, (2008) observe that Poor records management creates an opportunity to commit fraud and corruption. Fraud and corruption can jeopardize the bright future of many organizations and weaken service delivery in most government departments.

Wamukoya and Mutula (2005) underscore the fact that sound records management is therefore necessary to “root out corruptions and malpractices. The further reiterate that proper records management is one of the key tools in preventing, stemming and tracking

fraud and corruption. If properly managed, records can be used to investigate and prove fraud and corruption, and to carry out meaningful audits and review government actions. It is mostly with reliable, authentic and accurate records that an organization or government entity can track and charge a person responsible for activities considered as fraud and corruption.

Agere, Lemiux, and Mazikana, (1999) argue that the number of ghost posts in an organization cannot be ascertained and the exact expenditure cannot be traced if there are no proper and accurate records. Procurement is one component of financial management where corruption happens the most and this can be attributed to the fact that most expenditure occurs here. It is for this reason that Visser and Erasmus (2002) indicate that one important aspect of procurement is that accurate records of all state store purchases and issues must be kept. Keeping of procurement related records is not only important for store purchases, but for day to day procurement and procurement through bid processes as well. The importance of maintaining procurement records is central to avoiding corrupt deals.

2.4.3 Current State of Records Management in Universities

The literature reviewed indicated that the current state of records management in public institutions in Africa was poor and wanting. Records are the lifeblood of an organization and proper record keeping is critical for the survival and efficient operation of day-to-day business activities. Swan, Cunningham and Robertson (2002); Uwaifo, (2004); Wema (2003); Procter (2002); Mnjama (2002); Kemoni and Wamukoya (2000); Taylor (2000); Choongo (1998); and Oyiti (1998) reiterate that despite the important role that records

play, there is overwhelming evidence that the management of university records has largely been neglected. The poor state of records management has been attributed to various factors and some are discussed below.

Studies conducted by Wamukoya and Mnjama (2004) in countries in East and South Africa revealed various impediments to the management of both paper and e-records as follows:- absence of organizational plans for managing e-records; low awareness of the role of records management in supporting organizational efficiency and accountability; lack of stewardship and co-ordination in handling paper-based as well as e-records; absence of legislation, organizational policies and procedures to guide the management of both paper and e-records; absence of core competencies in records and archives management; lack of appropriate facilities and environmental conditions for the storage and preservation of paper as well as e-records; absence of dedicated budgets for records management; poor security and confidentiality controls; lack of records retention and disposal policies; absence of migration strategies for e-records; and absence of vital records and disaster preparedness and recovery plans.

Other challenges that have contributed to the poor state of records management were cited by Nengomesha (2009); Kemoni and Ngulube (2008); Ngulube and Tafor, (2006); Wamukoya and Mutua (2005) and Nengomesha (2003) include: Lack of effective systems for opening, tracking and indexing files no records safety; lack of effective training, legal and regulatory tools for management of e-records; no proper capturing and preservation of records; lack of knowledge about the electronic records program's fundamental elements, which are skilled staff and necessary competencies in the

electronic information system; electronic records management legal and administrative requirement; and accurately documented policies, standard operating procedures and formal methodologies for managing e-records; missing files and documents that delay service to the public; inadequate records keeping practices and difficulty to trace the movement of records; lack of core competencies in records management; no budget dedicated specifically for records management; no plans for managing e-records; no security and confidentiality to records.

Taylor (2000) and Mnjama (2002) suggest that the evidence of the neglect of records management in universities is the lack of coordinated and planned programmes within these institutions as well as an absence of policies, procedures and facilities for managing records. In addition to policies, there is a need to have standards in place that identify best practices and benchmarks in order to achieve uniformity in practice. There is also a need for mechanisms to check compliance with policies, rules and procedures. One such mechanism would be the conducting of record management system audits. Ricks, Swafford and Gow (1992) describe a records management system audit as 'a regularly scheduled examination and verification of a specific activity' to enforce compliance with established policies by making individuals and departments accountable.

The IRMT (2003) indicated that amongst other challenges, there were no records retention and disposal policies in the ESARBICA region. Another study by Ngulube and Tafor (2006) confirmed this trend in Kenya, Namibia, South Africa, Tanzania and Zimbabwe. Other studies that Mutiti (2001), Ngulube (2004), Wato (2006), Wamukoya and Mutula (2005) conducted in the ESARBICA, that Kemoni (2007) conducted in

Kenya and that Nengomasha (2009) conducted in Namibia, all confirm the absence of records retention and disposal policies.

The absence of record creation guidelines and policies is not new in the ESARBICA region. Kemoni (2007) focused on records management for public service delivery in Kenya. He found that a great percentage of records management units did not have a policy for creating records. He bemoaned the negative effects of not creating 'authentic, reliable, complete, unaltered' records. Ngulube (2003) noted that there was evidence from the literature that policies and guidelines pertaining to e-records management are non-existent in developing countries.

Oladele (2001); Selinger (2001); Tunca (2002) and Wamukoya (2008) also cited insufficient funding as a crippling problem in most records offices, more so in government-run ones. Many struggle to meet overhead running costs and thus records managers often sideline ICT-related needs in preference for those that are seen to have a more direct bearing on the organization. The cost of making new purchases and maintenance of old equipment is another drawback for most organizations already struggling to stay within budget allocations. Few would have staff with technical know-how required for the maintenance and repair of equipment. Thus organizations that are unable to outsource technical manpower often have a number of their equipment either stored away awaiting repair or not functioning properly.

In a nutshell all the above cited factors contributed a great deal to the poor state of records management in universities in Africa.

2.4.4 Policy and Regulatory Framework for the Management of Records in Developing Countries

According to the literature, Policy development has been emphasized by many authors as key to good records management (Kahn 2004). Myler and Broadbent (2006) point out that such a policy would clearly set out the organization's expectations regarding retention, individual roles and responsibilities, ownership, control, classification of different categories of content and privacy. Chibambo (2003) reiterates that a good records management framework consists of information-related laws, policies and programmes, records management standards and practices, and the necessary qualified human resources to implement and manage the systems. He further observes that the legal and policy frameworks ensures a strategic approach to building capacity to capture, process, store, use, conserve and preservation records and national heritage.

ISO 15489-1:2001 emphasizes that a policy for creating records should stipulate the requirements for capturing, registering, classifying, retaining, storing, tracking, accessing and disposing of records (ISO 15489-1 2001). Wamukoya and Mutula (2005) posit that failure of Eastern and Southern Africa institutions of higher learning to capture and preserve electronic records has been attributed to lack of policies and procedures, among other factors. Norris (2003) reports that not many higher education institutions in the United Kingdom had well defined and active e-mail archiving policies in place. Similar problems have been reported at Loughborough University by (Norris, 2003) and at the University of KwaZulu-Natal (Chinyemba and Ngulube, 2005).

With regard to the regulatory framework, the Association of Commonwealth Archivists and Records Managers (2007) notes that, legislation relating to public records or national archives exists in some form or other in most, though not all, Commonwealth countries, but much of that legislation dates from shortly after independence and is now urgently in need of review and modernization. This is often compounded by the inflexibility of the legislation in the face of the changing nature of records and archives in an electronic age (Association of Commonwealth Archivists and Records Managers 2007).

2.4.4.1 Regulatory framework for records management in Kenya

The major legislations governing records management in Kenya include : -

1. The Public Archives and Documentation Service Act, Cap 19

This is the principal law that governs management, preservation and disposal of public records. The Act mandates the Director of the Kenya National Archives and Documentation Service (KNADS) to:

- i). Examine any public records and advice on their care, preservation, custody and control;
- ii). Require transfer to the custody of the KNA and Documentation Service, public records he/she considers should be housed in the National Archives, and;
- iii). Authorize the destruction of public records judged to be of no further administrative or reference value to the creating office.

Section 5A of Cap 19 states that every Permanent Secretary or head of government department or chief executive of a state corporation or local authority shall supply to the

Director two copies of any published or generally circulated documents or report produced by that office whether in hardcopy or microfilm; and the creating office may prescribe the period for which the document shall remain restricted from circulation to other public offices or members of the public.

Section 8 of the Public Archives and Documentation Service Act Cap 19, makes it an offence to destroy public records without the Director's authority.

2. The Records Disposal Act, Cap 14

This Act facilitates the management and disposal of court records in Kenyan courts. The Act mandates the Chief Justice and the Registrar of the High Court, in consultation with the Director of the KNADS to make rules for the disposal of court records.

3. The Chief Secretary's circular on the destruction of non-current government records (Ref. OP.1/48A/66 of 28th November 1985)

The circular states that it is the responsibility of the public offices to effectively manage their records. Paragraph (b) of the circular states that "in the event that a government ministry or department considers that particular records are no longer needed for current administrative purposes, the Director of the KNADS shall be notified without delay and requested for their appraisal and disposal." The circular further states that "no valueless public records shall be kept for longer than necessary as this will result into wastage of public funds through uneconomical usage of office and equipment."

4. Government Financial Regulation and Procedures, Section 4: 2-5

These were issued to provide guidance on the management and disposal of accounting documents. The relevant section of the chapter states that the Accounting Officer may give permission for the destruction of accounting books and documents provided such records have been audited and are of no archival value. Accounting documents with outstanding audit queries shall not be destroyed. The director of KNADS may be requested to examine the records before their destruction.

Other guiding regulations for records in Kenya include the following:

1. Circular OP.1/48a/11/10 of 7th July 1988 on depositing of reports and other generally circulated documents in the KNA.
2. Directorate of Personnel Management (DPM) Circular on personnel records – Ref. No. DPM.12/6A Vol.1 (71) of 12th March 2008.
3. Circular OP.39/2A of 14th April 1999 on cases of missing and lost files and documents in the public service.
4. Circular OP.39/2A of 14th November 1999 on cases of missing and lost files and documents in the public service.

There are also various international professional frameworks that provide guidance on how organizations can implement good practices of records management, for example :

1. ISO 17799, which provide comprehensive information management,

2. ISO 15489/1 (2002) for classification and documentation, ISO 15816 (2002) for access controls and security management, metadata standards (ISO 23081) and
3. ISO15489/1 (2002), which defines the basic requirements for the management of records regardless of the format. It also analyses records management processes in terms of the life cycle. Another standard includes the Model for the Management of E-records (MoReq). While most of these frameworks emphasize good practices, few however examine the legal and ethical issues involved in records management. Electronic records have evidentiary value, therefore they must be properly managed (Henriksen and Andersen 2008).

Record management best practice means that organizations should provide adequate evidence of their compliance with the regulatory environment in the record of their activities. These are usually statutes, mandatory standard practices, codes of best practice and codes of conduct and ethics. The nature of the organizations and sectors determine the regulatory elements (ISO 15489–1: Section 5).

These legislations are relevant to Moi University by virtue of the fact that it is a public institution and these legislations are meant for such institutions.

2.4.5 Effects of Harnessing Information and Communication Technologies on Records Management

Over the past decades, society has experienced constant change in every human activity. This change has to a large extent been the function of technology. Records management is one activity that has been greatly affected by the development of one major change agent - *Information and Communication Technologies (ICTs)*. ICTs include various

technologies which are used in the creation, acquisition, storage, dissemination, retrieval, manipulation and transmission of information (United Nations ICT Task Force, 2003). In general, ICTs include computers, the various telecommunications devices and media, and publishing in its entirety including broadcasting, the press, micrographics, audiovisuals to mention but a few.

Like in other developing countries, ICTs in Zambia have affected the way individuals and organizations conduct business. They have resulted in a transition from paper-based business records to a predominantly electronic record (e-record) environment. Newer media have emerged for recording business and other information. Organizations are increasingly conducting business using e-mail and Internet thereby creating and storing records electronically.

Elwhiwhu (2005) opines that the advent of ICTs has altered record keeping. Wamukoya and Mnjama (2006) underscore the fact that an increasing number of governments all over the world are adopting modern information communication technologies (ICT) as a tool for providing effective and efficient services to their citizens. As a corollary to this, there has been a shift in the manner of how information is collected, processed, stored and disseminated. Wamukoya (2005) further reiterates that new technologies and their growing adoption and use is rapidly revolutionizing the organizational culture i.e. it is positively impacting on the way organizations work, make decisions, and even document their activities.

According to Edith Cowan University (2002), although paper records remain predominant in organizations, there is no doubt that record keeping is increasingly

becoming digital. The presence of personal computers in every office and a local area network at MU shows that the University is increasingly making use of electronic records which are either borne digital or digitized. Ngulube (2004) regrets that management of electronic records has remained a nightmare to many institutions in Africa.

Nasieku (2010) opines that Moi University is increasingly becoming part of the digital world. Increasingly, e-records are becoming a reality as the use of computers as information management tools are being embraced by schools, departments and administrative offices. This has in turn led to records being created, used, maintained and disposed of electronically. E-records have enabled Moi University to keep track of events and activities of the institution and particularly, to enhance research and development of the university. According to Kemoni and Wamukoya (2000), e-records management at universities is a new development in Kenya.

Katuu (2006) affirms that technology is consistently being used to convert paper records into electronic format presenting a change in a way records have to be managed. He goes on to say that it has been widely acknowledged that just like paper records, e-records increases the efficiency and effectiveness in business processes in organizations. They are an indispensable element of transparency and accountability both within and outside the organization. They are also essential to demonstrate legislative and regulatory compliance in an organization. Organizations that are facing litigation have realized that courts in most countries admit electronic records in the litigation processes.

He further argues that when it comes to active storage retention, ICTs have drastically cut down on the number of people, records management procedures and other resources required in the storage of records. For instance, it is now possible for a record initiator to create, use, store and retrieve a record on a single computer work-station, thereby eliminating the huge army of secretarial and record keeping staff and the associated requisite records management space, equipment and stationery. Affirming the advantages with space facilities, Tale and Alefaio (2005) observed that ICTs offer opportunities for compact storage through electronic and digital storage devices as they offer an alternative to bulky paper records that need a considerable amount of space for storage.

According to IRMT, (1999) and Wamukoya (2008) it is imperative that proper mechanisms are put in place in moving safely from a paper to an electronic environment through building reliable, trustworthy records systems as the basis for data integrity to support, financial management, human resource management, land administration, health care management, justice and courts administration, services for citizens, anti-corruption strategies, access to information, protection of rights and entitlements, management information systems

2.4.6 Challenges posed by e-records Management in organizations

While the use of ICTs has enhanced record creation and use, they have introduced new problems in records management. Wamukoya and Mutula (2005) observed that accurate and reliable records form the documentary evidence needed to provide a foundation for all development strategies. It is in this regard that the need to manage this information accurately and securely and to preserve it over time as the basis for transparency and

accountability has arisen as a crucial issue. However, e-records are vulnerable to loss and destruction as they are stored on fragile media that deteriorate rapidly and can fail suddenly. The loss of control of records and information systems, particularly in electronic environments, is very much a crucial problem globally.

Consequently, Wamukoya and Mutula (2005) affirm that records managers among other things are faced with challenges pertaining to storage, preservation, security, reliability, authenticity and privacy of information held in an electronic as well as long term accessibility of digital records. They are required to be versatile in performing records management tasks. They are also expected to be dynamic and competent to deal with e-records. Thus, records managers should have strong skills foundation for the management of electronic records to enhance accountability, transparency, democratic governance, poverty eradication, elimination of corruption and efficient use of donor-funded resources.

Some major challenges in managing electronic records in academia relate to the nature of the records kept and used, where they are located, policy issues, accountability and responsibility of users, and compliance with rules and regulations. Bailey (2007) and Thornhill (2008) argue that the Problem of dispersed records is posing a major challenge in the effective management of e-records. They go on to say that information is a key business resource for universities. Most specifically, it aids competitiveness in higher institutions (Web portals, lectures on-line, research, etc) and even administrative activities are now done electronically. The fact that university transactions now transcend geographic borders (e.g. involving international students, business and research partners)

has, however, created serious records management problems (Bailey 2007). Records are found on shared network drives, local drives, research databases, institution e-mail and external web servers. Today many academics, administrative staff and students by-pass the institution systems and use externally hosted systems such as Google, Facebook and Yahoo. Such dispersed records make location, classification, sharing of information and enforcement of compliance much more difficult. Location of information and its classification (e.g. understanding what it is and whether it is subject to an obligation) have become critical aspects in litigations.

Myler and Broadbent (2006) posit that information security issues (e.g. access to information, cyber-crime, privacy, virus attacks, and commercial data mining) are of major concern in academia today. Wamukoya and Mutula (2005) reiterate that poor security and confidentiality controls have been identified as major factors contributing to the failure of capturing and preservation of electronic records in Eastern and Southern African institutions of education. According to the IRMT (2004) inspite of the existence of password controls and audit trails in many current systems, these controls are widely circumvented. There are also significant difficulties in protecting the availability of electronically generated information for future use. Specifically, it is difficult to maintain e- records. This is so because they are dependent upon the computer environment in which they were created.

Katuu (2006) concurs with the above sentiments and observes that e-records storage media has a shorter lifespan than paper. While a paper record is said to last as long as 200 years, electronic media is said to start deteriorating after the first 5 years. Consequently,

making electronic information available for longer periods is problematic. The other problem relates to version control. The constantly changing arena of ICTs has also posed a great challenge to developing countries that find it difficult to keep up with regular upgrades in both software and hardware. This leads to situations where organizations are left with older versions of important software that become difficult to use due to compatibility problems.

Further compelling challenges brought by ICTs on records management relates to legality, reliability, authenticity and originality of documentation held on such newer ICT-based media. Katuu (2006) underscores the fact that experts in technology and particularly in the legal and policy sector are struggling to determine how to handle the new world that is permeated by digital information that can be easily modified and whose authenticity, legality, originality and reliability are increasingly difficult to determine. E-records can be duplicated easily. Therefore copies and originals look alike and it is difficult to find out the authentic original. They can also be modified without trace e.g. changing entries in a database. This raises questions of their authenticity and originality. And their legal and evidential values are consequently brought into question.

Katuu (2004) bemoans the fact that there are no policies and procedures in most countries including Zambia on how to deal with electronic records creation, accessibility and disposal. He further informs that there is lack of ICT legislation and/or the lack of adequate integration of the legislation with national archival legislation. According to Tale and Alefaio (2005 and Nasieku, 2010), the absence of policies and procedures to

provide guidance to creators and users of e-records poses risks that also cannot be ignored.

Mutiti (2001) cites the myriad challenges posed by information and records in the electronic environment. They include : - the ease with which they can be permanently altered; rapid evolution of technology; their dependence on software and hardware which are constantly evolving, their reliance on power without which they are unusable, information Technology illiteracy; there need for special computer skills, rapid evolution of technology, obsolescence of hardware and software, media instability therefore constant migration onto more stable media is advised, environmental conditions, security of electronic records; deletion at the stroke of a key, portability makes them vulnerable to thieves, lack of a robust Telecommunication Infrastructure, records management functionalities lacking in most systems, overhead costs of installation, and technical maintenance

Wamukoya and Mutula (2005) opine that the ascendancy of digital records poses a number of challenges in their management including those related to storage and preservation, aspects which foster easy accessibility and retrieval for posterity. Records managers are challenged to possess specialized skills in handling digital records. They are also faced with the challenge of ensuring knowledge gaps do not exist as a result of poor storage and preservation approaches. One of the problems also confronting records managers in the digital age relates to security of information held in an electronic media and the privacy of records.

Nasieku (2010) cited the following challenges that staff faced in the management of e-records: - Lack of an e-records management policy; lack of funding dedicated to records management; staff's lack of knowledge and skills in records management; hardware and software obsolescence and; some staff lack of computer skills, keeping up with constantly changing technology; poor storage and handling of storage devices by some staff; and lack of adequate technical staff among others. She further reiterated that Moi University registries were not facilitated with computers; and the ICT infrastructure and resources available at Moi University to cater for the management of e-records was not adequate. She attributed these anomalies to the following factors: - lack of adequate funds to acquire hardware and software, and lack of administrative will among those responsible for making policy decisions regarding the management of university records to accord full attention to the use of ICTs in records management.

2.5 QUALITY AND QUALITY SERVICES CONCEPTS

2.5.1 Services

There is no universally accepted definition of services but for the purposes of this research the following definitions will suffice. Kotler (2005) defines services as an act of performance that one party can offer to another that is essentially intangible and does not result in ownership of anything. Its production may or may not be linked to its physical product.

The study adopted the following definition as advanced by Gronroos (1990), which indicates that a service is an activity or series of activities of more or less intangible

nature that normally, but not necessarily, take place in interactions between the customer and the service employee and/or systems of the service provider which are provided as solutions to customers' problems.

The term services cover a heterogeneous range of intangible products and activities that are difficult to encapsulate within a simple definition. Services are also often difficult to separate from goods with which they may be associated in varying degrees. Services differ from goods in a number of ways, most commonly in the immediacy of the relationship between supplier and consumer. Many services are non-transportable; i.e. they require the physical proximity of supplier and customer.

2.5.1.1 Characteristics of Services

Services are distinguished from products because of the characteristics they possess. These include: intangibility, perishability, inseparability, and Heterogeneity

1. Intangibility in Services

The literature highlights intangibility as one of the key characteristics of services. Kotler, (2003;2005); Bowen (1990); Zeithaml (1981); Levit (1981) opine that services are intangible. They cannot be touched, gripped, handled, looked at, smelled, and tasted. Thus, there is neither potential nor need for transport, storage or stocking of services. He goes on to say that a service can be (re)sold or owned by somebody, but it cannot be turned over from the service provider to the service consumer. Solely, the service delivery can be commissioned to a service provider who must generate and render the service at the distinct request of an authorized service consumer.

2. Inseparability of Services

According to Wyckham, Fitzroy and Mandry (1975); Donnelly (1976); Grönroos (1978); Zeithaml (1981); Zeithaml, Parasuraman and Berry (1985); Bowen (1990); and Onkvisit and Shaw (1991) inseparability is taken to reflect the simultaneous delivery and consumption of services. Kotler (2003) and Kotler (2005) reaffirms this by indicating that the service provider is indispensable for service delivery as he must promptly generate and render the service to the requesting service consumer. Additionally, the service consumer is inseparable from service delivery because he is involved in it from requesting it up to consuming the rendered benefits.

3. Heterogeneity of Services

Heterogeneity reflects the potential for high variability in service delivery (Zeithaml Parasuraman and Berry (1985). Kotler (2005) posits that each service is unique. It is one-time generated, rendered and consumed and can never be exactly repeated as the point in time, location, circumstances, conditions, current configurations and/or assigned resources are different for the next delivery, even if the same service consumer requests the same service. Onkvisit and Shaw (1991) consider heterogeneity to offer the opportunity to provide a degree of flexibility and customization of the service.

4. Perishability of Services

The fourth characteristic of services highlighted in the literature is perishability. In general, services cannot be stored and carried forward to a future time period (Rathmell, 1966; Donnelly 1976; and Zeithaml (1985). Onkvisit and Shaw (1991) suggest that services are “time dependent” and “time important” which make them very perishable. Kotler (2003) and Kotler (2005) underscores the fact that services have little or no

tangible components and therefore cannot be stored for a future use. Services are produced and consumed during the same period of time. Services are perishable in that when the service has been completely rendered to the requesting service consumer, this particular service irreversibly vanishes as it has been consumed by the service consumer.

2.5.2 Quality Concept

There is no universal agreed upon definition of quality services as every author has their own perceptions and interpretations of these. Hardie and Walsh (1993); Sower and Fair (2005); Wicks and Roethlein (2009), opine that quality has many different definitions and there is no universally acceptable definition of quality. They claim it is because of the elusive nature of the concept from different perspectives and orientations and the measures applied in a particular context by the person defining it.

According to Juran (1985) “Quality is product performance which results in customer satisfaction freedom from product deficiencies, which avoids customer dissatisfaction”. Gitlow (1989) opines that “Quality is the extent to which the customers or users believe the product or service surpasses their needs and expectations”. Haider (2001) defines “Quality is the totality of features and characteristics in a product or service that bear upon its ability to satisfy needs”.

The above definitions of quality shed light in understand quality concept and point out that quality has many views.

2.5.2.1 Quality Services Concepts

Some definitions of the Quality services concept are given below. Traditionally, quality has been defined as “meeting requirements without error”. This approach is often called ‘zero defects or Error-free Performance’. It can be paraphrased as, “Doing it right the first time”. “Doing the right things” means setting proper performance requirements for a quality service achievement. “Doing them right the first time” implies conforming to the requirements in an error-free manner (ISO 9001:2008). Progress toward QS depends on the understanding that quality improvement is a journey that never ends; QS is the responsibility of all management; QS does not necessarily require additional resources.

As defined by the ISO 9001:2000, Quality Services are a management approach for an organization centered on quality, based on participation of all its members and aimed at long-term success through customer satisfaction, and benefits to all members of the organization and to society. One major aim is to reduce variation from every process so that greater consistency of effort is obtained (Royse, D., Thyer, B., Padgett, D., and Logan T. 2006). Shikuku (2012) opines that quality services is a way of management helping to improve the effectiveness, efficiency, flexibility and competitiveness among the MU records system as a whole by way of involving everyone in the records system towards improving the ways in which things are done.

However for the purpose of the study the following definition advanced by ISO 9001: 2008 will suffice. Quality Services is a “process which focuses the records system’s energies on consistently meeting the customers’ expectations by means of redesigning work processes. Work processes redesign is an approach to transforming work processes

by streamlining work flows, rationalizing organizational structures and using information technology creatively to focus on customer needs”.

2.5.2.2 Principles of Total Quality Services (TQS)

The following are eight quality services principles on which the quality management system standards of the ISO 9000:2000 and ISO 9000:2008 series are based. These principles can be used by senior management as a framework to guide their organizations towards improved performance. The eight quality management principles are defined in ISO 9000:2005, Quality management systems Fundamentals and vocabulary, and in ISO 9004:2000, Quality management systems Guidelines for performance improvements.

Principle 1: Customer focus - Quality goals must be based on customer requirements

Principle 2: Leadership - Quality can and must be managed.

Principle 3: Involvement of people - Every employee is responsible for quality

Principle 4: Process approach - Processes, not the people are the problem

Principle 5: System approach to management - Problems must be prevented, not just fixed

Principle 6: Continual improvement - Quality improvements must be continuous

Principle 7: Factual approach to decision making - Quality must be measured so it can be controlled

Principle 8: Mutually beneficial supplier relationships - Everyone has a customer to delight

2.5.2.3 Tools in Quality Services Approach

According to the Treasury Board of Canada (1995) and Lovelock (1992), some tools you may consider in implementing a quality services approach include :

- Best practices;
- Benchmarking;
- Training in quality concepts, and in analyzing and solving problems;
- Process mapping;
- Integration of client and employee involvement in and feedback into work processes;
- Service standards;
- Regular progress reports to clients and employees; and
- Organizational self-assessment.

2.5.3 QUALITY MANAGEMENT SYSTEM (QMS) CONCEPT

The Quality Management System (QMS) is the collection of processes, documents, resources, and monitoring systems that direct the work of an organization regarding records and service quality. MU records system needs to establish, document, carry out, and maintain this system to meet the requirements of ISO 9001:2008.

2.5.3.1 Elements of a Quality Management System

The elements of a QMS include : -

- i) Organizational Structure;
- ii) Responsibilities;

- iii) Processes;
- iv) Resources;
- v) Customer Satisfaction;
- vi) Continuous Improvement, and
- vii) Monitoring

2.5.3.2 Benefits of a Quality Management System

According to ISO 9001:2000 a QMS will ensure the following benefits to an organization.

- i) It transforms the operation from detection mode to prevention mode. Prevention is less work and less expense than detection. With a quality management system, you prevent service nonconformities;
- ii) Creates consistency throughout the organization built around "best practices";
- iii) Improves business performance through improving customer satisfaction and boosting of the internal and operational efficiencies;
- iv) Lessens dependency on key individuals through the distribution of responsibilities across the work force;
- v) Improves management oversight through incorporating monitoring and measurement (self auditing) of key quality performance indicators which helps them solve problems before they escalate; and
- vi) Ensures consistent training, i.e. A quality management system provides direction from one end of a process to the other. New people to the process are trained using the road map and their performance is tested against the road map.

2.6 THE NEXUS BETWEEN RECORDS MANAGEMENT AND QUALITY SERVICE PROVISION

According to IRMT (2003) well-managed e-records systems provide a strong foundation for enhancing accountability, transparency, democratic governance, poverty eradication, elimination of corruption, and efficient use of donor-funded resources. Ngoepe (2004) points out that sound records management is the heart of good public management since government services are dependent on access to information. This is because every single activity in government service requires accountability and transparency for proper governance.

Mullon (2004) observes that almost all services rendered by the government are highly dependent on records. This implies that government bodies need to have a proper records keeping systems to always satisfy clients and keep them smiling. Lack of proper records preservation will lead to difficult records retrieval, which eventually results in a client waiting too long for the service. The end result of this will be citizen complaints about poor service and long waiting times for the service. He further argues that proper records keeping will enable the officials to render public service of the same standards across the board if they have access to and common understanding of standards processes and deliverables expected of them. Bhana (2008); Kemoni and Ngulube (2008) underscore the fact that poor records keeping can lead the organization to risks such as poor organizational reputation, non-legal compliance, financial and information loss.

Perhaps the best summary of the usefulness of records in an organization is that which is provided by Piggot (2002) who says that “without access to good records, officials are forced to take decisions on an ad hoc basis without the benefit of institutional memory. Fraud cannot be proven, meaningful audits cannot be carried out and government actions are not open to review”.

There are several reasons in the context of good governance why governments need to manage and maintain records properly. According to Piggot (2002) these reasons are: - Governments rely on legislative records, court records, police and prison records to preserve the rule of law. Government relies upon policy files, budget papers, accounting records, procurement records, personnel records, tax records, election registers, property and fixed asset registers to demonstrate accountability to its citizens. The protection of entitlements depends on pension records, social security records, land records, birth and death records. In providing services to citizens, a government needs hospital records, school records, and environmental protection monitoring records. In documenting its relationship with other countries, government has to maintain foreign relations and international obligations treaties, correspondence with national and international bodies, loan agreements, etc.

Piggot (2002) goes on to say that without adequate records, the effectiveness of development projects cannot be ascertained. Moreover, there is no way of verifying that the development projects fall within acceptable legal, financial and cultural boundaries of a client government or that funds for development are used as intended. Lack of records management is directly linked to the persistence of corruption and fraud. Experts in

financial management control recognize and acknowledge the fact that well managed records systems are vital to the success of most anti-corruption strategies. The World Bank (2000) reaffirms this statement by indicating that without adequate records, the effectiveness of development projects must suffer. There will be no means of verifying that funds for development are used as intended (<http://www.web.worldbank.org>). The public suffers when inadequate information systems affect programme delivery.

Makhura (2005) highlights the correlation between proper records management and improved performance of an organization to ensure competitive survival. He further argues that records constitute the most vital resource and are essential for the operation of organizations. According to Shepherd (2006), organizations use records to support accountability, when they need to prove that they have met their obligations or complied with the best practice or established policies. Accountability is a crucial aspect in enhancing service delivery. He goes on to state that records which are managed as part of an appropriate records management programme will help the organization to conduct business in an efficient, accountable manner, deliver services consistently, support managerial decision making and transparent policy formation and ensure continuity in policy execution, management and administration.

Harries (2009) argues that achieving success overall is more than the sum of individual parts. It depends, very often, on a successful sharing of meaningful information between parts. He further reiterates that a breakdown in the sharing of information between parts leads to a breakdown in service delivery. From these statements, it can be deduced that

effective records management has a direct bearing on service delivery, and effective records management is a collective effort.

According to the World Bank (2000), the effectiveness and efficiency of the public service, generally, across the range of government functions depends upon the availability of and access to information held in records. For example, development projects are often difficult to implement and sustain effectively in the absence of well managed records. Dearstyne (1985) opines that records document past policies, decisions and alternatives. By consulting the records, local officials do not waste time and resources by “re-inventing the wheel” when they approach similar problems and issues. The implication of this is that when records are readily available and accessible, delays in decision-making affecting service delivery can be prevented.

Marutha and Ngulube, (2010) reiterate that a well-improved service standard to every citizen can only be achieved through the implementation of proper records management which is a very important tool in the achievement of this. They go on to say that records about the way in which services were and are rendered to citizen currently, and clients’ complaints and praises must be properly kept. Regular reference to these records will help the department to improve or keep the standards as encouraged or discouraged by the citizen.

According to Willis (2005) “Sound information and records management deliver transparency”. Wamukoya and Mutula (2005) opine that in a democratic society, transparency and accountability compliance is achieved only through the provision of access to information to the public and that can only be achieved through sound records

keeping. This is because the citizens want to know what and how things have been done in the government.

Mnjama (2003), underscores the fact that state records not only document past decisions, they often establish and protect the current rights and responsibilities of both the government and the governed. According to the World Bank (2000), the ability of governments to protect the rights of its citizens and to improve citizen-government interaction is a critical issue. The rights and entitlements of citizens are based on records, and the ability of a government to continue to respect these rights and entitlements is based on the quality of the policies, standards, and practices employed for the care of those records. An example of this are the pension records of employees which need to be properly maintained so that the employer does not risk paying benefits to the employee twice because of lack of records indicating that the employee in question had already received their dues.

Mnjama and Wamukoya (2004) point out that without reliable records, governments cannot effectively manage state resources, civil service, delivery of services such as education and health care. Without accurate and reliable records, and effective systems to manage them, governments cannot be held accountable for their decisions and actions, and the rights and entitlements of citizens and corporate bodies cannot be upheld.

An effective records management system is a critical element in the preparation of an institution's financial statements. It will allow for verification of the completeness and accuracy of data reported in financial statements and assist in the compilation of the audit process. An effective records management system should ensure that financial records are

maintained throughout the life cycle in a consistent and structured manner, that the audit function and external accountability of the organization is supported, that the organization is able to meet its obligations under legislation and to access records for fiscal policy and planning purposes, that the integrity and accuracy of the records are protected and that the records can be retrieved (<http://findarticles.com/>). The World Bank (2000) states that poor record keeping affects the entire accounting function, with the result that reporting and auditing may become virtually impossible. Fraud becomes difficult to detect and debt management also suffers.

Blake in Kemoni (2008) also gives the following benefits of effective records management: supporting efficient working and information exchange; facilitating evidence-based policy making and supporting the administration of data protection principles and effective implementation of Freedom of Information (FoI) and other legislations through organization of records.

CHAPTER THREE

RESEARCH METHODOLOGY

3.0 INTRODUCTION

This chapter presents the research methods utilized in conducting the study under the following subheadings: research design, study population, sampling design, data collection instruments that were utilized, validity and reliability of the data collection instruments, data collection procedure and data analysis and interpretation.

3.1 RESEARCH DESIGN

Harnon and Schwartz (2009) opine that a research design is an action plan for the research conducted. This study adopted the case study approach because of the suitability of this method for explanatory, descriptive and exploratory research. Yin in Blumberg, (2005) defines the case study research method as ‘an empirical enquiry that investigates a contemporary phenomenon within its real-life context; when the boundaries between phenomenon and context are not clearly evident; and in which multiple sources of evidence are used.

The case study method was also preferred because of its exhaustively in nature and its ability to provide a real and enlightened record of personal experiences and opinions of the subjects being interviewed. Patton, (2002) underscores the fact that a case study seeks to describe a unit in detail, in context and holistically. Another key strength for preferring the case study method was that it permitted the utilization of multiple sources and

techniques in the data collection methods and data analysis techniques. This study used data collection tools such as interviews, documentation review and observation, which are some of the tools recommended in the case study approach. This method also provided the researcher with opportunities to triangulate data in order to strengthen the research findings and conclusions.

Another reason for preferring the case study method was that it is suitable for qualitative research. The researcher preferred qualitative design over the quantitative design method because the former is quite flexible in terms of the variety of data types applicable and the types of data collected are much more diverse as opposed to the latter research method which is skewed towards collected quantitative data in terms of numbers. The types of data collection instruments adopted are suitable for qualitative research.

The study is largely qualitative but is complemented by quantitative aspects such as biodata of respondents, population size among others.

3.2 STUDY POPULATION

Walliman (2005) reiterates that 'Population' in the research context is a collective term used to describe the total quantity of cases of the type which are the subject of the study being undertaken. Ngulube, (2005) opines that "One of the major steps in survey designs is to define the population before collecting the sample". The population is a group of elements sharing the same sentiment. It is a large pool from which our sampling elements are drawn and to which the researcher generalized the findings. The study might focus on an organization or institution but what the researcher is interested in is the people

belonging to that organization (Black, 1999); Babbie, Haley and Zaino, (2003); Ngulube, (2005); Welman and Kruger, (2001).

The population was drawn from the main campus even though the university has several campuses and the study population comprised ninety (90) respondents. The subjects included six (6) top management representatives (comprising the Vice Chancellor; Deputy Vice Chancellor – Planning and Development now DVC - Administration, Planning and Development; Deputy Vice Chancellor - Research and Extension now DVC – Academic, Research and Extension; Chief Academic Officer now Registrar - Academic; Chief Administrative Officer now Registrar – Administration and Finance Officer); forty (40) Action officers; (comprising Senior Administrative Officers and Administrative Officers); twenty (20) secretarial staff twenty (20) Records system staff. The criterion for their selection was based on their role as records creators, custodians, users and key informants.

There are several offices and Schools in the university, however, this study only focused on the management arm of the university. The offices that participated in the study included the following: -

1. The Vice Chancellor's office
2. Deputy Vice Chancellors' Office (Research and Extension now DVC - Academic, Research and Extension)
3. Deputy Vice Chancellor's Office (Planning and Development now DVC – Administration, Planning and Development)
4. Chief Academic Officer's Office (now Registrar – Academic)

5. Chief Administrative Officer's Office (now Registrar – Administration)
6. Finance Officer's office
7. Senior Administrative officer's Office (Recruitment and Training)
8. Senior Administrative Officer's Office (Personnel)
9. Senior Administrative Officer's Office (Admissions)
11. Senior Administrative Officer's Office (Central Services)
12. Administrative Officer's Office (DVC's Office - Research and Extension now DVC - Academic, Research and Extension)
13. Administrative Officer's Office (DVC's Office – Planning and Development now DVC – Administration, Planning and Development)
14. Administrative Officer's Office (CACO's Office now Registrar Academic)
15. Administrative Officer's Office (CADO's Office now Registrar - Administration)
16. Supervisors (in charge of registries – Recruitment, Personnel, Mail, Students and Medical Registries)
18. Clerical Officers (Recruitment, Personnel, Mail, Students and Medical Registries)
19. Secretaries (VC's office, DVC's offices (Research and Extension (now DVC - Academic Research and Extension; and Planning and Development now DVC – Administration, Planning and Development), CACO's office (now Registrar Academic), CADO's office (now Registrar Administration), Recruitment and Training office, Personnel office, Admissions office and Medical office.

3.3 SAMPLING METHOD

There are two types of sampling techniques namely probability sampling and non probability sampling. Some of the probability sampling techniques include random sampling, stratified random sampling and systematic random sampling. Non-probability sampling methods include convenience and purposive sampling. The researcher utilized non probability sampling technique which approaches sampling with a specific plan in mind. The rationale behind the selection of this sampling technique was because the study was primarily qualitative in the nature and in-depth study was needed and hence only small samples of respondents who would provide relevant information to the study and were willing to share it were selected. This is in tandem with Ngulube (2005); Marshal and Rossman (1995) who opine that the sampling method determines the validity and reliability of the research conclusion.

The researcher handpicked subjects to participate in the study based on her judgment as to who would provide the best information to achieve the objectives of the study, i.e. the information rich sources. Purposive sampling seeks to identify information-rich cases which can then be studied in depth (Patton, 2002). In doing this the researcher tried to target those cases that were most likely to yield the richest data, leaving more peripheral cases until later. The researcher went on interviewing and collecting information as long as she kept on discovering new information. When the researcher found out that she was not obtaining any new data and new information was negligible the researcher terminated the interviewing process because she had reached the saturation point.

This sampling method facilitated the choice of respondents with a direct role in either strategic or operational positions, that is to say that the workforce is divided into levels

such as the management, technical staff and the clerical officers or service providers who come into direct contact with the records and the clientele. The study population was divided into different groups and was based on some characteristic or variable like professional qualifications, income or cadre of staff in terms of senior, middle and junior levels.

3.3.1 Sample Size

The sample size entails the number of participants chosen from the whole population. According to Ngulube (2005), the selected members or part of the entire population is called the sample. Ngulube (2005) further indicates that “there are no rules for sampling size”. The results of the study may be affected by the sample size and plan in terms of the type, level and generalization of the study conclusion.

The selected sample was 33 and all these respondents were drawn from the Main Campus. A total number of five (5) management staff, including one (1) finance officer, eight (8) action officers, five (5) records system supervisors, ten (5) record system clerical officers and nine (9) secretaries were interviewed.

The following departments formed the sample for the study. The VC’s office, the DVC’s offices (Research and Extension now DVC - Academic, Research and Extension) DVC Planning and Development now DVC – Administration, Planning and Development), the Chief academic officer’s office (CACO) (now Registrar Academic), the Chief Administrative officer’s office (CADO) (now Registrar Administration), Finance officer’s office, administrative offices in charge of recruitment, personnel, admissions, and the

Central services department and the Central records system (Mail, Personnel, Recruitment and Training,) the Health Services and students records systems.

The researcher also ensured that the sample size was not too large since it would become difficult to extract thick, rich data. Onwuegbuzie and Leech (2007) concur that sample sizes in qualitative research should not be so large. At the same time the researcher also ensured that the sample size was also not too small and therefore making it difficult to achieve data saturation. Welman and Kruger (2001); Onwuegbuzie, Jiao and Bostick (2004) observe that in sampling “the smaller the total population, the relatively larger the sample should be to ensure satisfactory results”, but the lower the total population of the unit the lesser the percentage out of the total sample. This helps to minimize the margin of error. The sample was drawn from the way the records management units administer the records and the information management units use records on a day to day basis for their business processes.

The action officers included the Deputy Vice Chancellor’s office (Research and Extension now DVC – Academic, Research and Extension), Deputy Vice Chancellor’s office (Planning and Development now DVC – Administration, Planning and Development), recruitment, personnel, admissions, CACO’s office (now Registrar Academic), CADO’s office (now Registrar Administration), the Central services unit.

Table 3.1: Population Sample size MU records system Main Campus (n=33)

Category of Respondents	Population	Sample size	Percentage %
Management	6	6	18.1
Action Officers	40	8	24.2
Records System Supervisors	5	5	15.1

Clerical Officers	20	5	15.1
Secretaries	20	9	27.2
Total	91	33	99.7%

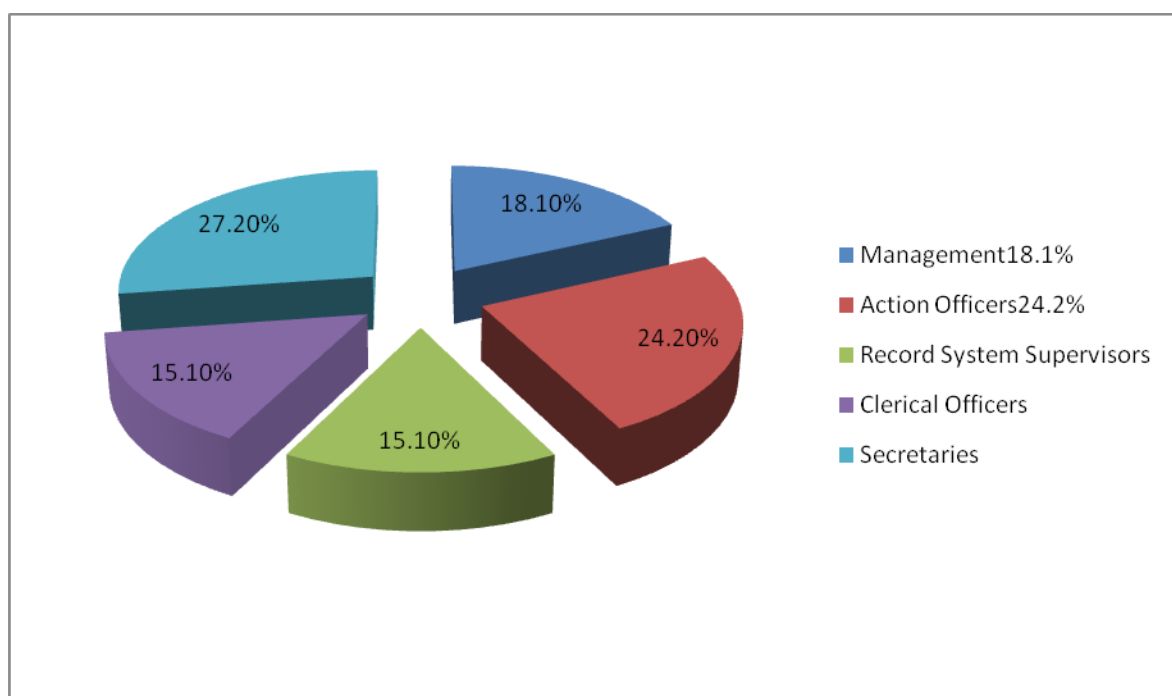


Figure 3.1: Population Sample size MU Main Campus (n=33)

3.3.2 Justification of the Study Population

The management team was the key informants owing to the fact that they are the policy formulators, planners of the Universities resources and decision makers and this in essence has a direct impact on the University's businesses processes. The study focused on the above mentioned offices because of their centrality of these offices in relation to quality services.

The action officers that were interviewed included those involved in general administration. The action officers in charge of administration were involved directly since they relied on the records directly to facilitate informed decision making, were implementers of the policies and they interact with the staff directly in the course of their duties and hence they provided a great source of information for the study. They deal with issues pertaining to staff recruitment and training, personnel issues like leave (annual, maternity, study, sabbatical, unpaid leave and leave of absence), financial transactions that the university is engaged in both internal and external and retirement and termination or transfer issues of staff.

The Medical records system or Health services was key in this study because issues of security and privacy and data protection issues are key here owing to the kind of records they handle in terms of sensitivity.

3.4 DATA COLLECTION METHODS AND INSTRUMENTS

The data collection technique that was utilized was multi-data source also known as triangulation approach in order to overcome the discrepancy biasness. Patton, (2002) observes that there are several types of triangulation. The four most commonly recognized include: investigator triangulation, data triangulation, theory triangulation and methodological triangulation. The study utilized the data triangulation method which is the use of a variety of data sources in a study, i.e., interviewing people in different status positions and with different points of view, theory triangulation, which is the use of multiple perspectives to interpret a single set of data such as tables, explanations and arguments about the problem under investigation, and pie and bar charts. The study

further employed the use of multiple methods to of collecting data which included, face to face interviews, observations, and documentary review.

3.4.1 Data Collection Instruments

Primary data was collected using face to face interviews and the observation method, while secondary data was collected from documentary review (published and unpublished).

3.4.1.1 Face to Face Interview

Primary data collection involved face to face (oral) interview. This is a purposeful conversation initiated by the investigator to help in obtaining information in the form of facts, people's attitudes, values, reported behavior and intentions (Orodho, 2009). This was an appropriate tool for data collection for the current study due to the fact that more detailed and in-depth information and spontaneous reactions from the respondents were obtained and it also facilitated and lend itself to clarification of unclear questions. Questions tailored to meet the stated objectives were asked. This method was appropriate because of its flexibility in obtaining information and opinions and its ability to elicit satisfying responses. It allowed verifications whenever necessary and it enabled the researcher to follow responses to the most satisfying end. It further afforded respondents the opportunity to be more detailed on certain issues thus making their responses quite complete and adequate. More detailed and in-depth information and spontaneous reactions from the respondents was obtained from respondents.

The researcher utilized the semi-structured interviews in order to obtain as much information as possible. Data was recorded by note taking during the interview.

3.4.1.2 Observation

The researcher also utilized the observation method to complement the interview method since this method is one of the prime data collection methods for naturalistic or fieldwork settings. The researcher chose this method because some exemplary situations can be meaningfully assessed, and understood only through observation. Situations that lend themselves to observation include : the gestures, facial expressions, etc. of the respondents as they responded to the questions and from their actions deductions can be made; the environment in which the records were stored; the equipment used to store the records, the working space for staff in the records office, the way services were provided, the way the staff interacted with the users of the records and the staff as they responded to enquiries or requests by clients.

This method enabled the researcher to collect the original data at the time it occurred without depending on reports by others thus improving the precision of the research results since the data collected was very accurate and verifiable; this method also facilitated the capturing of the whole event as it occurred in its natural environment since the participants seem to accept an observational intrusion better than they respond to questioning. This method was also less demanding of them and normally has less biasing effect on their behavior than does questioning. Additionally, it was also possible for the researcher to conduct disguised and unobtrusive observation much more easily than disguised questioning.

3.4.1.3 Documentary Review

Secondary data was collected from documented and published literature. The study involved review of documentary sources for example, reports (published and

unpublished), unpublished academic papers from renowned records management and quality services scholars and authorities. Other sources of literature were obtained from journal articles, district and national development plans, government and university publications and electronic media (Moi university website), Moi University Strategic Plan 2005-2015, Moi University Service Charter, 2009, Moi University Reports; and files. These were used to confirm complement the information that was provided through the interviews.

3.5 VALIDITY AND RELIABILITY OF RESEARCH INSTRUMENTS

3.5.1 Validity

Validity is the accuracy and meaningfulness of inference, which are based on the research results. Validity is the degree to which results obtained from the analysis of the data actually collected represent the phenomenon under study, (Creswell, 2003 and Millar, 2000). Validity, credibility and dependability was ensured through comparing the findings with the assumptions of the study, counter checking of the findings with the respondents in order to verify the correctness of the data collected (interviewer corroboration), reviewing of previous empirical studies and relevant literature on the subject from renowned records management and quality service scholars.

To ensure the validity of data the researcher carefully and cautiously chose the right sampling technique from the variant that were in existence. This is because the type of sample the researcher selects will greatly affect the reliability of the subsequent generalizations.

3.5.2 Reliability

According to Kothari (2004) reliability is the measure of the degree to which a researcher's instruments yield consistent results and data after several attempts, or repeated trials. Busha and Harter (1980) observe that reliability in research studies implies the stability, consistency and dependability of research methods, and instruments used, data collected and the results obtained after analysis. Reliability refers to the stability, accuracy, and precision of measurement. Reliability of the data collected was achieved through the utilization of similar interview schedules on different respondents in the same cadre. Several respondents were interviewed on similar aspects and the results compared during analysis to ensure they yield consistent results. The researcher also increased reliability while in the field through clearly explaining the questions that tended to be misunderstood.

3.5.3 Piloting and pre-testing of the Research Instruments

The researcher piloted in a bid to determine the feasibility of the study, the reliability of the instruments to see if they can work in an interview setting, and to detect any deficiencies in the instruments. Piloting further gave the researcher the orientation of the social environment where the investigation was to be conducted. It additionally helped to gauge whether the responses fulfilled the objectives of the investigator and all identified weaknesses were rectified. The interview schedules were pre-tested in order to determine their reliability and to test their effectiveness and appropriateness in tackling the phenomenon under study. Similarly, data from the secondary sources on the same topic

was also compared during analysis. A small population that was not part of the targeted respondents was used for this exercise.

The above sentiments are echoed by Mugenda (2003) who reiterates that the purpose of pre-testing research instruments is to ensure that, items in the instruments are stated clearly and have the same meaning to all the participants. Ngulube (2005) concurs by opining that “pre-testing questionnaire and interviews schedules is one of the tools that may be used for content validity”.

3.6 DATA ANALYSIS

Creswell (2003) opines that qualitative data analysis is the range of processes and procedures whereby the researcher will move from the qualitative data that have been collected into some form of explanation, understanding or interpretation of the people and situations being investigated. Data was analyzed using qualitative techniques owing to the fact that the study was qualitative in nature and it sought to measure information based on opinions, attitudes and values. Data was analyzed thematically by aligning the data collected to the objectives and research questions of the study with the aim of bringing order, structure and meaning to the mass of data collected. This is because the data collection method utilized resulted in voluminous and overwhelming information. Simple ways to collate, analyze and present information (tables and figures) have been used where applicable. Analysis was to a great extent guided by the study’s objectives and research questions. According to Terre Blanche, Durrheim and Painter (2006) the aim of data analysis is “to transform information or data into an answer to the original

research question”. Johnson and Christensen, (2004) concur that data analysis determines the meaning of the data collected.

This being a qualitative study, tables and figures were used in presentation of some study findings. Analyzing some data in tables made it easier for the researcher to interpret the data. The researcher thereafter gave meaning to the tables and charts used for data analysis.

3.7 ETHICAL ISSUES

According to Resnick (2007), ethics are norms for conduct that distinguish between acceptable and unacceptable behavior. The researcher paid attention to the system of ethical protections that was aimed at protecting better the rights of the research participants by ensuring that the respondents were not coerced into participating in the research but did so voluntarily. The researcher further ensured to protect the identity and privacy of the research participants through exercising confidentiality and anonymity of the participants. The researcher also ensured to honestly and objectively report the research findings and respect the intellectual property rights by acknowledging and properly citing the works utilized in the research study.

3.8 CHAPTER SUMMARY

The chapter has discussed the research methodology utilized for the study under the following subheadings research design, study population, sampling and sampling techniques, data collection methods and instruments, validity and reliability, data analysis and ethical issues and considerations. The data collection instruments were adequate and managed to elicit the information sought.

CHAPTER FOUR

DATA PRESENTATION, ANALYSIS AND INTERPRETATION

4.0 INTRODUCTION

This chapter deals presentation and analysis of the data collected in the course of the interview and it further interprets the findings of the study. Data collection was achieved through face to face interviews. Data presentation and analysis is aligned to the research objectives and research questions. Presentation of data is descriptive in nature but in a few examples tables and figure have been utilized.

4.1 BIODATA AND THE POUPLATION SAMPLE SIZE

4.1.1 Biodata of Respondents

This section provides information on some of the characteristics of the respondents in the study and this is summarized in Table 4.1 below.

Table 4.1 Biodata of Respondents

Category	Qualification	Number	Percentage
Management	Doctor of Philosophy Degree	5	18.1
Management (Finance Officer)	CPA K	1	3.1
Action Officers	Master of Philosophy Degree	6	18.7
Action Officers	Bachelors Degrees	2	6.02
Records system supervisors	Bachelors Degrees	1	3.1
Records system supervisors	Diplomas	4	12.5
Clerical Officers	Bachelors Degrees	3	9.3
Clerical Officers	Diplomas	2	6.2
Secretaries	Bachelors Degrees	4	12.5
Secretaries	Higher National/Ordinary Diplomas	5	15.6
Total		33	100.00

4.2.2 Population Sample Size

All the respondents were drawn from the main campus. These included the top management, the action officers, records system supervisors, clerical officers and the secretaries. The reason for not sampling the respondents from the other campuses is because the problems experienced at the main campus were replicated at all the other campuses and their records system were also not well established to be able to provide the much needed insight and perspective that would aid the study.

A total of 33 respondents were interviewed which included six (18.1) top management staff, eight (25%) action officers, five (15.6%) records system supervisors, five (15.6%) clerical officers, and nine (28.1%) secretaries as illustrated in table 4.2 above. Management included the Vice Chancellor's office; the Deputy Vice Chancellor's offices, (Research and Extension now Academic Research and Extension and Planning and Development now Administration, Planning and Development); the Chief Academic Officer's office (now Registrar Academic); the Chief Administrative officer's office (now Registrar Administration) and the Finance Officer's Office. The action officers included the Deputy Vice Chancellor's office (Research and Extension now Academic, Research and Extension), Deputy Vice Chancellor's office (Planning and Development now Administration, Planning and Development), recruitment, personnel, admissions, CACO's office (now Registrar Academic), CADO's office (now Registrar Administration), the Central services unit and Finance officer's office.

Following the enactment of the new university act the following offices have been restructured but the data is based on the old structure. The university now has four Deputy Vice Chancellors i.e.

- Deputy Vice Chancellor (Finance)
- Deputy Vice Chancellor (Academic, Research and Extension)
- Deputy Vice Chancellor (Student Affairs)
- Deputy Vice Chancellor (Administration, Planning and Development)

Additionally, the university has since restructured the posts of Chief Academic Officer and Chief Administrative Officer to include :

- Registrar (Academic)
- Registrar (Administration)
- Registrar (Planning and Resource Mobilization)

Table 4.2: Distribution of Respondents by Category (n=33)

Category	Number of Respondents	Percentage %
Management	6	18.1
Action Officers	8	25
Record System	5	15.6
Supervisors		
Clerical Officers	5	15.6
Secretaries	9	28.1
Total	33	100%

4.3 BUSINESS PROCESS ANALYSIS

This was the first objective of the study. It focused on the business process analysis of Moi University in order to ascertain the kind of activities the respondents were engaged in during their day to day work processes and the kind of records emanating from these activities. An understanding of these business activities was a pre-requisite since it would serve to establish the relationship between sound records management and quality service provision. The responses to the question of what business processes are carried out in the various units brought to the fore varied responses and they are discussed below.

The management staffs were interviewed on these processes and they divulge the following information.

4.3.1 Data from the Office of the Vice-Chancellor

The role of the Office of the Vice-Chancellor's office is to provide and demonstrate leadership, integrity and the highest standards of professionalism to the university community at large. It is also charged with the responsibility of providing high quality services through the Vice-Chancellor, to Council, the Top Management Team, Deans of Schools, and Directors of Institutes and other Central Service Units (CSUs).

These services include strategic and academic leadership, planning, policy development and compliance, risk management including the internal audit function, legislative awareness and compliance, the provision of management information and reporting and executive support.

The key functions of the Office included:

- Overall management of the academic and administrative affairs of the University;
- Coordination of strategic planning;
- Coordination of the activities of the various components of the University;
- Management of external relations at senior management level;
- Coordination and facilitation of the activities of the Council and its standing and ad hoc committees;
- Coordination of policy across the university, maintaining the currency of university policies and statutes and Provision of advice on University policies and procedures; and
- Maintain a repository of information and data on matters relating to governance and senior management bodies.

The records that emanate from these activities and those that facilitate the attainment of these business processes include the following:-

1. Files of the University's top management organs. These include: Files of the University Governing Board, i.e. Council and Senate; Files of the Deputy Vice Chancellors, i.e. Academic (Research and Extension) and Administrative (Planning and Development); Heads of units operating with a high degree of independence, e.g., Satellite campuses, Constituent colleges, School of medicine and School of Law, and Institutes, e.g. IHRD; Major academic and administrative committees, including the School Boards, Senate and Council.

2. Various reports of: Accreditation visits; Annual budgets and audits; Offices of admissions, institutional research, university relations, (i.e. public relations both on and off campus; Research projects, including grant records).
3. Records of: Departments, e.g., minutes, reports, course outlines, faculty vitae; retired, resigned, terminated, or deceased personnel the University employed;
4. Others : Almanacs; Collective Bargaining Agreements; Handbooks and manuals; The public officer and Ethics Act; MU Statutes; Moi University Act; Kenya Gazette supplement Acts; Moi University Publications; Moi University Policy documents, e.g. research and extension policy; Moi university Reports; Moi University Service charter; Moi University Strategic Plan; Work procedures, i.e. Moi University List of documented work procedures – university wide; Moi University Management work procedures; Moi University Calendar; and Moi University Newsletters.

4.3.2 Data from the Deputy Vice Chancellor’s Office (Research and Extension now DVC - Academic, Research and Extension)

The office is responsible for leading the implementation of the University's Learning and Teaching Strategy and has oversight of a number of Central Service Units. Reporting units include: Academic, Library, and Open and Distance Learning

The office has the overall responsibility to provide leadership and coordinate the activities of the division to ensure that the university meets her mission and vision.

The office is charged with the following responsibilities: -

- Has the overall responsibility of direction, organization and administration of research programmes in the University;
- Spearheads the development, review and implementation of appropriate research policies, procedures and programmes in conformity with ethical standards and legally recognized professional bodies;
- Coordinates and ensures effective and efficient delivery of quality academic, research and extension programmes, including planning of research and consultancy proposals;
- Coordination of academic workshops, conferences and seminars;
- Develops and controls the Academic divisional budget;
- Mobilization of and soliciting of financial support for research and community extension work from industry and other internal and external donor organizations;
- Establishing and Maintenance of academic partnerships, networking, research collaboration and linkages with both local and international institutions of higher learning, research institutions and industry in the areas of academic research;
- Promotion of information and knowledge dissemination about the university's research and related activities through publications and exhibitions;
- Ensures that the University Senate is properly advised in the development of research programmes;
- Ensures efficient and effective administration of scholarships to staff who are pursuing further studies;
- Management of all research grants, disbursement and distribution of these funds to staff who engaged in research.

Records emanating from these activities include: - Research and Extension policies; Conference proceedings; Research abstracts; Refereed journals; Moi University newsletters; Moi University Strategic Plans; Work procedures for the department and Moi University Brochures. The office also keeps various reports on: the number of staff awarded research grants; the number of staff awarded scholarships; the number of staff currently undertaking research in the University. Other records include, the Moi University Calendar; Directories of research institutions; Directories of institutions offering research grants; Policies documents governing granting of research grants; and most importantly, Institutions which the university has linkages with such as the Indiana University.

4.3.3 Data from the Deputy Vice Chancellor's Office (Planning and Development now DVC – Administration, Planning and Development)

The office is responsible for coordinating all planning and development functions in the University to facilitate a conducive environment for all stakeholders to achieve their goals and also to enable the University achieve its Mission and Objectives.

Specific duties and responsibilities included: -

- Providing leadership across the University, and externally, with respect to planning and Development issues;
- Evaluating the University current (operational) and strategic (future) plans to ensure they meet the vision, mission, objectives of the University;
- Preparation and coordination of Physical development (expansion of physical facilities), project planning and implementation;

- Academic and administrative staff projections and ensures they are in the establishment;
- Advising University Management and corporate budgeting, planning and investment matters;
- Advising as necessary, Council and the Vice-Chancellor, other senior colleagues, and relevant senior University committees on all aspects of planning, development and resource allocation, and more generally across a range of strategic issues, taking into account the national sphere in which the University operates;
- As head of that office, he chairs the University's Planning and Resource Allocation Committee (PRAC); and assumes such other responsibilities as may reasonably be required of him by the VC.

Records emanating from the above business activities include : - Strategic development plans; Human resource master development plan; Project planning and implementation plans; Budgetary planning and allocation documents per department; Minutes of the University's Planning and Resource Allocation Committee. Other records emanating from the office include, reports on, Monitoring and evaluation of the impact of planning development in the University; Corporate budgeting, planning and investment matters; and Academic and administrative staff projections reports

4.3.4 Data from the Chief Academic Officer Office (now Registrar Academic)

The office is responsible for developing and implementing both near-term and long-term plans for the academic division in the university. Additionally, it usually coordinates,

defines and communicates integrated plans for the growth and development in all academic areas.

Being part of the university top management Team, the office provides strategic vision, leadership, and administrative oversight for academic programs serving non-traditional students through online and other distance education modalities.

Duties and Responsibilities included:

The office exercises primary responsibility for the following areas:

- Supporting schools in implementation of flexible delivery through providing higher education opportunities through innovative online and open distance education modalities;
- Developing and implementing a multi-year strategic plan for academic programming within MU;
- Providing administrative oversight of MU academic programs, policies, and personnel through ensuring that all academic programs and policies reflect the vision and objectives of the university;
- Securing and maintaining accreditation (professional accreditation and/or certification) for MU programs, sites, and modalities in order to improve academic management in a dynamic and internationally competitive sector;
- Overseeing Educational Effectiveness efforts in MU, including establishing, and reviewing academic policies, (i.e. admission standards, grading policies), facilitating regular program reviewing and modification, and above all creating new program offerings and creative changes in curriculum programming,

processes, and procedures in order to enhance program standing and maintain compliance with academic policy and procedure;

- Developing an academic calendar as the official statement of MU programs and policies;
- In-charge of academic space management, infrastructure and maintenance issues in support of academic activities;
- Cooperating with Student Services, Institutional Resources, and other University departments to develop effective academic support systems, and excellent customer service.

Records emanating from these activities included : - Academic Policies on , Attendance i.e. percentage required, or Full term status (regular students) and half-term status, i.e. School based; Make-up exams, i.e., Supplementary or special; Withdrawal from the university occasioned by either suspension, expulsion, interuniversity transfer; Graduation requirements; Academic progress transcripts; Conduct and standards of behavior expected of students while on campus and off campus during official educational tours. Other records include, Policies on Disciplinary cases, i.e. Academic cheating/exam irregularities/stealing library books; Course description forms, that offer guidance on adding or dropping a course, or Interfaculty transfers; Duration of study i.e. for Certificate or Diploma holders, Engineering students, Medical students, etc.; Tuition fees, i.e. what percentage should a student pay to be eligible for admission; Appeal policies and procedures for appealing in case one is aggrieved; and credit transfer.

Other Records included, Joint Admissions Board Admission Criteria; Rules and Regulations Governing Academic Programmes and Fees – April 2009; Rules and Regulations for University Examinations – April 2009; University Statutes; Commission for Higher Education (CHE) Regulations; Rules and Regulations Governing the Conduct and Discipline of Students of MU– 2009; and the Academic Calendar.

4.3.5 Data from the Chief Administrative Officer’s Office (now Registrar – Administration)

The overall responsibility for the operation of university often falls on the shoulders of the chief administrative officer’s. It is one of the executive offices or top management of the university.

The office provides internal and external coordination, management, and oversight of all administrative activities related to the development and implementation of the mission and instructional goals of the university

It is additionally charged with the responsibility of setting goals for the university, appointment of staff, and deployment of administrative departmental heads, overseeing budgets and managing university resources.

Due to the wide range of responsibility that this office has, it often relies heavily on highly skilled staff to assist it in discharging its duties.

Specific duties and responsibilities included : -

- Responsible for implementing the strategic plan, ensuring that the plan is consistent with the university's overall mission and direction;
- Implementing the university service (charter) management philosophy, concepts and practices to ensure the highest possible delivery of service which is a prerequisite of ISO;
- Working closely with senior management on defining, documenting, implementing, and tracking university wide and departmental operating procedures and metrics;
- Partnering with other top management team and implementing strategic and operational strategies;
- Planning effective business operation strategies;
- Developing, designing and improving internal systems that create and deliver quality services;
- Approving expenditures, determining appropriate budget transfers.

Records emanating from/generated by these activities included: policy documents on : Personnel development and management; establishment control; recruitment, selection and appointment; confirmation of appointment; salary structures and administration per the cadre of staff as specified in the establishment; personnel audit and performance appraisal; Staff training and development; promotions, transfers and secondments; staff disciplinary and dismissal; grievance procedures for employees. Other records include policy documents on, separation from employment, e.g. termination, leave (annual, study leave, maternity leave, sabbatical leave, leave of absence or unpaid leave); staff

associations (UASU, UTENSU and KUDHEIA) governing the relationship between employer and employees; benefits including gratuity and pension, i.e. who is eligible and after how long; Financial resources disbursement per department. The office also maintains other records such as, work procedures, i.e. departmental; university Strategic plan; business operation strategy documents; University calendars.

4.3.6 Data from the Finance Officer's Office

The Finance office maintains all University books and accounts, receives and disburses funds, and handles all university financial transactions in accordance with the university financial regulations and national accounting standards.

Specific duties and responsibilities include: Providing the top management and council members with financial information as required; participating in the preparation and maintenance of the university's budget; implementing of financial policies and procedures; establishing and maintaining cash controls including virement of funds to departments that have overdrawn their departmental votes. The office is also charged with the responsibility of maintaining an inventory of tangible university assets for audit and tax purposes; monitoring cash reserves and investment; maintains good financial and business relationships with banking institutions; preparing and reconciling salary payment schedules; maintaining good corporate relationships with companies and suppliers doing business with the university. Additionally, the office establishes and maintains supplier accounts; processes supplier invoices; issue cheques for all accounts due; prepares, maintains and reconciles the general ledger; ensures transactions are

properly recorded and entered into the computerized system; prepares income statements and balance sheets; and handles collection of funds from income generating units (IGU's) of the university.

Records emanating from/generated by such activities included: Budget preparation records; financial policies and procedure records; general ledger records; cash reserves and investment records; bank statement records; supplier accounts records; supplier invoice records; records on the cheques that have been issued, (honored and those that have been cancelled); transactions records (internal between departments or individuals and the university or external between university suppliers or banks and the university); income statements; and balance sheets

4.3.7 Data from Action Officers

The action officers interviewed were drawn from the human resource (recruitment and personnel departments), admissions, Deputy Vice Chancellor's Office (Research and Extension now DVC - Academic, Research and Extension and Planning and Development now DVC - Administration, Planning and Development), Chief Academic officer's office (now Registrar Academic), Chief Administrative officer's office (now Registrar Administration), Central services (under whose docket the records systems falls). Their duties and responsibilities included the following: -

4.3.7.1 Data from the Human Resource Department (Recruitment)

This office is involved in the following business activities and undertakes the following human resource functions: -

Ensuring the identification and the selection of the right people to join the Moi University workforce in terms of helping the university top management to obtain, developing, utilizing evaluating, maintaining and retaining the right number and types of workers. In essence suitable to meet the MU HR's requirements

Duties and responsibilities included: - Human resource forecasting, planning, monitoring, personnel policy development and management; establishment control, i.e. recruiting according to the available positions in the establishment; reviewing human resources policies to ensure that they remain relevant. The other duties include, selection, recruitment and appointment of qualified and competent staff as per the establishment; deployment and induction of new members of staff to the various departments upon appointment; preparation of salary structures and administration, e.g. as per the cadre of staff in the establishment. The office is also in charge of human resources auditing to ensure the right placement of staff on the rightful scales in the rightful offices, (this is dictated by the qualifications and the various departmental requests and needs); preparing career paths for individual employees after attaining the required qualifications; determining training needs and ensuring they are met through education, training and staff development; and determining payment of salaries, wages and benefits including gratuity and pension with regard to the terms of employment, i.e. permanent or contract.

Records generated/emanating from these activities included: - Establishment control records including, staff lists, organizational charts, schemes of service, job classification schemes and a variety of reports and internal documents; recruitment records indicating the number of staff in each department per cadre, terms of service (permanent or

contract), year of employment and retirement, etc.; inventory of employee skills, i.e. available skills and deficient skills; employee selection and recruitment records (Copies of candidates' application forms, letters of appointment, acceptance letters, birth certificates or national identification cards or passports, evidence of qualifications and confirmation letters).

Other records emanating from this office included: work planning and scheduling records; wage and salary records (which are used by salaries to prepare the payroll); employee training and development records, i.e. the number of staff who are out on training and those that have completed; Statistical data relating to the employees by cadre records; deployment records, i.e. which staff is in what department; contracts and records of contract negotiations (in terms of number of years); training needs/skills assessments to facilitate funds for training per department; master personnel file and personnel records; and media (print and electronic) advertisements.

4.3.7.2 Data from the Personnel department

Personnel records document the contractual relationship between employer and employee and provide a history of the employee's career. The information held in these records is used to make a wide range of decisions, for example about promotion, transfer, termination or disciplinary action.

Data obtained from the personnel office revealed that it was involved in the following business activities : confirmation of appointment having completed the probationary period which is usually six months or one year depending on the cadre of staff; promotions, transfers and secondments; disciplinary proceedings and dismissal;

grievance procedures for aggrieved employees for one reason or another; and performance appraisal of staff which is meant to motivate the staff because they feel that their efforts are being recognized and rewarded. This office has additional responsibilities, i.e. separation from employment (through resignation, voluntary or compulsory retirement, redundancy (layoff), retirement on medical grounds, retrenchment, termination of non-pensionable employee (end of fixed term), dismissal for disciplinary reasons or unsatisfactory performance, death in service, other reasons); Staff associations (UASU, UTENSU which has since changed to KUSU, and KUDHEIA); approving and signing of leave forms (annual leave, sick leave, maternity/paternity leave, study leave, unpaid leave or leave of absence).

Records emanating from/generated by these activities included: - Employee Personal files; records of promotions, transfers and secondments; employee performance monitoring records (which indicate whether an employee has ever received a warning letter or has undergone disciplinary action); copies of records that document payroll changes after promotion; absence and lateness records therefore warranting disciplinary action; training reports (indicating the nature of training and duration of the same). Other records include, medical certificates; terms of service for each cadre of staff (permanent or contract or temporary); benefits policy as per the selected grades/cadres of employees; leave forms - annual, maternity, paternity, study and sickness (records pertaining to leave that affects terminal benefits like leave of absence or unpaid leave, or sick leave that extends over a period of six months then one is put on half pay).

Additional records included, requests for training or education, along with approvals or rejections, information about courses attended, post-training reports and certificates or other records of qualifications; records emanating from disciplinary proceedings and action against employees; employee relations (CBAs) records (UASU, UTENSU and KUDHEIA) and separation from employment records, for example, retirement, resignation or notice of termination decision to facilitate payment of any dues owed to the employee in case of retirement or separation from employment on medical grounds.

4.3.7.3 Data from the Action officer in Chief Academic Officer's office (now Registrar Academic)

This office prepares a calendar and procedures for students' orientation in order to acquaint new students to the University, its different Sections, University academic culture, programmes and social life. The procedure is usually done as a guide to introducing new students to the University during their first week of the semester at the University ('orientation week").

The officer addresses, presentations, and develops activities and a programme of orientation of new students and involves the following senior officers; Vice Chancellor; D.V.C (Research and Extension); D.V.C. (Planning and Development); Chief Academic Officer (CACO); Chief Administrative Officer (CADO); Dean of Students; University Librarian; Finance Officer; Deans/ Directors of Schools/Campuses/Institutes; Chairmen of departments; Schools/Campuses/Institutes administrative staff; Games Tutor; Students Counselor; Medical Officer; Director of Hostels/Catering; Chief Security Officer; Wardens; MMUSO Chairperson and University Chaplains

Records generated/emanating from these activities included: Admission Requirements Student Handbook detailing Undergraduate Admission Entry Requirements and University Graduate Admission Entry Requirements; Rules and Regulations Governing Academic Programmes and Fees, April 2010; Rules and Regulations for University Examinations, April 2010; University Statutes; Rules and Regulations Governing the Conduct and Discipline of Students of Moi University, 2009; Student rules and regulation; Schools/Departmental regulations; Library regulations; Hostel rules and regulations; University clinic medical requirements; Moi University Student guide (which can be accessed online); Moi University Student Organization Constitution – October 2009; Orientation programme; Clubs and organizations forms for those willing to be members.

4.3.7.4 Action Officer In- charge of Admissions

This office is charged with the responsibility of supervising the operations of the Career Services Office, oversees the HELB Funding Program and institutional effectiveness efforts, serves as the University's administrator with regard to space utilization, supervises the process of student evaluation of faculty and the University's faculty development programs, assists the CACO whenever necessary regarding such issues as students welfare and security while on campus.

The admissions office regulates the admission of qualified prospective students to University Programmes.

Duties and responsibilities of this officer included: - Assisting students during registration and advising them; Keeping an inventory of the students who deferred during any given academic year; Keeping a record of the number of students who withdrew from the university through suspension, expulsion or inter-university transfers; Maintaining a record of students disciplinary cases; Keeping an inventory of attendance of students in terms of regular of school based. The office is also charged with the following additional responsibilities which include; Keeping a record of the categories of students in terms of JAB or PSSP; Maintaining a record of the duration of study as some courses take a longer time than others e.g. medicine and engineering (very crucial because of HELB loan); and most importantly, Grievance redress. This is achieved through gathering of information, independently researching situations, analyzing, interpreting and compiling of findings to facilitate the preparation of reports, handling complaints or resolving problems. This is guided by the application of the necessary policies and procedures.

Records emanating from/generated by these activities included: - Student Registration forms; Deferment letters of students doing so for financial or medical reasons; Withdrawal – suspension, expulsion, interuniversity transfer; Interfaculty transfer forms; Course description/registration forms; Duration of study which is usually dictated by the kind of course one is pursuing, e.g. Certificate or Diploma holders, Engineering students, Medical students, etc.

They further generate the following records: copy of letter of admission which specifies the category of student, i.e. JAB or PSSP; Completed Personal Detail Form; Faculty handouts, timetable and other information documents, Media (print and electronic)

advertisements; Fees Structure per Academic Year/Semester; Inter –Faculty Transfer/Interuniversity Transfer Forms; Change of Mode of Study Forms, e.g. from regular to part time or vice versa; and Nominal rolls per Schools in the University.

4.3.7.5 Data from Action officer from DVC’s Office (Research and Extension now DVC – Academic, Research and Extension)

- This office coordinates externally funded research and scholarly activities throughout the University.
- Initiates and conducts quarterly meetings with university Liaison Officers for Research to discuss University policies and procedures affecting contracts and grants, and internal review of proposals, grants and contracts.
- Maintains academic and research profiles of schools to match interests with funding agencies, and responds to administrative and faculty inquiries for research support.
- The office is responsible for administering and implementing the policies applicable to the Graduate Students.

Records generated by/emanating from these activities included: -

- Minutes of meetings with university Liaison Officers for Research pertaining to university policies and procedures affecting contracts and grants,
- Approved budgets for activation of research projects conducted by the school.
- Policy records applicable to the Graduate Students.
- Records pertaining to the minimum standards expected of graduate work in the University
- Records that coordinate the graduate programs of the various MU constituent

- Granting of fellowships, and scholarships and indicating whether partial or full
- Records pertaining to the number of students granted scholarships per school and at what level of study, i.e. at masters or doctorate levels

4.3.7.6 Data from the Action officer Chief Administrative officer's office (now Registrar Administration)

Specific duties and responsibilities included: Supporting the CADO in a variety of policy, planning and operational matters; Solving emerging minor issues that the secretary of CADO refers to the office leaving the complex issues for CADO himself. In the officer's capacity as the in charge of the office, sits at meetings at lower level as a representative of CADO. The officer is the eyes and ears of CADO within and outside the university always informing him on issues relating to staff discontent and hence prepares CADO in advance for any eventualities.

Records generated by these activities included: - Copies of Policy documents on: - Staff selection and recruitment by cadre; terms of service by each cadre of staff; terminal benefits of staff by cadre; conduct of staff while within the university precincts; separation from service by termination, resignation, retirement or death in service; payment of terminal benefits; compensation during injury while at work or death while in the line of duty and staff welfare with regard to health (medical scheme).

4.3.7.7 Data from Action officer in charge of Central services

This office is responsible for the management of services and processes that support the core business of MU. The office further ensures that the University has the most suitable working environment for its employees and their activities. Additionally, the office generally focuses on using best business practice to improve efficiency, by reducing operating costs while increasing productivity.

The office is involved in both strategic planning and day-to-day operations, particularly in relation to buildings and premises.

Areas of responsibility included: Procurement and contract management; Building and grounds maintenance; Cleaning; Catering; Health and safety; Security; Utilities and communications infrastructure;

Typical duties and responsibilities included: -

- Preparing documents to put out tenders for contractors;
- Investigating availability and suitability of options for new premises;
- Calculating and comparing costs for required goods or services to achieve maximum value for money;
- Liaising with tenants of commercial properties;
- Directing and planning essential central services such as reception, security, maintenance, mail, archiving, records systems, cleaning, catering, waste disposal and recycling;
- Ensuring the building meets health and safety requirements;
- Planning best allocation and utilization of space and resources for new buildings, or re-organizing current premises;

- Checking that agreed work by staff or contractors has been completed satisfactorily and following up on any deficiencies;
- Responding appropriately to emergencies or urgent issues as they arise.

Records emanating from these activities included:-

- Internal memos from departments requesting for renovations, maintenance, of buildings and premises, etc.
- Documents for Tenders and contractors
- Letters of invitation and acceptance for tenders
- Records stipulating conditions for the tendering process
- Media advertisements for tenders
- Internal Memos from academic departments requesting for space to be allocated within the university for lectures or examinations
- Letters requesting the lease of external premises for the university use
- Reports on the availability and suitability of new premises
- Contracts and agreements signed with tenants of commercial properties
- Contracts and agreements with outsourced university services
- Memos/Letters authorizing inspection of premises of the proposed Campus/Satellite Campus
- Inspection Committee report with regard to facilities for learning such as classrooms/lecture halls/seminar/tutorial ; office space to accommodate staff; laboratories, workshops and studios for courses requiring them as part of instruction facilities; adequate and suitable amenities and infrastructure installed

in accordance with the building code and Commission for Higher Education standards

- Handbook on processes for Quality Assurance in Higher Education.

4.3.8 Data from Records system Supervisors

The supervisors interviewed were drawn from the five records systems namely, personnel, recruitment, mail, students and the medical records systems. The information they gave was similar and that is why they are all lumped together as one entity, the reason being that the data would be repetitive. They are charged with the responsibility of providing an efficient and effective central registry support service for the university and they are directly responsible to the senior administrative officer in charge of central services under which the records system falls. They also supervise the staff in the records systems and oversee the general and smooth running and operations of the record systems. Additionally they ensure that the work procedures are adhered to by the staff in carrying out their duties as a prerequisite of ISO and also maintain the departments' central filing system, including the preparation of new files, maintain supporting index systems, retrieval of information, review of information kept and destruction of files in accordance with current requirements. Other responsibilities include maintaining the division's administrative documents indexing system ensuring effective retrieval of information, and accuracy of recording systems; preparing and assisting with the sealing and recording of official documents for distribution; ensuring that all files and administrative documents are checked in and out of the system in accordance with

current procedures and ensuring the filing of documentation is undertaken on a frequent basis.

4.3.9 Data from the Clerical officers

The clerical officers interviewed were drawn from the admissions, personnel, recruitment and medical records systems. They were involved in the following activities: -

4.3.9.1 Clerical officer In-charge of Students records

Data obtained from the student's records office indicated that was involved in the following activities: -

His major role was to ensure the efficient management of the Student Registry through the opening of students' records in form of files and student e-records, their continuous updating, control of student file movement and facilitation of communication between the university and individual students. The specific activities were :

1. Daily Maintenance of Student Records. This activity involved: -

- Opening of students records. The clerical officer receives the nominal role of registered students and copies of letters of admission from the admissions clerical officer and opens files immediately.
- Updating of student records with documents received via the post or on day of registration and creates an efficient storage and system of retrieval of files by active file cabinets and closed files (upon completion of program and submission of clearance form).

- Establishing of an efficient system of dispatch and receipt of communication between the university and students and oversees the movement of student files as relates to internal or external communication that needs action by officers of the university.
 - Establishing an efficient system of file dispatch, monitoring file movement and file traceability and carries out a regular inventory of files in his custody.
2. Furnish the University with information on the status of students on the following matters: -

- Students on deferment
 - Re-admission cases
 - Inter-faculty/departmental transfer cases
 - Change of mode of study cases
 - Termination/Withdrawal from the University cases, e.g. students discontinued on academic grounds, students suspended or expelled on disciplinary grounds, interuniversity transfer cases
3. Confirming the identity and status of bona fide students registered in the university in a semester of an academic year

The information sought included: -

- Official Names
 - Registration Number
 - School/Department
 - Year of Completion of studies, etc.
4. Clearance from the University. This involves:

- Issuing final year the students and those withdrawing from the university for one reason or another with clearance forms which should be completed in triplicate
- Document the collection of MU certificates after graduation. This documentation is filed in the student file and it marks the last official folio document before the student file is officially closed.

Records emanating from/generated by these activities included: -

Those pertaining to the above enumerated activities including an Inventory of students per school and per department during any given academic year; Course registration forms per Department; Records pertaining to students on academic leave and deferment, Re-admission cases, e.g. those who had differed; Inventory of students on suspension; Students discontinued on academic grounds; Students expelled on disciplinary grounds; Inter-faculty/departmental transfer cases; Deceased student cases; HELB Loans forms; Moi University Student Clearance Certificate; two copies of KCSE certificate and identification (national ID card or copy of birth certificate, Admission Letters; Students Work Study Forms, etc.

4.3.9.2 Clerical officer, Personnel

Data obtained from the personnel records system revealed that the clerical officer carried out the following activities:- Receiving new consignment of records from the creating offices; Organizing of these records by accessioning them and assigning them specific identification numbers to facilitate their retrieval and replacement on the shelves upon return. The office was also responsible for: Receiving of records requests from the creating or action offices; retrieving the records from the shelves; Preparing of records to

be released for consultation purposes to the requesting office; and Issuing or releasing records to creating or action offices on request for consultation or reference purposes. Additional duties included, Controlling or tracking the movement of records in order to ascertain in which office they are at all times and to ensure that they are channeled to the right office that requested for them; Receiving returned records and replacing them back on the shelves.

In executing their duties at all times the clerical officers were expected to: - Adhere to existing working practices and procedures, undertake relevant training and development activities; maintain confidentiality and observe data protection and associated guidelines where appropriate; and lastly but not least understand and comply with the universities service charter policies on service delivery.

Records emanating from/generated by these activities included: - Personal files of all the staff in the service of Moi University; records of staff who proceeded for studies locally and internationally; records appertaining to the nature of leave any one staff has been granted during the year; clearance forms for staff who wanted to clear from the university; record of staff who are no longer in the service of the university and are yet to clear (retired/resigned or deceased); and record of staff whose services were terminated for one reason or another.

4.3.9.3 Data received from the clerical officer, Recruitment

This office performed similar activities as those of the personnel records office and additional duties which included:- Receiving application letters from applicants of job advertisement; filing of these letters in preparation for their being acted upon; listing the

number of applicants per post, dispatching of letters of invitation for interviews to the mail records system for their dispatch; and dispatching of appointment letters for successful candidates to join the service of MU to the mail records system for their dispatch also.

Records generated by these activities included:- Media advertisement for external candidates; Internal memos for internal candidates; invitation letters for interviews; copies of appointment letters to successful candidates; and records of staff in the university by cadre and department.

4.3.9.4 Data from the Clerical Officer, Mail records system

Under the overall supervision of the Central services Administration the officer provides the university with daily clerical work within the mail Registry Unit: -

Specific Duties included the following: -

Collecting and delivering mail/faxes within the university offices; delivering and collecting mail from MU campuses and colleges situated off-campus; preparing outgoing material received from the various offices for dispatch; filing of documentation on the various items dispatched in what quantities and to what destinations, date of dispatch, who authorized and who dispatched, who received, etc. Additional activities that this office was engaged in included, sorting, organizing and arranging the office records under the guidance of the records system supervisor; maintaining and updating the university contact database for all suppliers, agencies and individuals, paying special attention to ensuring the accuracy of the database and timely inclusion of new addresses and contacts

over time. The office was also involved in, maintaining close contact with courier agencies (international and local) in order to develop most efficient, cost effective, and speedy delivery of MU Mails and services; and liaising with the offices within the university to ensure the smooth flow of information and communication within the university (internal communication) and external communication.

Records generated from these activities included: the university contact database for all suppliers, agencies and individuals; Courier agency records (national and international); delivery services records, i.e. documentation on the various items dispatched in what quantities and to what destinations, date of dispatch, who authorized and who dispatched, who received; dispatch letters;

4.3.9.5 Data from the Medical records system

Data from the Medical record system indicated the staff were involved in the following activities:-

Opening files for new patients (staff members and students) attending the medical facility; organizing and maintaining files of patients and ensure that the place looks tidy at all times; ensuring the security of medical records to ensure that confidentiality is maintained. Further duties included, retrieving patient medical records for physicians, laboratory technicians, or other medical personnel; shelving the records back at the respective locations upon their return from the medical personnel after the patient has been treated; providing the medical practitioner with referral forms for patients requiring specialized treatment and processing patient admission documents for those in critical condition.

Records emanating from these business processes included:- Personal files for staff and students; sick leave records; referral forms to university approved doctors/ specialists/ for specialized treatment; treatment cards indicating the medical history records of staff and dependants and students; dispensed Prescription records; medical claim refund forms. Further records included daily patient tally sheets, i.e. indicating the number of patients attended to, the kind of ailment; guidelines for individual tests; and work tickets that are normally used by ambulance drivers

4.3.10 Data from the Secretaries

The secretaries interviewed in the study were drawn from: the Vice Chancellor's office, the Deputy Vice Chancellors' (Research and Extension now DVC - Academic, Research and Extension and Planning and Development now DVC – Administration, Planning and Development) offices, the Chief Academic (now Registrar Academic)'s office and Chief Administration (now Registrar Administrator's) office, the Personnel and recruitment offices, Admissions office and the medical records system office.

With regard to their duties and responsibilities, they included the following:-

4.3.10.1 Data from the Vice Chancellor's Secretary

The findings of the study revealed that she was involved in the following activities:- Responsible for the day-to-day operations of the office, and provides full support to the VC.; assisting with the logistics and organization of the top management and Council meetings and any other meetings of which the vice chancellor is chairman; and managing all correspondence directed to other University Management, Council, Senate or

university staff in general. Additional responsibilities included, ensuring the efficient management of the calendar and appointment scheduling of the Vice Chancellor (diary of the VC); managing and coordinating the logistics for visitors; and coordinating domestic and international travel arrangements for the Vice Chancellor.

Records emanating from these activities included:- Minutes of meetings held in the vice chancellor's office or those which the vice chancellor chairs; Diary of the VC's activities for the day, week and month; Appointment schedules for visitors to see the VC.; Memos, i.e. internal communication from the VC to the university offices and external communication from the VC's office to university stakeholders and vice versa.

4.3.10.2 Data from the Secretary to the Deputy Vice-Chancellor (Research and Extension now DVC – Academic, Research and Extension)

The main responsibility of this office is to contribute to the smooth operation and running of the Office of the deputy Vice-Chancellor from the organization of meetings and functions, through to correspondence, diary management, minute taking and general office administration.

Duties and Responsibilities included:- diary management; preparing and managing correspondence, reports and documents; organizing and coordinating meetings, conferences, travel arrangements for the DVC; taking, typing and distributing minutes of meetings chaired by the DVC. Other duties the office is charged with include, implementing and maintaining office systems; maintaining schedules and calendars of events, e.g. conferences, workshops, etc.; appointment setting and confirmation;

organizing internal and external events, e.g. conferences held within or outside the main campus (at Sirikwa Hotel); handling incoming mail and other material. Other activities that the office was engaged included setting up and maintaining filing systems; liaising with internal and external contacts; coordinating the flow of information both internally and externally; and management and coordination of all travel plans and arrangements for the DVC.

Records emanating from these activities included:- Diary of events; correspondence; reports and documents; work procedures for the department; Index to the documents in the office; schedules and calendars of events; inventory of appointments. Additional records included, memos for organization of internal events and letters for organization of external events; minutes of meetings; petty cash vouchers; and airline reservations and hotel bookings for the DVC.

4.3.10.3 Data from the Secretary to the Deputy Vice Chancellor (Planning and Development now DVC – Administration, Planning and Development)

The office has the functional responsibility of managing the flow of work, i.e. allocating of duties to the office assistant in the DVC's office to ensure a co-coordinated approach to administrative programs

Specific duties and responsibilities included:- Ensuring the smooth management of all administration and processes in the office and providing one to one support to the DVC allowing for the most effective management of the DVC's time and resources; coordinating and purchasing of office supplies ensuring costs are tracked and budgets

managed. Additionally, the office was engaged in filing and document management for all electronic and hard copy documents ensuring data integrity and that relevant information is on hand when required; diary management and appointment setting, ensuring the DVC has all required material and that his time is managed efficiently and effectively. More duties included managing and coordinating of all travel plans the DVC including itinerary planning and visa coordination as appropriate to ensure university travel policies and budgets are adhered to; taking minutes of meetings taken in the office of the DVC.

Records emanating from these activities included:- Receipts of office supplies; petty cash vouchers; copies of imprests accounted for; minutes of meetings; official e-mails directed to the DVC; correspondence (internal and external); travel documents; diary of events; work procedures for the department and an inventory of appointments.

4.3.10.4 Data from the Secretary CACO (now Registrar Academic)

The secretary's office from the Chief Academic's office (Registrar Academic) is involved in the following activities:-

Providing administrative and secretarial support to schools and administrative staff, including special projects, office work flow, academic support, appointments, correspondence, manuscripts, budgets, data compilation and records control. Performs duties of a sensitive and confidential nature.

Duties and Responsibilities of the office included:- Organizing and scheduling meetings for CACO (Registrar Academic) and to informing CACO (Registrar Academic) and

stakeholders about the meeting and its agenda; diary management, i.e. keeping a record of appointments and seeing to it that each one is conducted on time; coordinating activities related to graduate courses and/or degree programs. Further duties involved maintaining calendar, scheduling appointments and meeting rooms; making travel and accommodation arrangements for CACO (Registrar Academic); maintaining records through filing, retrieval, retention, storage, compilation, coding, updating and destruction; transcribing correspondence from dictation and answering the telephone, screening callers, relaying messages, receiving and ushering visitors into the CACO's (Registrar Academic)' office.

Records emanating from /generated by these activities included:- Diary of the CACO's (Registrar Academic's) appointments on a daily, weekly or monthly basis; Internal memos (internal communication within the university); copies of letters to stakeholders of the university, i.e. external communication; record of CACO's (Registrar Academic's) travel plans, airline and hotel reservations; minutes of meetings of which CACO (Registrar Academic) chairs or attends; work procedures; petty cash vouchers and office expenditure records

4.3.10.5 Data from the Secretary of the Chief Administrative Officer (now Registrar Administration)

The office performed the following activities : - Keeping a diary of the daily events of the CADO (Registrar Administration); arranging a suitable venue for the meeting (taking into consideration physically challenged access), reminding him of the meetings to attend and the time; helping set the agenda with the him as Chairperson; typing, copying and

distributing the agenda and Minutes – one week prior to the meeting; keeping a complete, up to date set of minutes; making sure that the Chairperson is supplied with all necessary papers and information relevant to the meeting.

Additional responsibilities of the office included, keeping an accurate filing system of such correspondence; typing of directives from the CADO's (Registrar Administration) office and ensuring they are circulated to each and every concerned department; keeping of records which CADO (Registrar Administration) utilizes on a day to day basis or frequently to perform his administrative duties and responsibilities; taking care of CADO's (Registrar Administration) travel plans by ensuring that his per diem is prepared in time for him to travel and making hotel reservations for him.

Records generated/emanating from these activities included:- Minutes of meetings; diary of events; policy documents on recruitment; terms of service policy documents by staff cadre; copies of imprest forms accounted for; petty cash vouchers; inventory of the number of visitors to the office (internal and external) and internal memos

4.3.10.6 Data from Secretary from admissions

The findings of the study revealed that duties and responsibilities included:-

Ensuring the smooth operations of the admissions office; taking of minutes at meetings and distributing these to those concerned; communicating with stakeholders of the university regularly. The office also receives visitors, attends to their every need and refers the difficult cases to the relevant authorities; acts as liaison to off-campus organizations and individuals; handles angry, upset or difficult parents, and students. The office additionally handles highly sensitive, confidential, and/or academic and

disciplinary issues and is charged with safeguarding information accordingly; schedules meetings for the action officer in charge of admissions; maintains office records and databases and coordinates office issues with action officer.

Records emanating from/generated by these activities included: - Diary of events for the office for the semester and academic year; inventory of the number of visitors to the office; minutes of meetings; annual reports for the department; internal memos; letters for external communication with the stakeholders; copies of imprest forms accounted for; and office expenditure records

4.3.10.7 Data from the Secretary from recruitment office

The findings of the study revealed that specific duties and responsibilities of the office included:- Preparing of appointment letters to successful candidates and dispatching these letters to the mails office in readiness for dispatch to the various destinations; renewal of contracts; preparation of gratuity for staff on contract; preparation of promotion letters for employees, preparation of deployment letters to the various departments; processing of letters for part time lecturers.

Records generated by these activities included: - Minutes of meetings of the number of staff who have been appointed to the service of MU per cadre; minutes approving renewal of contracts; minutes granting of gratuity for staff on contract; copies of promotion letters of staff; letters of deployment/assignment of new members of staff; approval for sponsorship letters indicating the nature of sponsorship whether partial or full; internal memos; letters (external communication); annual reports; petty cash vouchers.

4.3.10.8 Data from the Secretary from personnel

The study revealed that the duties and responsibilities of this office included:-

Preparation of staff transfer letters; preparation of termination from employment letters; preparation of resignation letters; confirmation of appointment having completed the probation period as specified in the letter of appointment. Additional duties included, performance appraisal; preparation of introduction letters to the various MU approved hospitals to facilitate the admission of staff who have referred from the MU health unit, preparation of discharge letters to the said hospitals showing the universities commitment in taking care of the hospital charges for the in-patients (who are staff of MU and their dependants).

Records emanating from these activities included:- Redeployment/reassignment or transfer letters; records of the number of staff who have resigned; confirmation letters in post; records of the number of people who have been terminated from the service of Moi University; performance appraisal forms as per the departments; letters of study leave for staff and the destinations of study either local or international; records pertaining to the amount of money that the university has spent on staff health care in terms of in-patient and out-patient during a given financial year; records pertaining to the number of disciplinary cases the university has handled during a given financial year; Annual reports; copies of imprests accounted for.

4.3.10.9 Data from the Secretary from the Health Unit

Duties and responsibilities included:- Answering telephones, and directing calls to appropriate staff; receive visitors, ascertain purpose of visit, and direct them to appropriate staff; performing various clerical and administrative functions such as ordering and maintaining an inventory of supplies; arranging hospital admissions for patients; transcribing recorded messages and practitioners diagnoses and recommendations into patients' medical records; and maintaining medical records and correspondence files.

Records generated by these activities included: - Duly completed Entrance Medical Form for students and staff from a public health facility; a completed Personal Detail Form; medical consultation records; case histories and medical records; laboratory results; inventory of supplies records; admission records/forms; billing receipts/invoices; memos, i.e. internal communication from the health services to the university or individual staffs, letters, i.e. external communication from the health services to the university approved health care providers/hospitals of specialists and vice versa and petty cash vouchers

4.3.11 Discussion of the research findings

An analysis of the business processes presented by the respondents brought to the fore the fact that out of the 32 respondents interviewed 5 of the respondents (15.62%) were involved in strategic roles but these roles were aligned to the universities core business activities, 8 of the respondents (25%) were directly involved in the university's core

business activities and the remaining 19 of the respondents (59.37%) were involved in support activities.

The findings revealed that majority of the activities undertaken by the respondents involved in the study were core business processes/activities of the university which include teaching, research, extension and community outreach, and administration. And for those that were not core they were business processes that supported and complemented the core business activities. The secretaries to those who were directly involved in the university business processes actively supported their bosses to carry out their business processes and the clerical officers passively did so through the provision of records from the records systems to the management and action officers.

The significance of these findings is an indicator of the importance of records management in achievement of the business processes and university services, which further reaffirms the role of sound record management in quality service provision. Each of these business activities generates records or requires records to be accomplished successfully. These records have to be effectively and efficiently managed to ensure their usability currently and into the future in order to carry out the business activities of the creating department and realize the achievement of quality service provision.

Records provide evidence of business activity and transactions, that is, what the University has done. Like the University's other key resources (staff, finance, infrastructure and intellectual property) records are critical for the University to conduct business now and in the future. The study deduced from the above discussion that a transparent and a reliable records system at Moi University is a basis for data integrity to

support financial management, human resource management, Moi University assets, health management, access to information as per the Freedom of Information Act, protection of rights and entitlements, support teaching and research, and services to students and staff of the University.

4.4 Legislative Instruments, regulatory infrastructure

The study sought to find out if there were any legislative instruments, regulatory infrastructure, university wide policies and programs in place to ensure the efficient management of records for enhanced service provision.

4.4.1 Data from Management

The management said an official documented records management policy was nonexistent but there existed guidelines that were used to manage the records. These guidelines were sufficient for the moment and they served their purpose. They promised to put proper guidelines in place as is a prerequisite of ISO. They also utilized the ISO standards to guide them in the management of the institution's records. These guidelines included:-

- Policy documents
- ISO standards
- Work procedural manuals at departmental and university wide levels
- Quality manuals

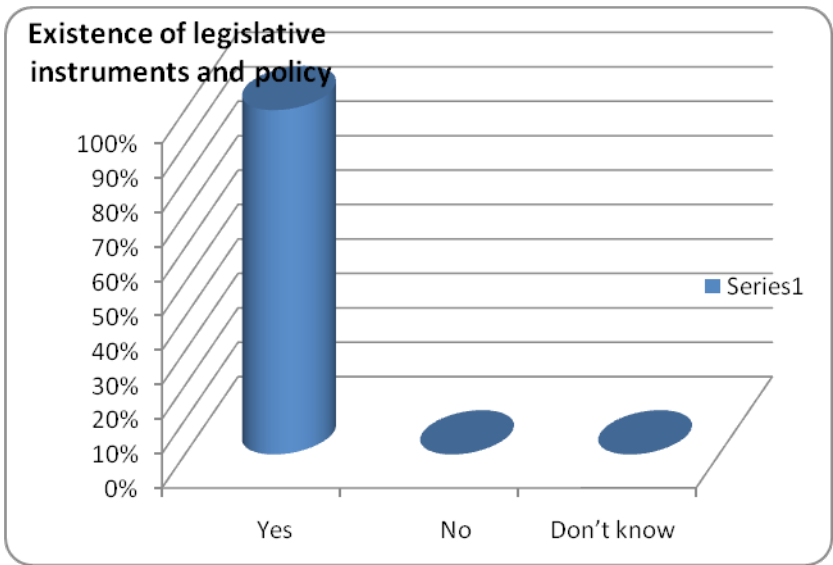


Figure 4.1 Responses of Management on existence of legislative instruments and policy (n=6)

4.4.2 Data from Action officers

The five action officers interviewed were drawn from recruitment, personnel, admissions, CACO’s (Registrar Academic) office school and Central services. The findings of the table indicate that 4 (80%) out of the five respondents were aware of the existence of policy. The other 1 (20%) out of the five respondents indicated that they had no idea of its existence. The study deduced that most of the action officers were at least aware that these documents existed though they were not fully operational but there were some guidelines that were enforced in-house to guide the management and access of the records.

The programs in place included: -

- Policies at departmental and university wide levels;

- Standards which had been enforced by the ISO certification to be adhered to in the management of records;
- Quality checks and balances which is usually enforced by internally by internal auditors and externally by external auditors to eliminate any laxity of departments at maintaining and adhering to these quality standards;
- Work procedures at departmental level which have equally been enforced by ISO;
- Work procedures at university wide level from which the departments work procedures were derived;
- Documentation of every activity undertaken in each department as a requirement of ISO standards;
- Agreements on the acquisition/receipt of records from the creating offices to the records system;
- Agreements on the disposition of records that are no longer being actively used in the offices to the records system.

The findings above are further illustrated in figure 4.2 below

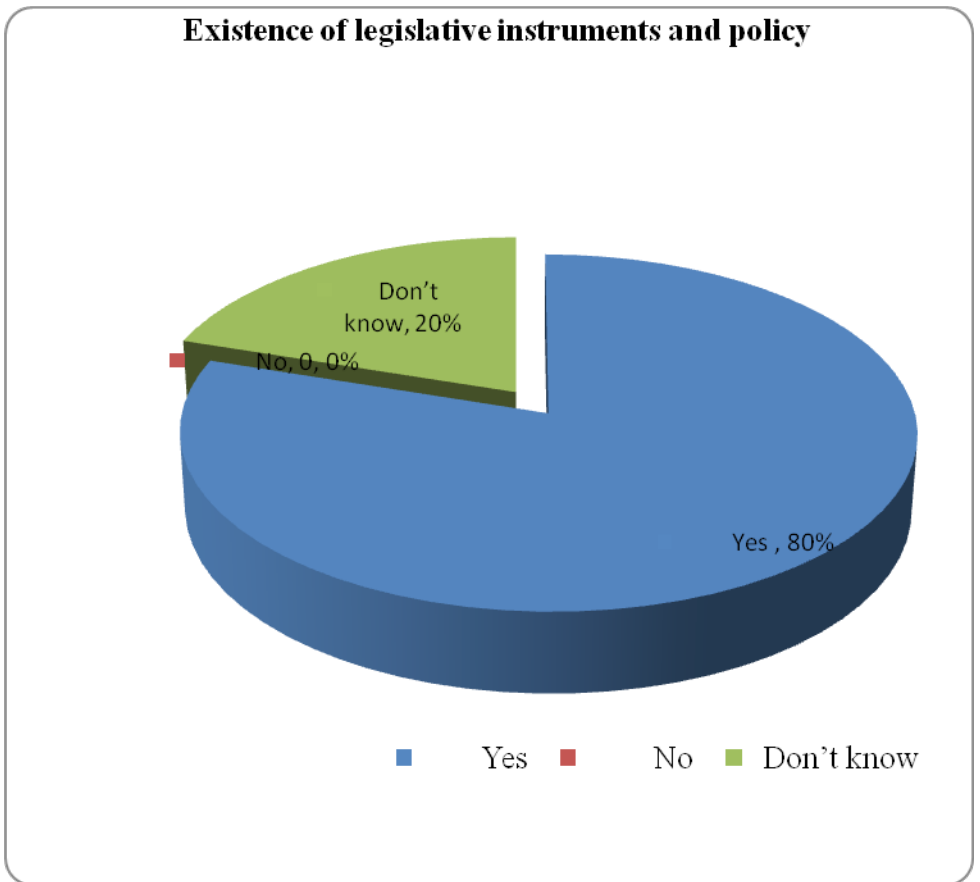


Figure 4.2 Responses of Action officers on existence of legislative instruments and policy (n=5)

4.4.3 Data from records system supervisors

The findings of the study revealed that only 1 (20%) out of the five records system supervisors was aware of the existence of some guidelines in the management of records and vaguely so. The study deduced that most of these supervisors were either ignorant or were not simply interested in finding out if the legislative instruments and policies existed or the policies were not spelt out in black and white. The study concluded from these findings that either the legislation or policies were verbal or just on paper and not really operational or functional. The findings also revealed that most of these records

system supervisors had no formal training in records management and these could explain the reason as to why they were not so keen on these very important tools that offer guidance in the management of records throughout their continuum. This is illustrated in table 4.3 below.

Table 4.3 Response from records system supervisors on existence of legislative instruments and policy (n=5)

Types of Response	Frequency (f)	Percentage %
Yes	1	20
No	2	40
Don't know	2	40
Total	5	100

4.4.4 Data from clerical officers

The figure above shows that 1 (20%) out of the five respondents indicated that they were aware of the existence of legislation and policy on rm. Another 1 (20%) out of the five respondents was not aware of the existence of policy while the remaining three (60%) respondents did not know whether the policy existed or not. The study deduced that most of the clerical officers were not aware of the existence of this important guideline. This is alarming since they are the people who manage the records during their continuum on a day to day basis and the fact that they did not know of the existence of this document is an indicator of poorly managed records since they just managed them with no guideline to follow. This serves to prove the reason as to why the records system is choking with records under its weight and is congested since they do not know what to keep and what

to discard, when to appraise records and dispose those that require to be disposed and so on.

The findings are illustrated in figure 4.3 below.

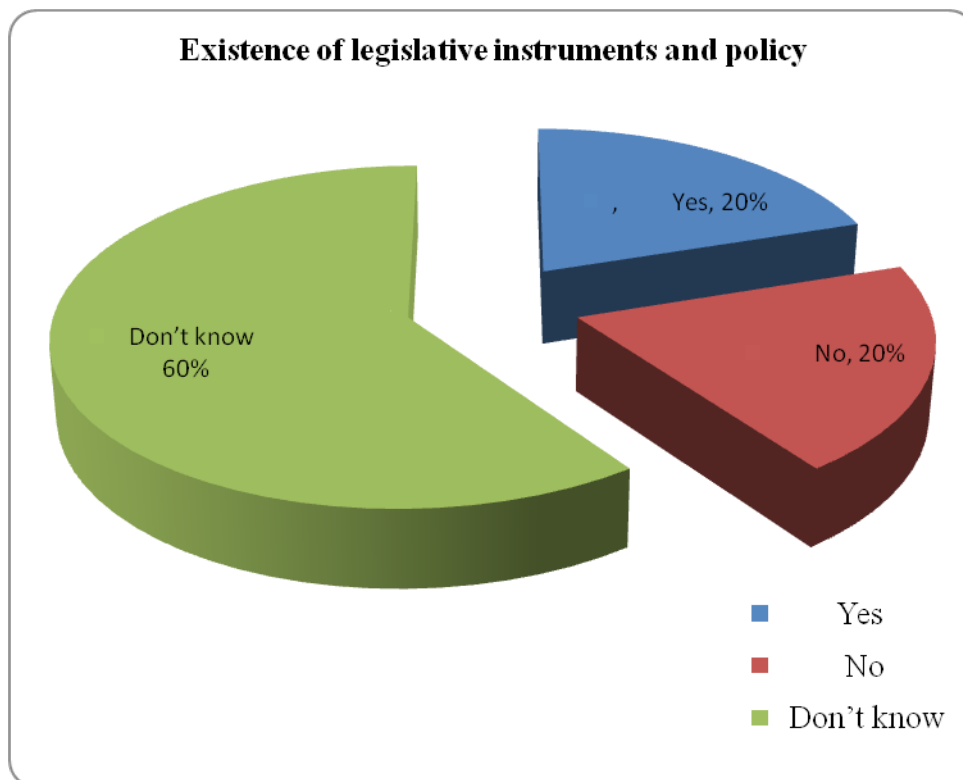


Figure 4.3 Response of clerical officers on existence of legislative instruments and policy (n=5)

4.5 State of Current Records Management Practices and how this impacted on the Services provided

The study sought to find out the current state of records management and how this impacted on quality service provision. The findings of the study revealed that MU has a decentralized system of managing records with no central authority responsible for the records management function. A distributed records management strategy ensures that records are accessible over time by letting them be maintained in the offices that create or

manage them. The records that are created by the University's constituent department are kept and managed by the creating units. This means that both faculty and school offices manage the records they create or receive in the conduct of the business of the University. Within a school or faculty, the records are centrally managed under the school administrator who has overall responsibility for the records of his or her unit. While there are no standard structures, at times records management responsibilities are delegated to administrative officers who often have responsibility for a sector of the records, such as student records or finance and administration records. The records in the administrative arm of the university are managed by the secretaries and the administrative officers in these offices.

Mullon (2004) opines that records management helps to “reduce operational costs, save space, eliminate data duplication and clutter by ensuring that only needed information is stored”. Marutha and Ngulube (2010) argue that centralization of records management activities and preservation ensures that government bodies comply with the principle of value for money by avoiding duplication of efforts. This is because it saves a lot of time and energy for different organizational offices to do similar things at the same time. They summarize the above with a quote that says “Time is money in any organization”.

The findings of the study revealed that records management was not however managed in a professional manner and the respondents were quick to defend themselves. They attributed the poor state of records management to the various challenges they encountered in trying to ensure this vital organizational resource was properly managed.

The challenges are encountered in the management of records are summarized in figure 4.4 below:-

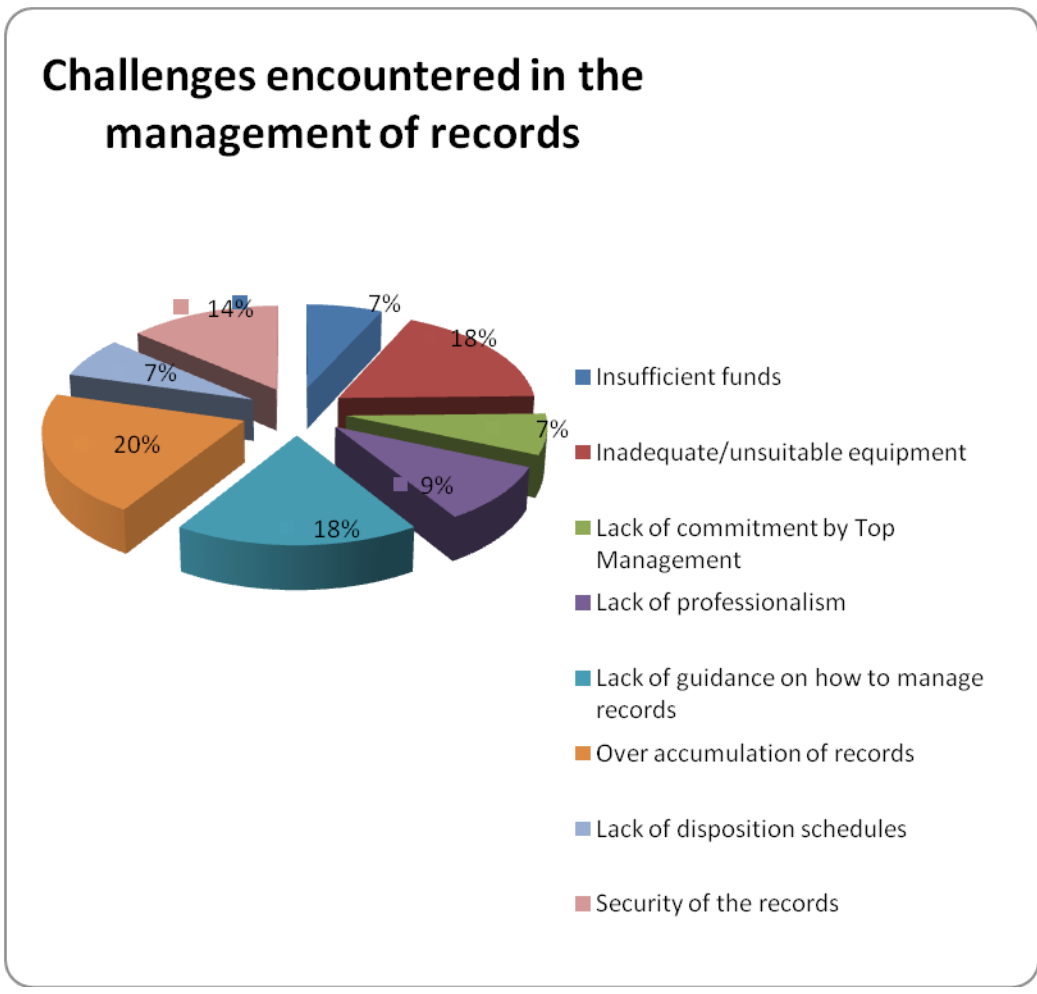


Figure 4.4 Responses of staff on the challenges encountered in the management of records (n=19)

4.5.1 Data from Records system supervisors

Data collected from the records system supervisors indicated that MU operates a centralized registry system where all records of the organization are stored. The findings

also revealed that working stations also maintain records pertaining to their daily/routine operations.

The records system supervisors interviewed had dissenting views of the challenges they encountered in the management of records. Five (26.3%) of the respondents cited challenges like lack of top management support which results in inadequate resource allocation to the records systems, since the university utilizes normal line budgeting in allocation of resources to every department.

The other challenges cited which were cited by two (10.5%) of the respondents were lack of professionalism in the management of records. They attributed this to the frequent transfer of trained records system staff to other departments. Three (15.7%) of the respondents decried that the records system experienced high staff turnover as the staff sought to climb the professional ladder which is available in the other departments as opposed to the record system which did not have a well-defined career development path at the time of the interview. These factors were a major bottleneck to records management and service provision.

4.5.2 Data from clerical officers

All five (26.3%) of the records system clerks interviewed cited the various challenges they encountered in managing these records which included lack of suitable equipment; lack of guidelines on how to effectively manage records; no timetable as to when to dispose of records that had outlived the business processes; Over accumulation of records thus posing challenges in retrieval lack of adequate space to store the records, too much light entered into the records system which was not very ideal for the preservation of the

records, etc. The clerical officer in the medical records section 1 of the respondents (5.2%) said that the creation of records was very active and given utmost attention. But less attention was given to the maintenance and disposition of these records.

The current records management practices were negatively impacting on service provision because they

- Occasioned delays in meeting deadlines,
- Delays in communication to staff and students alike
- Delayed policy formulation and implementation.

4.5.3 Data from secretaries

The secretaries interviewed had this to say about the challenges they encountered in the management of records

Eight (42.1%) of the respondents interviewed said that there was no guidance and no formal programs to offer them guidance in the management of records. They further indicated that there was overproduction of paper records which causes problems in storage, retrieval and this generally affected the effective management of records and they also cited lack of equipment to store these records made the office look untidy because they just had to be stacked on the shelves or in the one cabinet that was barely insufficient to accommodate all the records generated. Five (26.3%) of the respondents indicated that most records were just stacked on the shelves and this posed a security problem because unscrupulous staff could use any means to get access these records which may be sensitive in nature in terms of being disciplinary or dismissal cases and tamper with the evidence. Two (10.52%) of the respondents cited lack of professionalism

due to the fact they managed records but they had no official training in the records management field.

Data collected from the secretaries indicated that management of records in their workstations was done both manually and electronically and access to these records was instant. Those stored in the centralized records system caused unnecessary delays and time wastage in accessing them due to the distance from the office to the records system and sometimes when these records were required they were unavailable as they may be being used in another office altogether.

With regard to the security of records on the account of having confidential and sensitive information, they reckoned that the ethical principle which accounts for responsibility ensures that whoever is borrowing the file/record is accountable over the period of its borrowing.

4.5.4 How the challenges encountered in managing records are impacting on service provision

4.5.4.1 Data from management

The six (100%) management interviewed were all in concurrence that records stored in the central records system were not readily accessible when required and that is why they preferred keeping their own records in the offices. The current records management practices undermined informed decision making, delayed policy formulation and implementation and hampered to a great extent the achievement and attainment of the business processes in which they were engaged in.

4.5.4.2 Data from Action officers

Seven (7) of the eight action officers (88.8%), indicated that the current records management practices were undermining the quality of services provided in the sense that they were in the manual format and to be utilized they had to be digitized and converted to e-format. The records in manual format would cause a lot of time wastage in accessing and retrieving not to mention extracting the required information because of having to collate the two files of the same officer or business activity one which may have been opened because the original one could not be traced in time yet it was being requested for by an action officer. At times only one of the two files is brought when requested for therefore a lot of time was wasted waiting for the other file because the information in one file is incomplete and it has to be complemented by the missing file.

These kinds of practices to a great extent undermine policy implementation, planning business activities in time and the quality of the decisions made, and of course are a great impediment to quality service provision.

4.5.5 Discussion of the findings

It was evident from the findings of the study that most departments kept their own records. This is a clear indication that the management of records is not a professional function and this is severely undermining the provision of quality services. This fact only serves to reaffirm the hypothesis that there exists a strong correlation between records management and quality service provision.

The study deduced from these findings the fact that most departments had lost faith in the centralized records system and that's why they operated parallel records systems running concurrently with the centralized records system.

The findings also revealed that the records were readily accessible since they were stored close to the action office. There was no time wastage and delay which was occasioned by the storage of records in the centralized records system and someone had to always walk there to get them and more often than not they may not even be available because they may be being utilized in another office, which further delayed whatever decision that was to be made or business activity that was to be undertaken.

The benefits of effective records management, as listed by Blake (2005), include supporting efficient joint working and information exchange, facilitating evidence-based policy making and supporting the administration of data protection principles and effective implementation of Freedom of Information and other legislation through good organization of records.

The findings of the study indicated that lack of management support with regard to resource allocation was hampering the effective management of records and in effect undermining the quality of services provided which reaffirms the assumption that sound records management enhances service provision and lack of effective records management practices undermines quality service provision.

Lack of top management support was one of the main reasons as to why the records system was underperforming. The reason being that it is lack of this support that boils

down to the challenges of insufficient resources allocation to the records system which is hardly enough to cater for all the records system requirements, which results to inadequate and unsuitable storage equipment, lack of professionalism due to the frequent transfer of trained records system staff as they seek to climb the professional ladder which is available in the other departments since the record system does not have a well defined career development path at the moment is a major bottleneck in records management and in effect service provision.

4.6 Effect of harnessing ICTs on Records management, Business Processes and Service Provision

The study sought to find out the effect of ICTs on records management, and by extension on the activities, duties and responsibilities of the various officers (respondents in the study).

4.6.1 Data from Management

All 6 respondents (100%) at management level interviewed on the effect of ICTs were in agreement unanimously that these technologies made their work less complicated because enabled them make decisions from wherever they had traveled to and they did not have to be on campus physically to do so.

Three of the respondents (60%) also cited the issue of having virtual meetings. They said that they would be able to participate in these meetings through videoconferencing facilities without having to move from their desktops since they were very busy people and having to travel from one destination to another to attend these meetings was very

demanding and tiresome. 4 of the respondents (80%) cited saving a large amount of university funds spend on their per diem and travel arrangements to be able to be ploughed in some other business activity.

They also lauded ICTs as making it possible for them to be able to work from anywhere without being in a physical office. A further advantage was that they could be reached by anyone who wanted to see or consult them through these technologies.

4.6.2 Data from action officers

4.6.2.1 Data from Action officer Personnel

The data collected revealed that for the one (12.5%) action officer from personnel the effect of ICTs has positively impacted on discharging of his duties and responsibilities, policy implementation and decision making has been facilitated and enhanced because records can be accessed at the click of a button. He further reiterated that ICTs had revolutionized the aspect of service delivery, communication had been enhanced and distribution of information had been facilitated a great deal.

He went on to say that automation the university was underway and measures such as networking of the various departments through the ICT department and the finance automation system is already in place and others were soon to follow suit. On the question of the challenges posed by these technologies, the officer cited the issues of frequent power blackouts which more often affected the system by causing system malfunction. The issue of virus attacks was prevalent and it corrupted the files and records and depending on their intensity some viruses even caused system malfunction.

However, the officer said that the ICT department was always on standby to take care of some of these eventualities and problems as and when they arose and as for the power failure there was a standby generator which automatically went on in case there was a power blackout therefore normal services resumed almost immediately. However, the generator sometimes had no fuel therefore the offices would have to wait for the normal resumption of electricity in order to perform their duties and access records.

4.6.2.2 Data from Action officer Recruitment

The one (12.5%) action officer from recruitment had this to say on the effect of harnessing ICTs on records management and service provision. “Instant retrieval of records was enhanced and therefore dissemination of the required information was fast, security (safe storage/custody) of the records was ensured since one required a password to access the required records, speedy production of reports was facilitated, and incorporation/adding of/new information and updating of existing records and information was enhanced”.

On the issues of the challenges posed by these ICTs he was bogged down by power failure which hampers access to and utilization of the records, the prevalence of viruses corrupted the records and even led to the destruction of the records therefore leaving no records, technology advancement was on the rise and the university was not able to keep pace with these new technologies as they emerge in the form of upgrading the software and purchasing of new hardware since it was quite expensive.

4.6.2.3 Data from Action officer Admissions and Chief Academic Officers Office (now Registrar Academic)

This one (12.5%) officer said that harnessing ICTs on students registration would facilitate the registration of students online, courses can be delivered online effectively in the case of distance learning students or even notes can be sent online to the various students dispersed in all the Moi University campuses by the lectures without physically going there, transferring of credit can be done online, communication to students on the opening dates and any other important available information can be done online, deferment of courses can be communicated online, accommodation and fee payment can be transacted online. Course registration forms can be availed online and students can register for these online.

On the question of the challenges he sighted the issue of virus attacks, frequent power blackouts, system malfunction and technological advancements.

4.6.2.4 Data from CADO's office (now Registrar Administration)

The one (12.5%) action officer said that harnessing ICTs in the business activities this office was involved in enabled speedy and effective communication across the departments within and without the university. Additionally, notices of meetings and the agenda of the meetings were also circulated via e-mail and she got feedback from those who were to attend the meetings and any apologies beforehand which enabled the planning for the meetings in terms of choosing a suitable venue, supply stationary and materials to be used in the meeting and make reservations for snacks and lunch.

On the issue of challenges posed by these technologies she cited frequent power blackouts, and virus attacks.

4.6.2.5 Data from Action Officer Central Services

This one (12.5%) officer had benefited greatly from the effect of harnessing ICTs in the sense that he could communicate effectively and speedily with those who wanted tenders to supply goods to the university. Procurement of goods had been facilitated though they were not yet using the electronic funds transfer yet but he hoped that in the near future the university would attain this goal. He further lauded the ICTs for enhancing communication between departments with his office which eliminated delays that were occasioned earlier on by sending memos and waiting for the response for a long time. These days the response was instant. Additionally, he also was happy about the information sharing aspect whereby he could share the information with the finance department, the CADO's office, the requesting departments and the suppliers of the materials that the departments required in real time if the university was networked and he looked forward to this.

In summary the seven action officers of the eight interviewed were very positive on the impact of ICTs. The 7 of the respondents (87.5%) concurred on the issue of facilitated and enhanced communication between the various departments within the university and the various campuses and constituent colleges of the university. 6 of the respondents (75%) lauded the issue of information sharing within the departments when the university was finally networked but they still did so using the internet. 7 of the respondents (87.5%) cited the issue of enhanced business process activities to a great extent and they

had further enhanced the attainment of speedy policy implementation and facilitated decision making and the achievement of service provision across the various departments.

On the issue of challenges posed by these technologies 7 (87.5%) of them cited the issue of frequent power black outs and outages, 5 (62.5%) of them prevalence of virus attacks, 2 (25%) system malfunction, 3 (37.5) technological advancement, and 2 (25%) were concerned about the security of the records when the university is finally networked so that department can access the records in the record system.

4.6.5 Data from secretaries

The secretaries interviewed unanimously had this to say about the effect of harnessing of ICTs on records management and performance of their duties and responsibilities

Nine (100%) cited Speedy retrieval of records, easy reference because the records are always available on the desktop, security of the records was also guaranteed. Seven (77.7%) lauded the fact that communication within and without the campus has been facilitated and they could share information with each other effectively and speedily without having to leave their desktops. Nine (100%) opined that information sharing had been enhanced by these technologies, while five (55.5%) reckoned that updating of records and minutes had been facilitated and they could distribute these minutes and other correspondence through the e-mail addresses of those concerned in the shortest time possible without having to move from one office or one campus to the next to do so. A further seven (77.7%) also cited the issue of conventional records consuming too much

space in the office which made it look untidy but these technologies had made these “stress” as they referred to it a thing of the past. In essence a lot of records could be stored in very limited space therefore achieving economy and efficiency and effectiveness in records storage.

On the challenges brought about by these technologies all nine (100%) respondents cited frequent power blackouts which made the access of the records and uphill task. Three (33.3%) of the respondents cited issues in terms of unauthorized access, hacking into the system and deleting the records at the touch of a button. A further eight (88.8%) of the respondents cited prevalence of virus attacks which further corrupted the records or totally caused system malfunction while four (44.4%) of the respondents complained about frequent breakdown of machines. To address the aforementioned problems the following solutions have been advanced by the ICT department staff who are always on standby and a phone call away to restore and repair the system and additionally provide authentication, antivirus installation and continuous updating, provision of access privileges through the issuance of passwords which authenticate the users before one can log in and access the records.

4.6.6 Data from Clerical Officers

The Clerical Officers had this to say on the effect of harnessing ICTs on records management.

All five (100%) respondents indicated that they increased efficiency when computerization is enhanced, whereas four (80%) respondents cited that they will save

staff time through speedy retrieval. Two (40%) respondents lauded enhanced resource sharing in administration, academic and finance and five (100%) respondents cited speedy retrieval of records which will enhance the fast delivery of services. On the issue of challenges the officer cited lack of IT skills, unavailability of records management software in the university, prevalence of virus attacks on records, frequent power blackouts and technological advancements.

The table below summarizes the responses on the effects of harnessing ICTs on records management, business processes and service provision as provided by the respondents from various offices.

Table 4.4 Responses on Effect of harnessing ICTs on Records Management, Business Processes and Service provision (n=25)

Benefits	No. of times cited	Percentage
Enhanced storage	20	80
Speedy retrieval	25	100
Facilitate sharing of records	24	96
Enhanced service provision	25	100
Adding of new/updating existing information	18	72
Production of reports	16	64
Enhance business processes	25	100

The effect of harnessing ICTs on records management, business processes and service provision also brought about some challenges apart from the positives it exhibited. These challenges are summarized in the figure below.

The figure below provides the responses on the challenges posed by ICTs in the management of records, achievement of business processes and service provision. These challenges seemed to cut across the board right up from the top management down to the secretaries.

Challenges posed by ICTS on records management, business processes and service provision

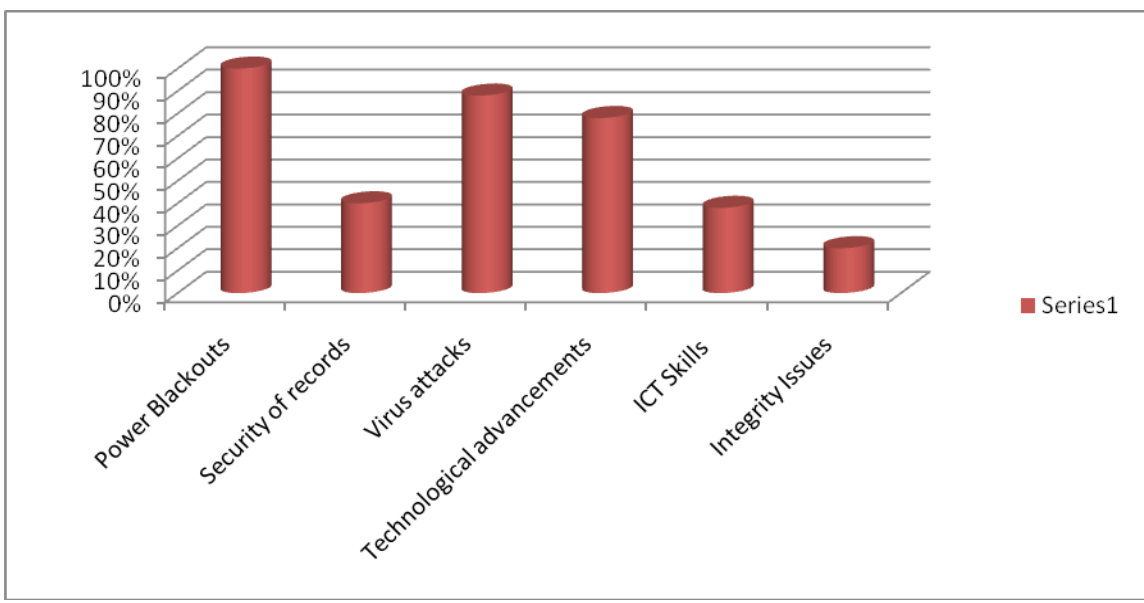


Figure 4.7 Responses on Challenges posed by ICTS (n=25)

4.6.7 Discussion of the research findings

The study deduced from the responses obtained that the benefits of ICTs surpassed the challenges. This served to prove the fact that majority of staff were becoming technology savvy and with the positive attitude and enthusiasm they were rearing to go, willing and ready to embrace technology to enable them accomplish the business activities they were engaged in and provide faster services to their clientele.

These facts agree with the views of the following records management scholars. Elwhiwhu, (2005) opines that the advent of ICTs has altered record keeping. Wamukoya, (2005) reiterates that new technologies and their growing adoption and use is rapidly revolutionizing the organizational culture i.e. it is positively impacting on the way organizations work, make decisions, and even document their activities.

The respondents cited various challenges but these challenges seemed to be kept under check by the ICT department which seemed to provide the much needed solution to their problems. The problem of technological advancement would require the intervention of the university management because the purchase of new generation computers or upgrading of existing ones and software would require a lot of resources which is beyond the reach and capability of the ICT department. The challenge of expertise skills in ICTs was also cited given that the university is currently generating electronic records. These records in the electronic environment would require specialized skills to be able to manage them throughout their continuum. Frequent power blackouts also incapacitated the staff in that they could not create nor access the records until power was stable. They also lost their records because power was not stable at some given point and before one could save the records they were creating power went off. Virus attacks were also prevalent since these were transferred from one computer to another by the use of secondary storage media such as flash disks. Some staff deleted records or altered the original records therefore the authenticity and integrity of the records created electronically was a matter of concern.

The above sentiments are echoed by Mutiti, (2001) who reiterates that there are various challenges posed information and records in the electronic environment. They include : -

- The ease with which they can be permanently altered;
- rapid evolution of technology;
- their reliance on power without which they are unusable;
- Information Technology illiteracy;
- obsolescence of hardware and software;
- media Instability therefore constant migration onto more stable media is advised;
- environmental Conditions;
- security of electronic records, i.e. deletion at the stroke of a key, and their portability makes them vulnerable to thieves;
- lack of a robust Telecommunication Infrastructure;
- records Management functionalities lacking in most systems;
- overhead costs of installation and technical Maintenance

Ngulube, (2003) is in agreement that disaster in electronic records may also arise in the form of computer virus, obsolescence of technology, digital media fragility, unforeseen future life of technology, deletion or alteration of information/records, and hacking of the computer. Thurston (2005) on the other hand argues that technological improvement is developing faster than the skills and infrastructure development. There is a need for more training and education in government. He goes on to say that the government should consider the records media's instability, obsolete hardware, hardware incompatibility, software, data format, storage media, lack of metadata, context of information; clearly assign responsibility and long-term records preservation resources in implementing e-records management.

Wamukoya and Mutula (2005) citing IRMT (2003) note that the introduction of the new technology poses a challenge that records and archive management staff should be

trained and retrained for the new skills and competencies for effective operation in the new technology. This will enable the government to comply with accountability and defeat corruption and malpractices. The staff should be equipped with competencies and skills which include, but are not limited to, records management, information management and technology. The skills that are specifically required in electronic records management include creation, capturing, classifying, indexing, storing, retrieving, tracking, appraising, preserving, archiving and disposing.

4.7 NEXUS BETWEEN RM AND QUALITY SERVICE PROVISION

The study sought to establish the relationship between RM and the business processes and services the respondents provided. This elicited a number of responses which have been discussed below:-

University Top Management

The top management included the Vice Chancellor's office, the Deputy Vice Chancellor (Administration, Planning and Development) office, Deputy Vice Chancellor (Academic, Research and Extension) office, Chief Academic Officer's office (now Registrar Academic), the Chief Administrative Officer's office (now Registrar Administration), and the Finance Officer's office.

1. According to top Management of the university records established precedent in the event of similar problems experienced in the past. Availability of records eliminates re-inventing of the wheel and wastage of time when they approach a similar problem

2. Records document the decisions and activities of the university and served as a benchmark by which future activities and decisions are made.
3. Records continually help Moi University in supporting accountability and prove that they have met their obligation or complied with best practice as indicated in the quality policy statement.
4. Records facilitate implementation and sustainability of development projects and provide evidence to the fact that money was expended as was intended.
5. Records document existing relationships between Moi University and its partners in education, research related institutions and industry.
6. Financial records, procurement records and human resource records enables the university to demonstrate accountability to its stakeholders, (e.g. eliminates ghost workers, provides evidence that finances have been expended as planned for, etc.).
7. Protects the entitlements of students in that they provide evidence that they have paid fees and therefore they do not have to be charged twice.
8. Protect the entitlements of staff in that they provide evidence of the contractual agreement between the employee and employer on the salary to be paid and pension and gratuity to be paid after the contract ends of upon retirement.
9. Ensures that there are no ghost workers on the payroll and that the university is only paying salaries to actual and existing employees.
10. Protects the university from litigation by dishonest employees and suppliers claiming the payment of their dues twice.

Action officers

11. Establishment control records determine the number of staff to be recruited each financial year so that the university does not experience serious cash flow problems because of over employment.
12. Academic records (students transcripts, Continuous assessment tests (CATs), and examination scripts) determine the grading of degree certificates awarded after the completion of the duration of study.
13. The academic calendar determines when the semester and academic year begin and end and therefore guide the academic programs of the university.

Others (Clerical officers and secretaries)

14. Records on customer complaints and praises will be used as points of reference to maintain standards as encouraged or to improve as discouraged
15. Effectiveness and efficiency in service provision is achieved since records are readily accessible and clients do not have to wait too long on the queues to be served which raises the university's profile.
16. Records determine who is a bonafide student of the university and hence has the right to use the university resources and access university services (health, the library, laboratories and hostels).
17. Clearance forms provide evidence of the end of the contractual agreement between students and staff and Moi University as a college or employer.
18. Medical records facilitate the proper diagnosis of diseases and dispensing of medicine and a follow up of chronic diseases.

19. Patients tally sheets are justification for the medical office to request for additional staff to cater for the increasing student/staff population.

4.8 RECOMMENDATIONS FROM THE RESPONDENTS

4.8.1 Recommendations from Management

1. “Automate the records systems and network them to the other departments in the university to facilitate information sharing”.
2. “Videoconferencing facilities should be facilitated to enable them have meetings”.

4.8.2 Recommendations from Action Officers

Action officers had this to say

1. “Training of staff to empower them with ICT skills”.
2. “Implementation of Records management program”.
3. “Develop policies for records management”.
4. “Increase budget for Records management effectiveness”.
5. “Networking of most offices in the university”.

4.8.3 Recommendations from Records system Supervisors

1. “The frequent transfer of trained staff from the records system should be checked against in order to ensure professionalism and the effective management of records and in effect facilitate quality service provision.”

2. “Improve scheme of service for records system staff and reward best performing staff to motivate them and make others work hard”.
3. “Increase budget allocation to the records system”.
4. “Prioritize Capacity building of staff in the records system”

4.8.4 Recommendations from Clerical officers

1. “Introduction of e-records in the whole university”.
2. “Computerization of records management processes”.
3. “Training of staff in records management”.
4. “Develop a scheme of service for records system staff to ensure their progression from one grade to another without having to move to other departments in order to progress”.
5. “Assign responsibility for records management to a qualified records manager”.
6. “Establish a suitable records system/center as opposed to using a converted building”.

4.8.5 Recommendations from Secretaries

1. “Organize for regular joint meetings between the records creators, action officers and secretaries”.
2. “Deployment of records staff to all departments”.
3. “Designing of records manuals or procedures to guide records management activities”.
4. “Enhance staff vetting for all staff working in administration to enhance confidentiality of information”.

CHAPTER FIVE

SUMMARY OF RESEARCH FINDINGS, CONCLUSIONS AND RECOMMENDATIONS

5.0 INTRODUCTION

This chapter provides a summary of research findings of the study and makes appropriate recommendations that will ensure accountable and effective records management. It further proposes a model for records management cum quality service provision which if adopted will facilitate sound records management at Moi University. Suggestions for further research are also provided.

5.1 SUMMARY OF RESEARCH FINDINGS

A summary of the research findings is provided in this section. These findings are aligned to the research questions in that guided the study.

5.1.1 Research Question one: What are the main business activities of MU and what kinds of records emanate from these activities?

The business processes at Moi University include

- Teaching
- Research
- Consultancy
- Community Service and
- Administrative and Support Services.

All the enumerated business activities directly or indirectly complement teaching.

The records generated by these activities include:-

- Policy documents
- Student records
- Personnel/Human resource records
- Medical records
- Financial and audit records
- Architectural Drawings of buildings
- Maintenance of facilities
- Current space use and planning
- Organizational chart of the University
- Videos and photos of graduation ceremonies
- Moi University Strategic and Development plans
- Annual reports, e.g. audit reports, research output reports, council reports and minutes, management committee reports and minutes,
- Collective Bargaining Agreements.
- Quality manuals and Work procedures
- The Academic Calendar

5.1.2 Research Question Two: What is the current state of records management at Moi University and how is this impacting on service provision?

The findings of the study revealed that records at the university were not managed professionally. This was attributed to the following factors:-

- Lack of legislation and documented policies to provide guidance in the management and practice of modern records especially in the e-environment.
- Absence of core competencies amongst records staff including the officer in-charge who is not a qualified records manager.
- Inadequate and unsuitable storage equipment and space;
- Absence of a purpose built-record center.
- Insufficient funds and lack of a dedicated budget for records management.
- Poor security and confidentiality controls.
- Disaster preparedness and recovery plans are conspicuously lacking.
- Lack of adequate capacity to manage records in the electronic environment.
- Lack of disposition schedules
- Outdated classifications systems which are unable to cope with the records in the e- environment.

These challenges are negatively impacting on the quality of services provided because the records are managed in a haphazard manner in the absence of proper guidance.

5.1.3 Research Question Three: What policy or regulatory framework is in place to ensure effective management of records for enhanced quality service provision?

The research findings revealed that these policies were not documented because many of the stakeholders in records creation and management had no idea that these existed and if they knew of their existence it was vaguely evident. Some just presupposed to know of their existence to avoid looking ignorant because of the senior offices that they held but most of them were frank enough (clerical officers and secretaries) to own up that they had no idea of their existence or if they existed then they were not documented.

There also existed no records management programs to guide the record keepers on:-

- What records to keep and for how long (duration);
- What records to dispose of, at a what time;
- The disposition method to be used; and
- Whose responsibility it was to do so;
- What records should be preserved;
- The duration of preservation; and
- What preservation methods should be utilized and why choose those particular methods;
- The importance of security of the records; and
- The importance of confidentiality as a record keeper.

5.1.4 Research Question 4: How will harnessing of ICTs affect the management of records and quality service provision?

Harnessing ICTs will achieve the following:-

- Tracking of the records to monitor their movements;
- Provide audit trails of records at all times which will ensure the integrity of the records against tampering and alteration.
- Accelerate disposition of records to eliminate clogging of the database.
- Facilitate retrieval, access and sharing of the records by action officers spontaneously, and they can also do that in real time using the new communication media technologies.
- Economy and efficiency in terms of storage space will be achieved. Very many records can be stored on the database that occupies minimal office space and this will also make the ambience of the records systems look attractive, neat and presentable at all times.
- Efficiency and effectiveness in service provision will be achieved since the records can be accessed at the click of a button and the users will have to wait for long to be served.
- Availability and accessibility of records at all times. The idea of misplaced records will be a thing of the past
- Security of the records will be guaranteed. This is because the staff will be given passwords which will restrict privileges to only a selected number on adding, updating or deleting of records.

5.1.5 Research Question 5: What is the nexus between sound records management and quality service provision at MU?

- Well managed records provide information for planning and decision making, formulation and implementation of policies, management of key personnel and financial resources.
- Sound records management ensures the effective and efficient administration of the university operations and in effect enhances quality service provision.
- Effectively managed records facilitate proper governance of the university and ensure continuity and sustainability of the university operations even in the phase of change, i.e. when the administration of the university changes hands.
- Sound records management provides evidence of the University business processes and governs the academic processes.
- Well managed records help the university evaluate its performance and achievements. These include the annual reports on research outputs.
- Well preserved photographs and videos of graduation ceremonies also depict the universities achievements and phenomenon growth if the number of grandaunts is anything to go by since 1985 to date.
- Sound audit reports also help the university aid the university in sound financial planning and improvement in the future to eliminate wastage.
- Medical records are important for diagnosis and management of diseases. They are also used in by the health unit in regularly reviewing its performance after a given period. The statistics from these records are the basis upon which the

university management can recruit additional medical staff to cater for the growing population.

- Protection of rights and entitlements of staff or employees depends on adequate records such as pension records, payroll records and others.

An effective records management program will help the university get the most out of its records and facilitate the provision of quality services. It will also help limit costs and the risks that can come with poorly managed records.

5.1.6 What kind of changes should be put in place to ensure sound records management in order to enhance quality services provision?

The following changes if embraced positively will go along way into achieving quality service provision

- Restructuring and redesigning the whole records system
- Have a purpose built building for the records system complete with controlled environmental conditions
- Budgetary allocation to the records system should be increased
- Best practices in records management and quality service provision should be encouraged.
- Purchase suitable and adequate equipment for the records to alleviate records deterioration
- Employment of a qualified Records manager
- Placement of staff where they can be more productive

- Placement of records system processes and procedures that are related in proximity with each other to ensure a smooth work flow
- Permit staff to attend workshops, seminars and conferences that will help them share experiences and problems and solutions to these problems with their peers
- Communities of practice should be nurtured and encouraged
- Automation of the records system and networking of all departments to facilitate sharing of records
- Access controls and audit trails should be put in place
- Capacity building of staff to empower them to manage records in the electronic environment
- Continuously strive to improve the records system processes in order to make them better all the time every time.
- Monitoring and Evaluation of records system process and procedures continuously to ensure that they achieve their intended purpose.

5.2 CONCLUSION

The main business process of Moi University is teaching and research. The administrative business process complements the teaching function in myriad ways either directly or indirectly. All these business processes require records to be able to function efficiently and effectively and sound records management is central in the attainment of all these business processes.

All of the elements for effective university administration depend upon an effective records management infrastructure. Without a records management infrastructure, the university is incapable of effectively managing current operations, and has no ability to use the experience of the past for guidance. Records are inextricably entwined with increased quality service provision. Records serve as an important tool for good business governance and efficient administration. They provide information for improved planning and informed decision making.

Penn, Pennix and Coulson (1994) and King (1997) point out that many business transactions depend on the proper creation and maintenance of recorded information. The above sentiments are echoed by several records management scholars. Swan, Cunningham and Robertson 2002; Uwaifo, 2004; Wema 2003; Procter 2002; Mnjama 2002; Kemoni and Wamukoya 2000; Taylor 2000; Choongo 1998; and Oyiti 1998), are all in agreement that records are the lifeblood of an organization and proper record keeping is critical for the survival and efficient operation of day-to-day business activities. They reiterate that despite the important role that records play, there is overwhelming evidence that the management of university records has largely been neglected.

The records should not just be available but they should fulfill certain criteria according to the International standard. ISO 15489-1:2001 emphasizes that the records that are usable should be locatable, retrievable and interpretable for its effective business use. The records must be capable of presenting or representing the business transaction or activities that led to their creation. They must contain information that can bring an

understanding of what, when and how the business activities or transactions that led to their existence or creation was conducted.

The findings of the study revealed that the record keeping problem is a massive one. Existing record keeping systems are inadequate and unable to cope with the growing mass of unmanaged papers. This situation impedes the capacity of the university to carry out its business processes aimed at achieving efficiency, accountability, and enhanced services to its clientele. Kemoni and Wamukoya (2000) emphasize that effective records management systems provide information required for the proper functioning of organizations, including universities. On the other hand, poor records management can be risky to organizations. Taylor (2000) concurs by opining that proper records management will help the university to manage its information, efficiently fulfill its mandate, protect it from litigation, preserve its corporate memory, and foster accountability and quality service provision.

The above problem is further compounded by the fact that there is no records manager at Moi University. The records system is under a senior administrative officer who has no training records management. Chinyemba and Ngulube (2005) underscore the fact that a qualified records management staff ensure that the organization's records management work is carried out efficiently. Johare (2006) is in agreement that people need to be capacitated through training and education with the skills, knowledge and ability to establish the necessary record keeping infrastructure. This will ensure compliance with accountability and service delivery as required by the citizen.

The challenges encountered in the management of records all boil down to the fact that resource allocation to the records system is inadequate. All these factors can be attributed to the lack of understanding by the top management on the role of records management in supporting university wide efficiency. Records management typically enjoys a very low organizational profile or status, low budget priority and low ranking in terms of investment in human capital, even where records are core to the attainment of the business process. Mnjama and Wamukoya (2004) assert that low awareness of the role of records management in support of organizational efficiency and accountability and the absence of budgets dedicated for records management are some of the myriad challenges faced by the East and Southern Africa member countries in the management of records.

The study findings also reveal that there were no formalized policies and structures to guide the management of records. For relevant records management policies to be established and records management systems to be developed, policy makers and developers must see the highly interconnected nature of records and business processes. Mnjama and Wamukoya (2004) point out that there were real challenges faced by East and Southern Africa member countries in the capture and preservation of records. Some of these include: absence of organizational plans for managing records; lack of stewardship and coordination in handling records; absence of legislation, policies and procedures to guide the management of records; absence of core competencies in records and archives management; and poor security and confidentiality controls.

Well managed records have the potential of becoming part of the engine of organizational change rather than remaining as part of the paperwork problem. ISO 9001:2008 to which

MU subscribes has brought some sanity into the records system since there are now work procedures to be followed by records staff when performing their duties. ISO 15489-1:2001 underscores the fact that trustworthy records must be authentic by character. In order for the records to be considered authentic, the organization should create and implement policies and procedures that will regulate records creation, receipt, transmission, maintenance and disposal. This will contribute to the authenticity of records. It will assist the organization in ensuring that the creators of records are authorized and identifiable to prevent unauthorized addition, alteration, deletion, use and concealment of records by unknown people.

The findings of the study brought to the fore the fact that automation will ensure that records are captured, organized, transferred/shared between departments or action officers in real time (using new media technologies), facilitate tracking of files, provide audit trails and backup services for the records. Quality service will be enhanced because the clientele do not have to wait for long before they are served since the records are readily available and the idea of misplacement of files/records will be eliminated. Security of the records will also be ensured because the users of the records will require passwords to be able to access them. Audit trails will also ensure that any alterations and amendments performed on the records are recorded and therefore ensuring the integrity and authenticity of the records.

Ngulube, (2001) is in agreement that governments in most countries are taking advantage of technology to handle large volumes of records. They use the new technology to improve their business transactions. This is because electronic records enable individual

users to access quality, timely, effective and efficient records. It enables the organization to complete its work quicker, with less effort, with quality, less money and in compliance with laws and regulations. It is evident that electronic records can also assist in the improvement of service delivery in the university. This is supported by Mnjama (2003) and Mnjama (2005) underscoring the fact that Kenya's electronic records improved the image of the registry.

The study also revealed that having and maintaining a properly managed system and set of practices for University records provides confidence to the University's stakeholders' that the University's records are treated as a core business resource that will support the ongoing achievement of its strategic objectives, the delivery of services to its clients, protect the rights of employees and students and enrich the historical resources of the university. Records are essential for the effective and productive functioning of the university. Records document the decisions and activities of the university and serve as a benchmark by which future activities and decisions are measured.

Lack of sound records management will also expose the university to litigation problems from employees who can claim for their retirement dues twice or suppliers who will claim for payment twice because there are no records documenting such payments. Without good records, the administrators are forced to take decisions on an ad hoc basis without the benefit of an institutional memory.

In providing services for its staff/employees, the university needs, pension records, financial records, medical records, policy issues records and environmental protection monitoring records. Academic records such as students' transcripts, continuous

assessment tests, examination scripts, class attendance lists and others are required in order to facilitate the grading of the degree certificates awarded to students, i.e. first class honors or second class honors or pass. Medical records are required in order to ensure proper diagnosis of diseases and dispensing of the correct medication to the staff and students.

In a nutshell improvements to the University's records management systems and practices will result in more efficient business processes that rely on information; consolidation of different information sources into a single point of truth for corporate records which will provide better security for the records; faster retrieval of records to facilitate information sharing, collaboration and re-use across departments within the university; more informed and evidence-based decision making; greater availability of records to support compliance, accountability, transparency, enforcement of legal rights and for evidential purposes; improved internal management processes and control of information resources; improved compliance with legislative and statutory requirements

5.3 RECOMMENDATIONS

The study brought to the fore the weaknesses in records management systems and practices at the university which served to undermine quality service provision. To alleviate the situation the study made the following recommendations that could go a long way in ensuring the effective and efficient management of records as a critical success factor and an integral part of quality service provision. The recommendations are discussed below:-

5.3.1 Formulation and Implementation of Policies and adoption of Standards in Records Management

The findings of the study revealed that records management policies were not documented and there was nothing to fall back on whenever a need arose. The study recommends that the records manager should be in charge of policy formulation and implementation. He/she should develop policies, sustainable best practices and technical standards to cover multiple forms of records including paper and electronic. The policies and best practices should be complemented by a sustainable RM infrastructure to support the university's decision making organs, service delivery, accountability, and the achievement of the university's strategic priorities.

5.3.2 Records Management to receive Top Management Support

One of the findings of the study was that the current state of records management was wanting. One of the major factors contributing to this state of affairs was lack of adequate resources and a dedicated budget for records related activities. This was attributed to lack of top management commitment to records management. The study recommended that records management is adopted as one of the core functions of the university with adequate support from top management in the form of a policy statement and increased budgetary allocation.

5.3.3 Capacity Building for Records Staff

The findings of the study brought to the fore the fact that there was lack of core competencies, skilled and knowledgeable personnel to support the records management

function. This study recommends that recruitment of a qualified and competent records manager to take responsibility for the records and archives management function throughout the university management should take further measures to establish a records management cadre with core competencies and skills in records and archives management.

5.3.4 Raise awareness of records management issues throughout the university

The findings of the study revealed that most staff in the university were vaguely aware of the importance records played in attaining the university's business processes and objectives and achieving organizational efficiency. All staff must be sensitized on the importance of records management as business assets. Awareness can be raised through professional workshops, seminars and conferences in order to keep abreast of any new developments in the field of records management. Further sensitization can be achieved through regular training conducted by records management experts.

5.3.5 Automation of the records systems in the university and networking of departments

The findings of the study revealed that some departments are still managing records manually. This presented some challenges since the volume of records had increased considerably in tandem with the university's business activities. It is recommended that automation of the various departments be fast tracked to facilitate sharing of records across business units. Automation will further enhance decision making and service provision.

5.3.6 Improving records management to enhance quality service provision

The findings of the study revealed that the university was not providing quality services because records were not readily accessible and people waited too long before they were served. Since all services depend on sound records management this researcher recommends that the university top management should invest more resources that will result in improved records management as a basis for quality services throughout the university.

5.3.6 Systems Management to complement quality service provision

On the issue of quality service provision various respondents pointed to the fact that the university had fallen short of meeting the expectations of its various clients who include students, staff, suppliers among others. It is on this basis that the study recommends that top management should as a matter of urgency put in place effective management systems and strategies to ensure the university's goals are achieved. These strategies should focus on having efficient administrative systems, clearly documented policies and procedures to support quality service provision and continuous quality improvement.

5.3.7 Performance targets for records staff

The findings of the study revealed that measuring and monitoring performance in records management was one way of enhancing the quality of services provided by the records staff. The university administration should therefore put in place performance targets for records staff the same way that they do for the other services. These performance targets should be set against objectives that are specific, measurable, achievable, and time-

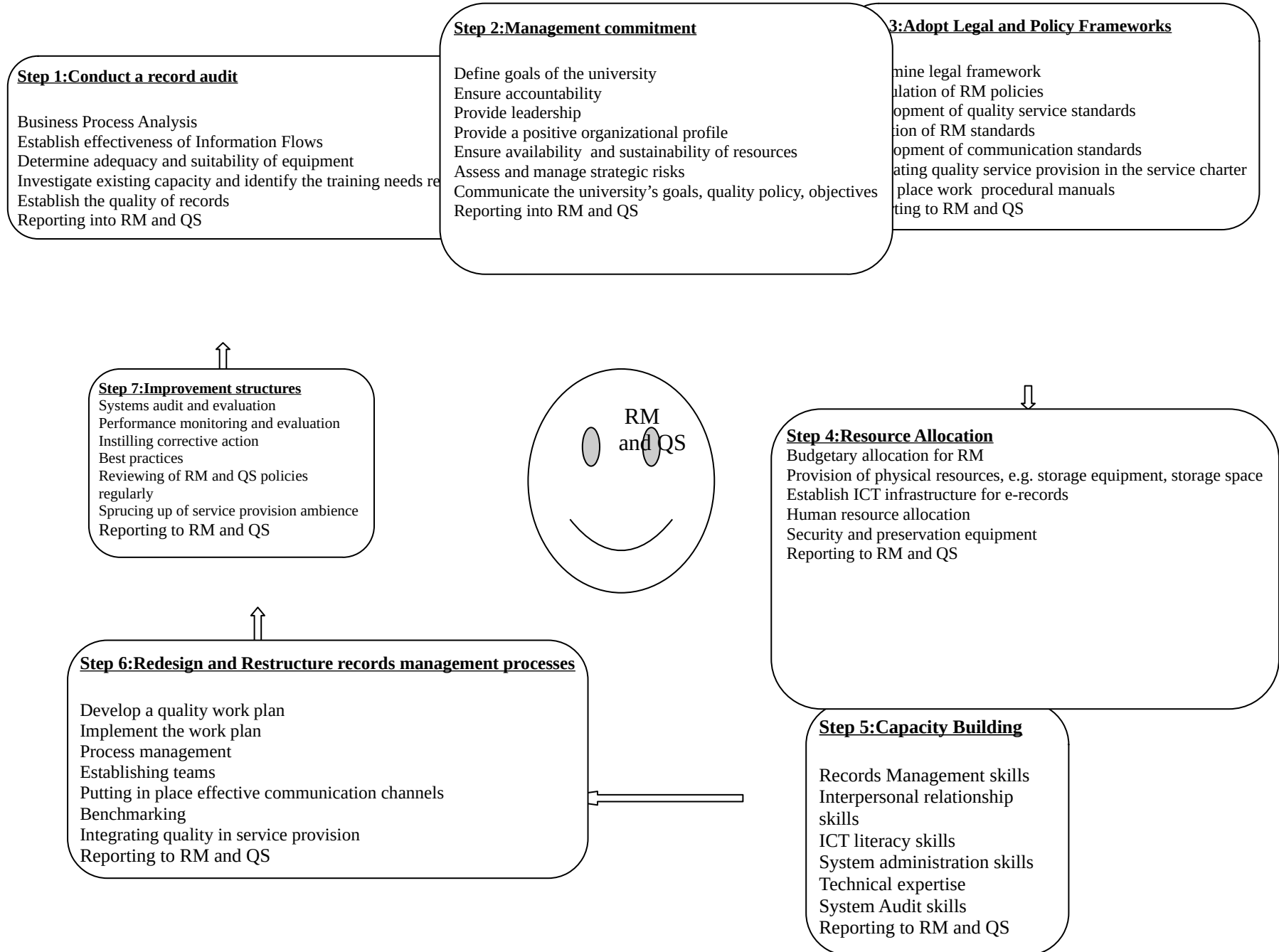
limited. These targets should focus in issues such as the various mitigation strategies that can be adopted. Similarly, they could focus on identifying performance objectives as well as determine performance measures for the records staff. Performance targets and indicators must be reviewed regularly to ensure that they are still relevant to the emerging issues in records management and quality service provision.

5.4 PROPOSED MODEL FOR RECORDS MANAGEMENT AND QUALITY SERVICES PROVISION.

This model is derived from the EFQM model, PDCA Cycle, the Total Quality Management Model and ISO 9001:2008 Standard. All these models are practical self-assessment tools for measuring the strengths of the university on the path to excellence, helping it in understanding the existing gaps and identifying areas of improvement across all its activities. This model if adopted at Moi University can be used for improvement of the university's records management and quality management systems to enhance quality service provision.

The records management practices set out in the model are essentially a matter of good business administration. It is also worth mentioning that establishing effective records management arrangements will deliver significant benefits for the university. Most significantly the model will ensure increased efficiency and effectiveness, delivering savings in administration costs; improve and enhance quality service delivery; achieve business objectives and targets; ensure compliance with records management legislation and provide a sound basis for the transition to e-records and e-services.

FIGURE 5.1: PROPOSED MODEL FOR RECORDS MANAGEMENT AND QUALITY SERVICES PROVISION AT MOI UNIVERSITY



Step 1 : Conduct a Record and Information Audit

An information survey or record audit should be undertaken by University Management to:-

1. Establish the business processes the university is involved in
2. Determine the kinds of records that exist to support these business processes
3. Establish the effectiveness of information flows within the university
4. Analyze the amount of space required to store these records
5. Determine the adequacy and suitability of equipment to store information and records and facilitate its transfer
6. Establish the existing capacity in terms of qualifications and skills and identify the training needs required
7. Identify the gaps and develop a plan for recruitment and training to close the gaps
8. Establish the quality of existing records

Step 2: Management Responsibility

The success of any worthy venture at MU requires the support of the university top management. They should do the following:-

1. Analyze the university's business functions, identify records management requirements, assess risks and apply results to developing, operating and reviewing business systems and processes
2. Define clear goals and purposes for the university and provide leadership, direction and guidance for achieving the university's goals,

3. Endorse records management policies and procedures and direct staff to follow them
4. Provide a positive organizational profile
5. Provide appropriate resources, i.e. sufficient numbers of skilled people and appropriate information management infrastructure
6. Assess and manage strategic risks to ensure long-term success of the organization
7. Foster and maintain working partnerships among senior managers, information and records managers and information and communication technology staff to develop, review and implement systems that support creating and managing authentic and reliable records.
8. Clearly communicate the university's goals, quality objectives, quality policy statement, vision, mission and plans and ensure these are understood by all stakeholders to support all aspects of the university's service operations.

Step 3: Adopt Required Legislation, Policy Framework and Standards

At this stage it is important that the above be adopted in order to offer guidance on sound records management for enhanced service provision. Standards are also important in that they provide a roadmap that guides the quality services journey. The following should be done at this stage: - The records manager should

1. Determine the legal framework available in records management and quality service provision and this should be documented not verbal
2. Formulation of policies in records management and quality service provision
3. Develop Records Management Standards
4. Develop Communication Standards

5. Develop Quality Service Provision Standards
6. Integrating Quality Service Provision in the University Service Charter and strategic plan
7. Provision of work procedural manuals to guide the staff in records management process and quality service provision
8. Records management and quality service provision reporting to RM and QS.

Step 4: Resource Allocation

This step is very crucial as it determines the success of the Records Management and Quality Services provision journey. Top Management should ensure the:

1. Increasing of budgetary allocation to the records system to alleviate some of the problems hampering the management of records.
 2. Provision of physical resources. The starting point should be the putting up of a purpose-built records center to ensure the proper environment is provided for the storage and security of the records.
 3. Equipping of each office with ICTs for creation, storage and sharing of records.
 4. Provision of suitable and adequate equipment for the storage of conventional and e-records stored on secondary storage media.
 5. Equipping of each office with UPSs to take care of the frequent power outages
 6. Ensuring the generator is functional at all times
 7. Employ qualified and competent staff with the right attitude at the records facility.
- Appointment of a qualified records manager should be prioritized and second qualified records staff to every department or school in the university.

8. Appointment of quality champions will ensure the continuous improvement of records management processes and quality services is a continuous process.

Step 5: Capacity Building

This stage is crucial to the success of the implementation of the proposed model. This stage will address the problem of professionalism in RM. The following should be done:-

1. The recruitment office should ensure the recruitment of qualified and competent records management staff in right numbers with the right attitude towards work to drive the RM process
2. Training of existing staff either formally or informally to equip them with RM and Quality service provision skills through the recruitment office
3. Allowing staff to attend workshops, seminars and conferences on records management and quality services provision by top management through availing of funds and time off from work
4. Empowering the staff with public relations or interpersonal skills to enhance quality services provision by top management through invitation of external speakers on the topic
5. Mentoring of records office staff by professionals in the Records Management field
6. Ensuring staff have ICT literacy skills by the ICT Department
7. Employing a systems administrator and technical staff or seconding staff from the ICT department to the records office through the recruitment and personnel offices
8. All the above functions reporting into records management and Quality services

Step 6: Redesign and restructure records management processes and Service provision

The records manager should ensure the following: -

1. Assess the strengths (business process efficiency and effectiveness) and identify opportunities for improvement.
2. Establishment of a quality work plan. Quality goals should be set and these goals should be specific, achievable, realistic and time bound (SMART).
3. Redesigning and reengineering flawed processes would solve the poor work process problems. The proposed improvement could be in human-to-human, human-to-system, and system-to-system workflows.
4. Process management. Consistent quality and on-time delivery of records and services are a big component of process management. Quality should be built into the process; sources of quality problems should be identified and corrected.
5. Best practices should be adopted
6. Communities of Practice should be nurtured and cultivated;
7. Improve communications within the organization and eliminate all the bureaucracies that are barrier to effective communication.
8. Benchmarking internally as well as against other service organizations to ensure the organization is still on course and is on the right road in achieving quality service provision.

9. Integrating various quality initiatives into normal service delivery operations.
10. Sensitization of staff as a means of helping them in understanding the strategic and regulatory environment of records management
11. Total participation or total involvement of everyone, cooperation and teamwork is an important step of the QS framework, because quality cannot be achieved singlehandedly. This can be achieved through techniques such as communities of practice, brainstorming, seminars, workshops, discussion, and quality control tools, teams work regularly to correct problems.

Step 7: Improvement Structures

This stage involves analyzing, monitoring and measuring the processes and the services to ensure their compliance with the laid down quality policies, quality objectives, service charter, records management standards, procedures and guidelines.

The top management should undertake the following responsibilities: -

1. Instilling and undertaking corrective action to reduce non conformities. Identify root causes of quality problems and correct them at source before they produce undesired results.
2. Preventive action should be instilled to prevent the recurrence of these non-conformities in future.
3. System audit and evaluation can help in identifying the non-conformities. These audits can start from internal quality audits and proceed to external audits in order to ensure reliability and the integrity of the audit process.

4. Continuous improvement is aimed at developing and improving people, processes, technology and the capabilities of employees and machines.
5. Service provision ambience needs to be designed to meet customer expectations.
6. Regularly reviewing the records management and Quality service policies and procedures and guidelines to ensure that they keep up to date with changing circumstances and reflect any changes in legislation affecting records and service provision.
7. Documentation of quality policies, quality objectives, university-wide work procedures and quality manuals
8. Maintenance of records that facilitate effective planning, operation and control of the universities business processes
9. Working cooperatively with ICT professionals to design, implement and improve records management, information architecture and the accessibility of information
10. Integration of records management expertise and strategic business skills in developing policies, standards and systems

In a nutshell the records office can never achieve perfection, but it must always evaluate its performance and take measures to improve it.

5.5 SUGGESTIONS FOR FURTHER RESEARCH

There is need for integrating quality in records management and the need for records management experts and quality service experts in public universities to speak with one language in enforcing professionalism in records management for the enhancement of quality service provision. The study restricted itself to the aims and objectives discussed in the study and it was therefore not exhaustive in fully addressing records and quality service provision at Moi University. The study therefore recommends the following areas for further research at Moi University.

5.5.1 Quality Assurance in University Administrative Services: Models, Techniques and Tools

Moi University should design a quality management system as a self assessment technique in its quest for continuous improvement. The administrative services can be assessed using the European Foundation for Quality Management (EFQM) Model. Such services include the human resources (academic and administrative staff) and material resources (classrooms, laboratories, library and working environment). A further study should be undertaken to Examine the models, techniques and tools (e.g. EFQM self assessment model, service charter and strategic plan) used to improve service quality and efficiency in Moi University administrative services.

5.5.2 Mapping and Auditing Records Management as a Tool for Quality Service Provision

A further research is recommended by the current study in the area of mapping and auditing records management as a tool for quality service provision at Moi University. This is because mapping and auditing records management will reveal the information sinks and records assets available within the university. Auditing will also reveal the gaps that exist in the records system and prompt action towards the addressing these deficiencies.

5.5.3 Role of Public Universities Management in Quality Assurance: Reflections on Moi University as an Institution of Higher Learning in Kenya

Moi University is accountable to stakeholders. To justify its continued existence, the university management needs to guarantee the public that the institution they lead offers quality teaching, research and community services. A further study into the investigation of how effectively university management have played their role in quality assurance should be conducted.

5.5.4 Assessment of Quality in the Delivery of the Business Processes and Services

The study did not adequately exhaust the quality aspect because it focused on records management as a tool for quality service provision. It therefore suggests that further research be conducted into the assessment of quality of delivery of the business processes and services at Moi University. Moi University is ISO certified and hence it needs to continuously assess its performance against the quality tools (EFQM Model, service charter and strategic plan) and continuously strive to improve its processes.

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APPENDICES

APPENDIX 1 – INTRODUCTORY LETTER TO RESPONDENTS

Dear respondents

I 'am an Mphil student at Moi University, School of Information Sciences, undertaking a research study titled The Role of Records Management in the Provision of Quality Services at Moi University.

The aim of the study is to investigate the relationship between sound records management and quality services provision and to establish how poor records management can negatively impact on the quality of services provided and hamper the attainment of effective business processes in the institution. I have selected your departments/sections because of their functions and operations which relate to the aims and objectives of the study.

Your input to this study is very important because of the topic/subject of study which is pertinent to the on-going efforts to make Moi University an even better managed institution.

The outcome of the research will provide more insights into practices that negatively impact on the quality of services provided and also expose the institution to all forms of litigation and risks such as operational and reputational. The study will also look at records management as a tool for quality service provision and make recommendations on how records can be effectively and efficiently managed in order to enhance quality service provision. I therefore ask for your support in the provision of required information and hereby assure you that all information contributed towards the study will be treated with utmost confidentiality and used exclusively for this research only.

Carolyn Shikuku

Mphil Researcher.

**APPENDIX II: INTERVIEW SCHEDULE FOR MOI UNIVERSITY
MANAGEMENT STAFF**

Section A: Biodata

Position held/Designation

Department

Professional Qualifications

Section B: Questions

Role of Records Management in the Provision of Quality Service Provision

1. What are the core business processes of Moi University and how do records complement these processes and activities?
2. What kind of records are required to facilitate the discharging of these business activities?
3. How are these business activities strategically aligned to the core business processes of the University as a whole?
4. What kind of services does the University offer?
5. Are these services adequately addressing the quality principle in line with ISO standards?
6. What kind of Legislative Instruments, regulatory infrastructures and/or university-wide policies and structures/programs are in place to ensure the effective and efficient management of records for enhanced quality service provision?
7. How regularly are these policies reviewed and revised to cater for the ever changing business environment?
8. How can these policies be enhanced in order to make them more effective in the management of records for quality service provision?
9. To what extent do the current records management practices enhance or undermine policy formulation, planning business activities, implementation of university services and decision making?
10. To what extent does the University management support records management practices and how is this impacting on service provision?

11. In your opinion, how are Information and Communication Technologies (ICTs) likely to impact on records management and policy formulation, business process planning and decision making?
12. What infrastructure has been put in place to facilitate the automation of the records system in this information age?
13. How are processes analyzed to ensure that they add value to customers and the university, reflect priorities derived from goals in improvement plans, and support the university's strategic direction?
14. What changes would you recommend in connection to the strengthening of records management in a bid to enhance service delivery?

APPENDIX III: INTERVIEW SCHEDULE FOR MOI UNIVERSITY ACTION OFFICERS

Section A: Biodata

Position held/Designation

Department

Professional Qualifications

Section B: Questions

Role of Records Management in the Provision of Quality Service Provision

1. What administrative processes and related business activities do you mostly engage in?
2. What kind of records do you require to enable you to successfully carry out these business activities?
3. How do the records complement or undermine the achievement of these activities?
4. How long does it take between the time you request for a record and the time the requested records it is availed to you?
5. How has the quality of your decisions/ administrative activities in general been affected by these records?
6. To what extent do the available records provide adequate, accurate, authentic and reliable information to support your administrative activities?
7. Is there a strategic approach in place for managing the records you create throughout their continuum for enhanced quality service provision?
8. To what extent do you feel that your information needs are being met by the existing services?
9. How has harnessing Information and Communication Technologies (ICTs) in the management of your business processes impacted on discharging your duties and responsibilities and the implementation of policies and decisions?

10. What opportunities and challenges do these technologies present in the management of your duties and responsibilities and how are these challenges being addressed?
11. In your opinion how has ISO certification on the organizational culture in general and service provision?
12. What challenges do you encounter in accessing the records and services that you require to perform your duties and responsibilities and how do you address these challenges?
13. What recommendations/suggestions or/and advice would you give towards improving the management of records for enhanced quality service provision?

APPENDIX IV: INTERVIEW SCHEDULE FOR THE RECORDS

SUPERVISORS AND CLERICAL OFFICERS OF MU RECORDS SYSTEM

Section A: Biodata

Position held/Designation

Department

Professional Qualifications

Section B: Questions

BUSINESS PROCESSES

1. What are the core business processes of Moi University and how is the records system complementing these processes?
2. What kind of records are created/generated or emanate from these business activities?

RECORDS MANAGEMENT AND PROVISION OF QUALITY SERVICES

3. How are records are managed throughout their continuum for quality service provision?
4. What kind of ethical principles and standards are in place to ensure the security and confidentiality of sensitive and vital records (examination records and results and disciplinary cases for example) against tampering and alteration?
5. How has ISO certification impacted on the records system's work processes and procedures and the quality of service provided?
6. How do you control the movement and track the movement of records and how effective are these mechanisms?
7. Is the kind of training you possess relevant to the kind of work you are doing right now or do you think that you need additional training and skills to enable you to discharge your duties more diligently?

8. Do you know what service improvements your clients would most like to see and are you aware of changes in client circumstances to which you may need to adjust?
9. Is there a scheme of service in place that allows you to progress from one scale to another after training and if so over what given period of time is this effected?
10. Do you actively participate in the decision making process especially with regard to the decisions that affect you either directly or indirectly?

EFFECT OF ICTs on RECORDS MANAGEMENT

11. In your opinion how are ICTs likely to impact on records management and quality service provision?
12. Do you have ICT literacy skills to enable you to manage records in the electronic environment for quality service provision?

CHALLENGES FACED IN MANAGEMENT OF RECORDS

13. What kind of security issues/challenges does the records system have to deal with and how does the records system go about addressing these challenges?
14. How sufficient is the resource allocation to the records system and how does this impact on the quality of service provided?
15. What preparation have staff made to enable them cope with the challenges posed by records in the electronic environment/format?
16. What kind of challenges do you encounter in managing records and providing services and how are these challenges being addressed in order to enhance quality service provision?
17. What kind of skills are lacking in the current records system and how are these challenges being addressed to support quality service provision?

RECOMMENDATIONS

18. What suggestions or contributions would you like to make towards the improvement of records management practices and enhancement of service provision in line with ISO requirements now that the University is ISO certified?

APPENDIX V: INTERVIEW SCHEDULE FOR SECRETARIES

Section A: Biodata

Position held/Designation

Department

Professional Qualifications

Section B: Questions: BUSINESS PROCESSES

1. What are the business processes of your department?
2. What kind of records do these activities create or generate?

RECORDS MANAGEMENT AND PROVISION OF QUALITY SERVICES

3. How are these records managed during their continuum and how do these practices enhance or undermine the provision of services?
4. Do you have any formal records management training and skills to enable you to effectively and efficiently manage the records in your custody?
5. Is there a program in place that offers you guidance in the management of records?

EFFECT OF ICTs on RECORDS MANAGEMENT

6. How have Information and Communication Technologies (ICTs) impacted on the management of records and the provision of services in your department?
7. What challenges are these technologies posing on the management of records and service provision and how are these challenges being addressed?
8. Are you Information technology literate to enable you to competently work with the ICTs in you department?

CHALLENGES FACED IN MANAGEMENT OF RECORDS

9. What challenges do you encounter in the management of these records and how are these challenges addressed for enhanced service provision?
10. Do you attend seminar, workshops or conferences related to the work you are doing to enable you to borrow a leaf or two from the professionals in the field (secretarial, records managers and ICT specialists)?

11. How are issues communicated to you from the management? Is it just by giving orders from the top to bottom, or is it up down approach or is it horizontal?
12. Do you regularly have staff meetings to discuss the challenges that you face at the work place and chat the way forward?

RECOMMENDATIONS

13. Please provide any additional information which in your opinion will be useful in the effective and efficient management of records and enhance provision of quality services especially now that the university is ISO certified and it is striving to maintain the required standards as stipulated in the ISO certification document.

APPENDIX VI: OBSERVATION SCHEDULE

OBSERVATION SCHEDULE

1. Building – suitability, maintenance, general cleanliness, floor space, office layout
2. Storage equipment – Adequacy, types of records stored, how the records are stored (current, semi-current and non-current records), security of the records
3. Records management and care - handling and care of records as they are retrieved, taken to the requesting offices and returned to the records facility
4. Storage environment - environmental conditions, factors such as temperature, light intensity and illumination, atmospheric pollution, dust and water during cleaning
5. Condition of records - physical state, e.g. files, (are they torn, distorted, completer, etc.)
6. Types of records created - identifying the nature of the record as well as the filing system in use
7. Classification system in use
8. Disposition of the records – how it is done, value attached to the records created, guidelines on what records are to be destroyed and when, who authorizes destruction
9. Service provision
 - Handling of customers
 - Duration of time it takes to attend to customers
 - Duration of time it takes to retrieve records
 - Interaction between customer and staff
10. Physical environment in which the staff work

11. Communication and interaction between the staff at different levels