

**ENHANCING RECORDS MANAGEMENT FOR QUALITY SERVICES IN
MOI UNIVERSITY, ELDORET, KENYA**

BY

CAROLYNE NYABOKE MUSEMBE

**A THESIS SUBMITTED TO THE SCHOOL OF INFORMATION SCIENCES
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**MOI UNIVERSITY
ELDORET**

OCTOBER, 2015

DECLARATION

DECLARATION BY STUDENT

This thesis is my original work and has not been presented for any other degree, published nor submitted for examination in this or any other university. No part of this work can be reproduced without prior permission from the author and/or Moi University.

Signature

Date

Carolyne Nyabokey Musembe

(IS/MPHIL/72/12)

DECLARATION BY SUPERVISORS

This thesis has been submitted for examination with our approval as university supervisors.

Dr. Alice Wafula
Department of Library, Records Management & Information Studies
Moi University

Signature

Date

Ms. Emily Ng'eno
Department of Library, Records Management & Information Studies
Moi University

Signature

Date

DEDICATION

I dedicate this thesis to the memory of my late dad and grandmother for their love of education. Your love will live with us forever and I shall forever cherish and love you all.

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I love you all and may God's blessings be upon you.

ABSTRACT

Public as well as private organizations are increasingly realizing that sound records management is linked to service delivery. However, Moi University is yet to realize the role of records management to quality service delivery. This is due to lack of policy frameworks on management and destruction of records and inadequate qualified staff among others. The aim of the study was to investigate the role that records management play in enhancing the quality of services offered at Moi University. The objectives were to: establish how records are managed in Moi University in support of the business function ; determine the quality standards applicable to records management in Moi University; establish the policies guiding records management in Moi University; Identify the challenges encountered in the management of records; and how they impact on quality service provision and suggest ways and strategies for improvement of records management to enhance quality of services in Moi University. The researcher utilized a comprehensive Service Quality Gap Model and the Records Continuum Model. The study was qualitative and some aspect of quantitative approach. Data was collected through face to face interviews and questionnaires. The qualitative data was analyzed thematically to identify the relationship between categories established, while quantitative data was analyzed using descriptive statistics. The study sample size was 78 respondents drawn from Moi University. The key findings were that: the university generates more diverse records, records management is largely manual and it makes it difficult for one to trace a document or a file and this has compromised the security of records and the organizational culture does not appreciate records management as a tool to enhance quality service delivery. The study concluded that records management aspect is not well developed thus undermining quality service delivery. Recommendations proposed were that: the University should develop a comprehensive records management programme and policies, integrate ICT in management of records and employ adequate qualified personnel. The study further suggested strategies for the study. Conducting of a records survey to understand the university's records environment is one of the strategies suggested by the study to aid in the implementation of records management and service delivery in the university.

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LIST OF ABBREVIATIONS AND ACRONYMS

ARMA	-	Association of Record Managers and Administrators
IRMT	-	International Records Management Trust
ICA	-	International Council of Archives
ISO	-	International Organisation for Standardisation
QA	-	Quality Assurance
QMS	-	Quality Management System
SQGs	-	Service Quality Gaps
SERVQUAL	-	Service Quality
RM	-	Records Management
RAM	-	Records & Archives Management
QMS&ISOC	-	Quality Management System & ISO Compliant
MU	-	Moi University
RMD	-	Records Management Department
VC	-	Vice Chancellor
DVC (A, R&E)	-	Deputy Vice Chancellor Academics, Research & Extension
DVC (AP&D)	-	Deputy Vice Chancellor Administration, Planning & Development

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CHAPTER ONE

INTRODUCTION AND BACKGROUND INFORMATION

1.1 Introduction

The importance of records to governments, organisations and individuals across the globe cannot be overstated, especially in this information age. For an organisation to effectively and efficiently execute its mandate, records are vital regardless of the form in which they are produced. Swan, Cunningham and Robertson (2002) state that proper record keeping is critical for the survival and efficient operation of the day-to-day business activities of an organisation. Every activity or service carried out or to be carried out generates records, therefore records are the main source of information and the tools with which an organisation's business is transacted. Records, therefore, have value and add to the intrinsic worth of an organisation. That is the reason records need to be managed in a meaningful way: so that they can be accessed and used in the course of daily functions throughout the organisational environment.

Shepherd and Yeo (2003) opine that records may be created either in the course of an activity or afterwards in a conscious act of record keeping. Therefore, an organisation needs to keep records, prioritizing their proper management since records will help in enhancing an organisation's core mandate and also be able to comply with its legal and regulatory obligation(s). Currall and Moss (2008) state that a government must ensure the permanent keeping of its records since it needs to account for its administrative actions to its citizens. Records management has, in the past, attracted attention from numerous scholars. The studies that have been conducted were inspired by varying reasons. As an

organisational resource, records serve many functions in the operation of an establishment such as a university. Wamukoya (2009) opines that, with respect to research, records embody and relive a society's collective memory and experiences including historical, cultural, sociological, demographic, scientific and technological. Prior to proceeding with the review, it is paramount to understand what records are and the varying forms in which they manifest. According to Duranti, Eastwood and McNeil (2002), records are comprised of all documentary materials such as correspondence, forms, reports, drawings, maps, photographs, and appear in various physical forms, such as paper, cards, microfilm, tape, Compact Disks, and so on which can be preserved for short or long periods.

Popoola (2000) observes that what actually keeps institutions going in any modern system is recorded information called "records", which inform the process of planning, decision making, and controlling an organisation. The purpose and essence of any record system is that the right information should be in the right place and in the right order, at the right time for the right person and at the lowest cost because, according to Wamukoya (2009), they (records) are the basis upon which corporate entities are able to defend their decisions and actions. This implies that records are paramount for a smooth day to day running of any organisation. The need to manage records stems from the fact that virtually every process or transaction in an organisation generates records such that at the end of a single day, hundreds or even thousands of new records are created in an organisation. If left unmanaged, the organisation would not only be a physical mess but any efforts to retrieve past records would be futile.

For this feat to be achieved, an integrated records management program is needed (Baje, 1998). Enwere (1992) argues that the un-integrated records management program in Nigeria, for instance, led to inefficiency in administration and to the loss and/or unavailability of vital information needed for decision-making.

Therefore, the objectives of records management, according to the International Organisation for Standardisation (2000), Ambira and Kemoni and Wamukoya (2007), and Buckland, Anderson, Burnham, Laake, Borchers and Thomas (2001), are to: set policies and procedures; assign responsibilities for RM at various levels within the organisation; set best practice standards; process and maintain records in safe and secure storage(s); implement access policies; implement a records retention and disposal policy; integrate records management into business systems and processes; assign, implement and administer specialized systems for managing records, and to provide a wide range of services relating to the management and use of records. Organisations adhering to the above are able to provide quality services to their clients because records created or received will be acquired at the right time and protected thus ensuring prompt decision-making is achieved.

As records management is developed, it has incorporated principles integral to information science as "...the means of processing information for optimum accessibility and usability, concerned with the origination, collection, organisation, storage, retrieval, interpretation, transmissions, transformation and use of information" (Cronin & Taylor, 2003). Such principles are adopted by records managers in seeking to enhance the access and use of records.

Stressing the use of technology in records management, McDonald (as cited in Bailey, 2007) argues that, in developing record keeping solutions, it is necessary to understand the evolution that is taking place in the use of technology. The application of Information and Communication Technology (ICT) to the management of records, therefore, will go a long way in making such records accessible and usable thus enhancing the quality of services in institutions. According to Wamukoya and Mutula (as cited by Kemoni & Ngulube 2007), effective e-records management has the potential to improve service delivery and enhance accountability and transparency in government but only if the requisite skills are met.

Therefore, sound and quality services are achieved through sound records management, as Kanzi (2010) adds that a sound records management programme is the foundation for managing resources and the delivery of the services to the public. Transparency, due time, finding information fast, accountability, are some of the products of proper records management, hence efficient and effective service delivery. Organisations should always strive to avoid failure to deliver services as promised, in this case, as Shepherd and Yeo (2003) state, for any organisation, managing records should be a strategic function with a continuing programme that is effective across the organisation as a whole. According to ISO 15489 (ISO, 2009), effective records management enables an organisation to do the following: conduct business in an orderly, efficient and accountable manner; deliver services in a consistent and equitable manner; support and document policy formulation and managerial decision-making; provide consistency, continuity and productivity in management and administration, and to facilitate the performance of activities throughout the organisation.

Records management is a mandatory requirement of ISO standards. Organisations in recent time are motivated to obtain certification with ISO 9001:2008 (ISO, 2008), and this standard emphasizes the documentation of every process, procedure and record keeping, among others, to enhance the quality of services in organisations.

Therefore, managing records should be a strategic function for any organisation (including Moi University) with a continuing records management programme that is effective and efficient across the organisation's business functions so as to enhance the quality of services.

1.2 Background Information of Moi University

According to the Moi University's (2013) *Strategic Plan 2009/10-2014/15*, Moi University is located in Eldoret, 310 kilometers North West of Nairobi, the capital city of Kenya. It was established as the second University in Kenya by an Act of parliament, the Moi University Act of 1984, which has since been repealed by the Universities Act of 2012 (Quality Manual and procedures, 2013).

Moi University's (2013a) *Strategic Plan 2009/10-201/15* explains that the first cohort of 83 students was admitted in 1984 through a transfer from the University of Nairobi's Department of Forestry,. The total student enrolment today stands at 26,767, of which 22,885 are undergraduates and 1,415 are post-graduates. The students are registered in 188 programmes consisting of 96 for undergraduate (Diploma and Bachelors), 9 post-graduate diplomas, 71 masters programmes, and 22 doctorate programmes. Moi University's strategic plan further explains that the number of students is envisaged to increase to 42,000 by 2014/15, taking into account the annual student growth rate of

approximately 16 per year cumulatively in all categories of government sponsored, and privately sponsored students as well as student population growth at the satellite campuses.

The university has experienced rapid growth from its initial one faculty in 1984 to a total of 14 schools and 6 directorates in 2012, including:

- i) The Institute of Gender (IGERD) which is conceived to be a place where meaningful discourse and interaction on gender and development at the university and its environs would take place. Its vision is to be a source of information a source of empowerment, to both women and men, and acts as an institution that motivates people for lifelong learning. IGERD is, therefore, mandated to spearhead gender and related issues.
- ii) The Open & Distance Learning is the second directorate which facilitate the integration and implementation of Open and Distance Learning, E-learning and blended approaches in order to expand access to education.
- iii) The third Directorate is Quality Assurance which ensures that quality teaching, training, research, extension and outreach services are offered to students (both local and international), researchers and professionals.
- iv) The ICT centre is the fourth directorate and it provides efficient and effective service to the end-user community at the University with regard to the processing of information and communication. The centre's services included: network design/ implementation; maintenance and technical training.

- v) The Privately Sponsored Students Programme (PSSP) is the fifth directorate. It aims at providing an opportunity to secondary school graduates who obtained the minimum grade of C+ in the Kenya Certificate of Secondary Education (KCSE) but are not admitted by the Joint Admissions Board (JAB) because of the limited capacities in the Public University. Many students are left out because the universities admit from grade B plain and above.
- vi) The sixth directorate is the International Office.

The University currently operates the following campuses: Main; Town; Odero Akango; Nairobi; Kitale; Kericho; Coast, and Alupe. Moi University also has one constituent college: Rongo University College.

According to Moi University (2013a), since 1984, the number of staff at all levels has increased from 143 to 4,370 in 2010 of whom 1,424 are academic staff. The university has continued to attract and retain staff for effective implementation of its programs (Moi University, 2013a)

1.2.1 Vision, mission, Core values, Objectives, Quality Policy Statement of the Moi University

To meet its business functions the University has the following vision mission, core values, objectives and quality assurance statements, (Moi University 2013a; Moi University, 2013b).

a) Vision

To be the university of choice in nurturing, innovation and talent in science, technology and development (Moi University, 2013).

b) 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 the society (Moi University, 2013a).

c) Core values

The Moi University (2013a) *Strategic Plan, 2009/10-2014/15* outlines the following core values of the University:

- The promotion and defence of intellectual and academic freedom, scholarship and relentless search for truth.
- Fostering teamwork, collaboration, creativity and innovation, effective communication, tolerance, perseverance, and a culture of peace.
- Embracing excellence, transparency, and accountability.
- Practicing professionalism, meritocracy, exemplary leadership, equality, integrity, and social justice.
- Maintaining self-respect, discipline, responsibility, institutional loyalty, national patriotism, and international competitiveness.
- The continual improvement of services in order to remain competitive and relevant.

d) Objectives

The Moi University (2013a) *Strategic Plan, 2009/10-2014/15* lists the following objectives;

- To be an innovative, competitive and world class entrepreneurial University.
- To pursue excellence in teaching, research, outreach, and extension.
- To produce internationally recognized, informed, practical, and self-reliant graduates capable of contributing to knowledge and development in a variety of settings.
- To offer expertise in national and international development in a globalized world.
- To promote science and technology for development.
- To promote a culture of corporate social responsibility.
- To offer opportunities for training through Open and Distance Learning and continued education.
- To secure and manage resources in order to effectively achieve the set goals.

e) *Quality policy statement*

According to Moi University's *Endowment Policy* (2012), the University is committed to providing quality education and services that meet the needs of its customers and stakeholders through quality and relevant teaching, research, 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 (programs/activities) and services so as to achieve client/customer satisfaction. To be able to realize this commitment, the University will continually review its products (programs/activities) and services to conform to the Quality Management Systems based on the ISO 9001:2008 standard.

1.2.2 Records Management in Moi University

Sound records management is one of the fundamental rudiments of good governance and effective and efficient management. It forms the basis for formulating policy, managing resources, and delivering services to the public. Records management also provides a basis for accountability and protection of individual rights. Kemoni (2000) states 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 obligation of a university depend on good record keeping. Moi University is also well aware of this fact and has put in place a records system responsible for the creation, maintenance and disposition of records in the University.

Moi University operates on both a central and decentralized records management system. It has several registry systems performing various tasks and which is distributed across its campuses. There is the central registry where all university personnel files are stored while the recruitment registry is mandated to process employment letters and keep a copy of the letter and the records that lead to the appointment in individual files. Other registries that exist are: Examinations; Student Admissions, and the Medical Records System. Departments, units and schools create and/or receive and keep their own records. The central registry services fall under central services, headed by a Registrar. Students' registry, recruitment and training registry are also headed by respective Registrars falling under the Deputy Vice Chancellor, Administration, Planning & Development (DVC-A,P&D) the examination registry is headed by a registrar under the office of Deputy Vice Chancellor, Academic Research & Extension (DVC-A,R&E). These records systems carry out various functions, including the receipt and distribution of incoming and

outgoing mail as well as receiving, organizing, storing, securing, and facilitating access to the records that they are entrusted with, for instance personnel records, and tracking the movement of records within the offices of Action officers, among other functions.

Moi University has established a Quality Management System (QMS), implemented in order to ensure that its programmes, activities and services conform to customer, applicable statutory and regulatory requirements. According to Moi University's (2012) *Quality Manual and Procedures*, the University is an ISO-certified institution thus bases its standards on ISO 9001:2008 (ISO, 2008). In the QMS description of a record, it is a special kind of document on how the QMS processes perform in a given institution and, therefore, in Moi University records are kept as objective evidence of how the QMS processes in the university occurred within the regulatory and QMS requirements. At present, the university has responded to the needs of quality by putting in place mechanisms that respond to performance contracting, ISO 9001:2008 compliance, monitoring, and evaluation (Moi University, 2013). Therefore the above records systems have a mandate to adhere to the standards stipulated in the ISO standards.

1.3 Statement of the Problem

Organisations generate records in the course of their business activities and transactions, and Moi University is not an exception. The expansions of Moi University, in terms of units, departments and schools, generated massive records. The level at which records are accumulating put a lot of strain on the records management system, leading to poor records management practices which have affected the provision of quality services in the University.

A preliminary analysis conducted by the present researcher (2013) in the various departments, including the central administration, Dean of Student affairs, and Financial Services, among others, showed that they experience various record keeping challenges owing to failure to recognize records management as a core and strategic activity in the delivery of the University's mandate. Previous researchers acknowledge that, to achieve sound records management, the organisation should prioritize their proper management as this will help in enhancing the organisation's core mandate and be able to comply with its legal and regulatory obligation thus providing quality services to its clients. Having sound records management in place offers tangible business gains through granting the organisation greater control over the information which it holds and, therefore. This is echoed by Shepherd and Yeo (2003) who state that, in any organisation, managing records should be a strategic function, with a continuing programme that is effective across the organisation as a whole.

Although, ISO 9001:2008 (ISO, 2008) emphasizes the importance of records management to quality services, records management has not received adequate attention from the university management and other sections of the university. According to a report presented on the implementation of ISO 9001:2008 Quality Management System (ISO, 2008) during a Non-Teaching Heads of Departments meeting on Tuesday 26th June, 2012 and ISO 9001:2008 Surveillance Audit Report on Moi University-Main Campus conducted by KEBS between 9th -11th October 2013 various aspect relating to records management such as poor filing, lack of folioing and labelling of documents, lack of records protection, and poor documentation, have been highlighted as part of ISO non-conformities.

This study focuses on issues associated with record management and quality services in the University which have been faced due to: lack of a policy framework on management and destruction of records; inappropriate physical facilities for storing records; lack of security on records; difficulty in records retrieval, and inadequate qualified staff. These factors have negatively affected the University in meeting its mandate and its quality policy statement thus affecting the delivery of services to its stakeholders.

This study, therefore, sought to investigate the role of records management in enhancing the quality of services at Moi University and to suggest strategies for improvement that will help in ensuring efficient and effective management of records at the University so as to improve the quality services provided.

1.4 Aim

The aim of this study was to investigate the role of records management in enhancing the quality of services at Moi University and to suggest possible strategies for improvement.

1.5 Objectives

The specific objectives of the study were to:

- i) Establish how records are managed in Moi University in support of the business function.
- ii) Determine the quality standards applicable to records in Moi University
- iii) Establish the policies guiding records management in Moi University.
- iv) Identify the challenges encountered in the management of records and how they impact on quality service provision.

- v) Suggest strategies for improvement of records management in enhancing the quality of services in Moi University.

1.6 Research Questions

This study was guided by the following research questions:

- i) How do records support the business activities/ mandate of Moi University?
- ii) What record management standards guide how records are managed in Moi University?
- iii) What records management policies guide the management of records in Moi University?
- iv) What are the challenges encountered in the management of records and how do they impact on quality service provision?
- v) What are some of the possible suggestions for improvement of records management at the University?

1.7 Assumption of the Study

- i) Developing and implementing a sound records management policy will enhance quality services at Moi University, Main Campus.
- ii) Well trained personnel in records management will enhance quality service delivery at Moi University, Main Campus.
- iii) Although Moi University generates records, current management of these records does not adequately enhance quality service provision.

1.8 Significance of the Study

1.8.1 Policy-Related Significance

The recommendations of this study will enhance quality service provision since it informs the development of an authoritative policy statement which will provide for a record keeping capacity at Moi University as an integral part of quality service provision.

1.8.2 Practical Significance

This study will assist the institution in determining the extent to which records management can help to provide quality services. It will help identify gaps and weaknesses in current records management and show where best direct resources and focus efforts for improvement so as to enhance service delivery.

1.8.3 Theoretical Significance

This study will contribute to the body of knowledge in records management and quality service provision through the provision of recommendations. This study proposes strategies that could support records management in enhancing quality service delivery in Moi University.

1.9 Scope and Limitations of the Study

1.9.1 Scope of the Study

This study was limited to assessing the role of records management in enhancing the quality of services in Moi University. This study was only concerned with the influence that the management of records has on the enhancement of the quality of all services delivered in the University and only by the records department. The targeted respondents were limited to the University's Management, the Quality Management System & ISO-

Compliant departments (QMS&ISOC), Dean of Student Affairs, Health Services, Financial Services, Quality Assurance, and the Central registry system.

1.9.2 Limitations of the Study

With regard to the data collection instruments, the use of questionnaire was a major limiting factor because once the questionnaires were dispatched, the researcher lost control of the questionnaires. To overcome this challenge, follow-ups were used to counter the loss of the questionnaires while, on other respondents, interviews were employed to pursued respondents to participate in the study.

1.10 Summary

The chapter introduced this study by discussing: background information to the study; the statement of the problem; the aim and objectives; research questions; significance of this study, and the scope and limitations of this study. It has emerged from the studies that records management is critical in the successful provision of services. The background and current state of records management at the University have also been discussed. The chapter concludes with the key terms of the study.

1.11 Definition of Terms

Document: Information and its supporting medium (ISO, 2005).

ISO: A standards development body that was formed in 1947 national standard bodies which represents respective member countries, for example, in Kenya, the Kenya Bureau of Standards is the representative (Moi University, 2014).

Records: "...information created, received, and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transaction of business" (ISO, 2002).

Process: A set of interrelated or interacting activities which transforms inputs into outputs.

Quality: "...fitness of a product or service for meeting or exceeding its intended use as required by customer" (ISO, 2000).

Quality Management: "Coordinated activities to direct and control an organisation with regard to quality" (ISO, 2005).

Quality Management System: A management system used to direct and control an organisation's processes in regard to quality (ISO, 2005).

Records Management: "...field of management responsible for efficient and systematic control of creation, receipt, maintenance, use and disposition of records, including the process for capturing and maintaining evidence of information about business activities and transactions in the form of records (ISO, 2001).

CHAPTER TWO

LITERATURE REVIEW

2.1 Introduction

This chapter discusses the theoretical framework and literature review related to this study from past studies on records management and quality services. It highlights the purpose of literature review in research and an overview of existing records management and quality service models. Mugenda and Mugenda (2004) opine that literature review is a synthesis of published literature on what different authors and schools of thought have researched and published on a subject or topic. Assessment of the existing literature also forms the basis for developing a framework for analysis and interpretation of collected data.

According to Elwood (as cited in Erima, 2013), a good literature review should be focused, structured, critical, accurately referenced, clearly expressed, reader friendly, informative, and balanced.

The reviewed literature falls under six themes based on this study's objectives, namely: how records are managed in support of the business function; the standards adopted for records management; the policies and procedures for records management; quality measures on record management that have been put across to achieve quality for services; challenges encountered in the management of records and how they impact on quality service provision, and the strategies for the improvement of records management in enhancing the quality of services in Moi University.

2.2 Theoretical Framework

According to Borgatti (1999), a theoretical framework is a collection of interrelated concepts like a theory but not necessarily so well worked out. Creswell (2003), on the other hand, explains that a model, as a theoretical construct, is used as a thinking aid in a study of some physical system too complex to be understood by direct inferences from observed data. Shepherd and Yeo (2003) observe that all the records management models originated from the Life Cycle Model.

2.3 Records Management Models

2.3.1 Records' Life-Cycle Concept

The Life Cycle Model was conceived in 1956 by Theodore R. Schellenberg. His view was that the life-cycle of records had a life similar to a biological organism which uses a birth to death analogy, that is: records are born, live through youth and old age then die (Shepherd & Yeo, 2003). According to Xiaomi (2001), the record's life-cycle concept involves the following: creation; distribution; maintenance and use; appraisal, and disposition. Although the model has been used frequently, Shepherd and Yeo (2003) observe that, in recent years, it has been subject to much criticism, such as:

- Some records do not die but are retained indefinitely because of their continuing value.
- The division between stages of the life cycle in the 'three ages' model is seen as artificial, for example records thought to be non-current may have a renewed period of currency if the activity that gave birth to them is revived.

- The model does not allow for the repetition of stages, or for stages to be omitted, although in practice this frequently happens.
- McKemmish (as cited in Shepherd & Yeo, 2003) argues that the life-cycle concept perpetuates an artificial distinction between records kept for business purposes and records kept for cultural reasons and thus between the professional perspectives archivists and records managers.
- The critics also suggest that it is too focused on records as physical entities and on operational tasks, especially those associated with the custody of paper records.

2.3.2 The Records Continuum Model

Australian Records Management Standard AS4390 defines records continuum as the consistent and coherent regime of management processes from the time of the creation of records (and before creation, in the design of a record keeping system) through to the preservation and use of records as archives (Wamukoya, 2009). Shepherd and Yeo (2003) believe that there are no separate steps in managing records and it is seen as a continuous process where one element of the continuum passes seamlessly into another.

The most basic difference between the continuum model and the life-cycle approach is that while the life-cycle model proposes a strict separation of records management responsibilities, the continuum model is based upon an integration of the responsibilities and accountabilities associated with the management of records.

Xiomi (2001) states that the continuum's purpose-oriented systems approach to records management fundamentally changes the role of record-keeping. Instead of being reactive, managing records after they have been created, record keeping becomes proactive. In

partnership with other stakeholders, identifying records of organisational activities that need to be retained then implementing business systems designed with built-in record-keeping capability, ensures capturing records of evidential quality as they are created.

The model gives an approach for conceptualizing the records continuum and for thinking about record-keeping in organisations and the society in general. It pinpoints the core evidential, record-keeping and contextual features of the continuum against the dimensions of the record-keeping function and it is itself placed in a broader social, legal and technological environment (McKemmish, 1997; Upward 2001; Xiomi, 2001).

McKemmish (1997) states that the continuum is holistic and multidimensional in orientation; it can be refracted and separated into its constituent layers as explained in the dimensions of the records continuum (Figure 1).

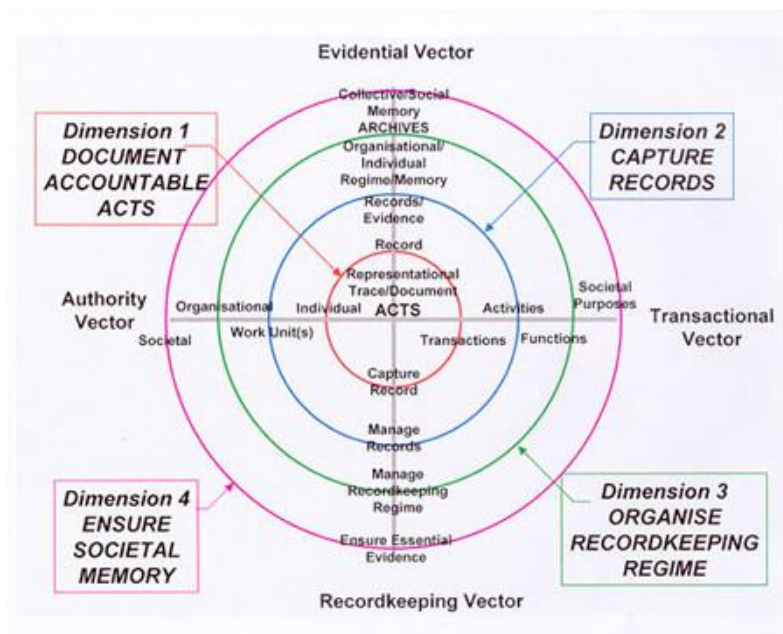


Figure 1: The Records Continuum Model

Source: Frank Upward (2001)

Dimension 1- Create

This encompasses the players who carry out the act, for instance the employees in an organisation, the work related to decisions, communications and actions, the acts themselves, the documents which record the acts and trace the presentation of the acts.

Dimension 2 - Capture

This involves both personal and corporate record-keeping systems, which capture documents in context in ways that support their capacity to act as evidence of the social and business activities of the units responsible for the activities.

Dimension 3 - Organize

This is the organisation of record-keeping processes. It is concerned with the manner in which an organisation and/or individual defines their record-keeping regime. In so doing, they constitute/form the archives as memory of their business or social functions.

Dimension 4 - Pluralize

This covers the methods in which the archives are brought into an encompassing (ambient) and cultural memory of the institutionalized social purposes and roles of individuals and corporate bodies.

The dimensions have no boundaries but they are coordinated and integrated and different record-keeping activities can happen simultaneously across the four dimensions, a fact echoed by Shepherd and Yeo (2003) who state that the dimensions in the continuum are not time based, but represent different perspectives on the management of records.

McKemmish (1997) states that the records model embraces the view that records function simultaneously as organisational and collective memory from the time of their creation.

McKemmish (as cited in Shepherd and Yeo, 2003) notes that the mechanisms of best practice behind the records continuum model are ideal for integrating records and for archives management because the records continuum focuses on: the similarities rather than differences; qualities and quantities rather than quantities alone; positive and cohesive ways of thinking rather than disparate or passive ways; integrated policy-making rather than fragmented frameworks; integrated control of policy implementation rather than separate control; integrated rather than disparate approaches to problem solving, and meeting customers' needs through collaboration rather than by duplication and overlap.

According to McKemmish (1997), Upward (2001), and Xiomi (2001), the records continuum presents a useful framework for the exploration of the continuum of responsibilities that relate to recordkeeping

Fynn (2001) further goes further, explaining that the records continuum model is significant because of the following:

- The broadness the interpretation of records and record-keeping systems offered by the lifecycle model. Such broadness is helpful given the variety of contexts in which archivists and records managers operate and in which archives and records are used.

- It reminds us that records (including archives) are created and maintained for use as a result of business and administrative functions and processes, rather than as ends in themselves.
- It emphasizes cooperation beyond the walls of repositories, especially between the closely-related, if occasionally estranged, professions of archives administration and records management.

2.3.3 The Service Gap Model

The gap model of service quality was first developed by Parasuraman, Zeithaml and Berry in 1985 when they proposed a conceptual model of service quality, indicating that consumers' or clients' perception towards a service quality depends on the gaps existing in the organisation. According to Brown and Bond (1995), "the gap model is one of the best received and most heuristically valuable contributions to the services literature".

The model identifies five gaps relating to managerial perceptions of service quality, and tasks associated with service delivery to customers.

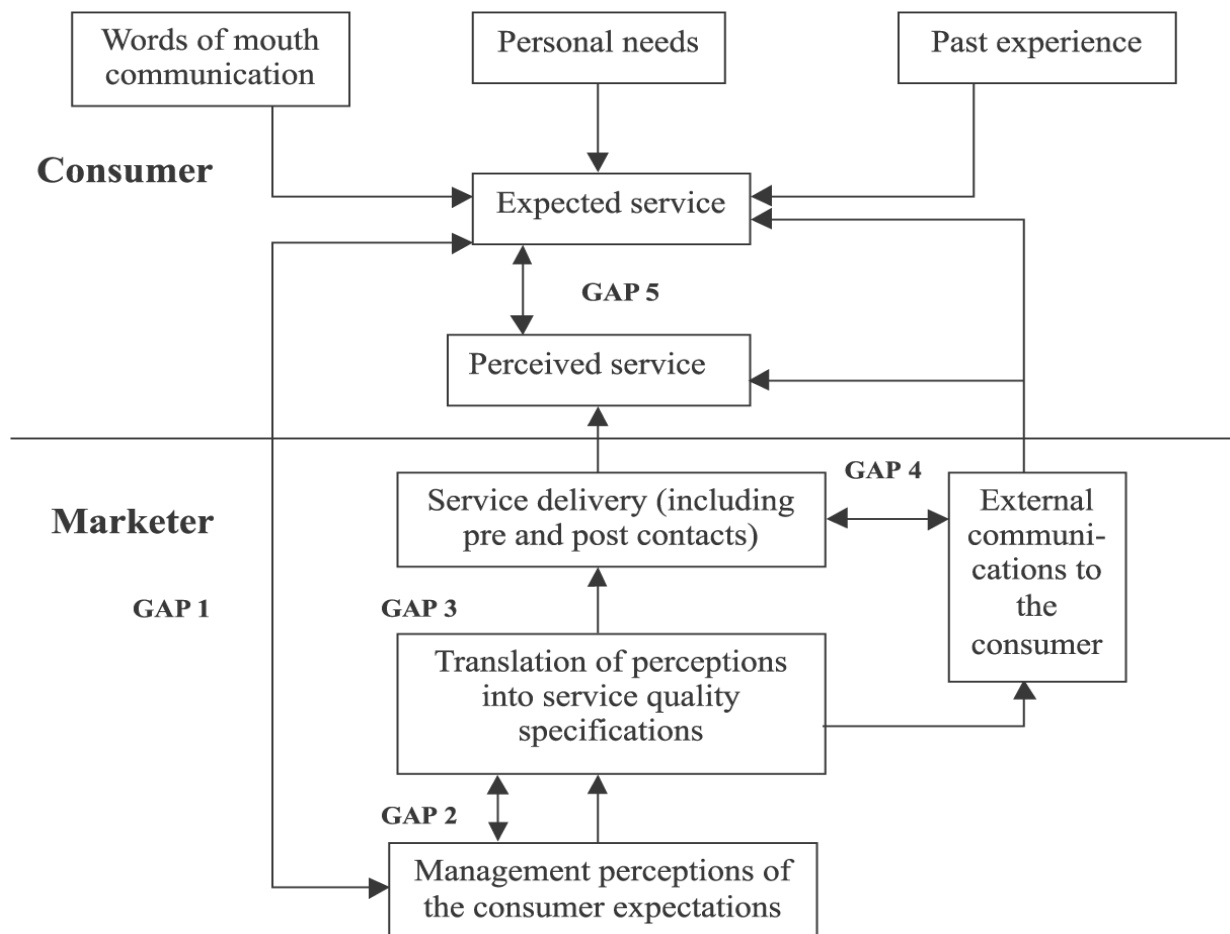


Figure 2: Service Gap Model

Source: Parasuraman et al. (1985)

Gap 1: Customers' expectations versus management perceptions

The management may have inaccurate perception(s) of what customers actually expect. This gap exists as a result of the lack of a market research orientation, inadequate upward communication and too many layers of management (Parasuraman et al., 1985; Gronroos, 2002).

Gap 2: Management perceptions versus service specifications

This is the difference between the top management's perceptions of client's expectations and the actual standards they set for service delivery as a result of inadequate commitment to service quality, a perception of unfeasibility, inadequate task standardization and an absence of goal-setting (Parasuraman et al., 1985; Gronroos, 2002).

Gap 3: Service specifications versus service delivery

This arises as a result of role ambiguity and conflict, poor employee-job fit and poor technology-job fit, inappropriate supervisory control systems, lack of perceived control and lack of teamwork (Parasuraman et al., 1985; Gronroos, 2002).

Gap 4: Service delivery versus external communication

This occurs as a result of inadequate horizontal communications and a propensity to over-promise, that is the difference between what a firm promises about a service and what it delivers (Parasuraman et al., 1985; Gronroos, 2002).

Gap 5: The discrepancy between customer expectations and their perceptions of the service delivered

This arises as a result of the influences exerted from the customer side and the shortfalls (gaps) on the part of the service provider. In this case, customer expectations are influenced by the extent of personal needs, word of mouth recommendation and past service experiences (Parasuraman et al., 1985; Gronroos, 2002).

The first four gaps (Gap 1, Gap 2, Gap 3, and Gap 4) are identified as functions of the way in which service is delivered, whereas Gap 5 pertains to the customer and as such is considered to be the true measure of service quality. The gap on which the SERVQUAL methodology has influence on is Gap 5. The SERVQUAL instrument has been the predominant method used to measure consumers' perceptions of service quality. It has five generic dimensions or factors which are stated as follows (van Iwaarden, van der Wiele, Ball & Millen, 2003):

- Tangibles: Physical facilities, equipment and appearance of personnel.
- Reliability: Ability to perform the promised service dependably and accurately.
- Responsiveness: Willingness to help customers and provide prompt service.
- Assurance (including competence, courtesy, credibility and security): Knowledge and courtesy of employees and their ability to inspire trust and confidence.
- Empathy (including access, communication, and understanding the customer): Caring and individualized attention that the firm provides to its customers.

Brown and Bond (1995) investigated the gap analysis of professional service quality and concluded that gap analysis is a straight-forward and appropriate way to identify inconsistencies between provider and client perceptions of service performance, and that addressing these gaps seems to be a logical basis for formulating strategies and tactics to ensure consistent expectations and experiences, thus increasing the likelihood of satisfaction and positive quality evaluation

The service gap model gives insights and propositions regarding the client's perceptions of service quality and it helps predict, generate and identify the key factors that cause the gap to the organisation in meeting its client's expectation.

The gap model of service quality is an important client-satisfaction framework. It plays a very important role in enhancing the quality of services in an organisation (Including Moi University).

The theories thus addressed the core issues of concern in the study and hence qualified for use as the theoretical models upon which this study anchored in so far as the institution, management of records and quality of services is concerned.

2.3.4 Relevance of the Continuum Model and Service Quality Gaps in Records Management

The continuum model proposes the integration of functionalities into an organisation's business process. These theories' relevance to this study stem from the fact that this study is concerned with quality issues in records management just like the theory itself. It helps in identifying records of organisational activities that need to be retained, then implementing business systems designed with a built-in record-keeping capability that ensures collecting records of evidential quality as they are created. This is important for a large institution like Moi University where a lot of records are created from diverse business activities, thus ensuring that the records are well harnessed, which is in line with one of this study's objectives, namely to find out how records are managed in support of the business function.

McKemmish (1997) notes that the mechanisms of best practice behind the Records Continuum Model are ideal for integrating records and for archive management because the records continuum focuses on quality and quantity rather than quantity alone. This is an indication that the records continuum advocates for quality in the management of the large numbers of records produced in an organization so as to enhance the quality of services provided by the organization.

In terms of service quality, the model of service quality, in conjunction with SERVQUAL, is considered the best approach to the concept of quality for this study. In addition to being able to clearly identify a particular area that needs to be addressed. Insofar as improvement in service quality is concerned, it is paramount to have a mechanism that can be used to evaluate the extent to which the approach taken in addressing the identified service quality gap meets expectations. This model is able to address both issues simultaneously. It provides a mechanism through which areas of weakness can be easily identified (the five gaps) and a mechanism through which any measure taken to bridge the gaps can be evaluated for its effectiveness (SERVQUAL).

In addition, the model is applicable to practically any organisational or institutional setting. This attribute makes it fit quite easily with this study because students, who are the main clients in institutions of higher education, always have expectations which the staff strive to meet. The members of staff, in the process of delivering services, also have standards that they often seek to achieve. This means that, first, there is need to acknowledge that there is a gap to be filled and, second, in the process of filling the gap, there has to be a yardstick which measures the processes of filling the gap. Fortunately,

the model of service quality gaps in, conjunction with SERVQUAL, addresses both concerns and is thus considered the best services quality model for this study.

2.4 Records Management Concept

The term 'record' has been defined by many scholars and organisations and the following are some of the definitions. According to ISO (2001), ISO 15489-1:2001 defines a record as information created, received and maintained as evidence and information by an organisation or a person in pursuance of legal obligations or in the transaction of business. This implies that an institution, in its business functions, creates records, and this is echoed by Shepherd and Yeo (2003) who opine that records may be created either in the course of an activity or afterwards in conscious act of record-keeping. Cox (as cited in Bailey, 2007), on the other hand, defines records as an extension of human memory, purposefully created to: record information; document transactions; communicate thoughts; substantiate claims; advance explanations; offer justifications, and to improve lasting evidence of events. The International Council on Archives (ICA) (2005), discussing electronic records, observes that a record is recorded information produced or received in the initiation, conduct or completion of an institutional or individual activity and that comprises content, context and structure sufficient to provide evidence of activity.

From the above definitions, records are vital information tools: they relay information to about an activity, they provide evidence that an activity occurred and, therefore, they serve as a benchmark by which decisions are made. This is evidenced by scholars Mnjama and Wamukoya (2007) who observe that records are valuable assets that need to

be managed and protected. Besides providing essential evidence of organisational activities, transactions and decisions, records also support business functions and are critical for organisational performance.

Further, ISO 15489-1:2001 points out that records enable organisations to: deliver services in a consistent and equitable manner; conduct business in an orderly and efficient manner; support and document policy formulation and managerial decision-making; provide consistency, continuity and productivity in management and administration; facilitate the effective performance of activities throughout an organisation and, meet legislative and regulatory requirements including archival, audit and oversight activities (ISO, 2001). Records carry the history of organisations and history cannot be properly told to future generations if records are not properly kept. Van Der Waldt, Van Niekerk, Doyle, Knipe, & Du Toit, (2002) observe that information is a fundamental resource, for both governments and the private sector alike, and can be maintained and enhanced through appropriate records management.

Sound records management for institutions help yield good results through available information. The term 'records management' has been defined by different scholars and organisations as to the case of a record, including: Kemoni and Ngulube (2007); Wamukoya (2009), and the International Council on Archives (ICA) (2005). For the purpose of this study, ISO 15489-1:2001 (ISO, 2001) was adopted. The standard defines records management as a field of management responsible for the efficient and systematic control of the creation, receipt, maintenance use and disposal of records,

including the process of capturing and maintaining evidence of information about business activities and transactions in the form of records.

Records management should be part and parcel and a strategic function of an organisation. The objective of records management are to: set policies and procedures; assign responsibilities for records management at various levels within the organisation; set best practice standards; provide a retention and disposal policy; process and maintain records in safe and secure storage; implement access policies; integrate records management into business systems and processes; assign, implement and administer specialized systems for managing records, and to provide a range of services relating to the management and use of records (Kemoni, 2007; Wamukoya, 2007; ISO, 2001).

Sound records management is a major tool for enhancing service delivery and the growth of an organisation. As ISO 15489:2001 (ISO, 2001) states, records management enables any organisation to: conduct business in an orderly; efficient and accountable manner; deliver services in a consistent and equitable manner; support and document policy formation and managerial decision-making; provide consistency, continuity and productivity in management and administration, and to facilitate the effective performance of activities throughout an organisation.

According to Shepherd (2006), one of the reasons for keeping records is that organisations use records to support accountability when they want to prove that they have met their obligations and/or complied with best practices according to the established policies.

Further, Shepherd (2006) states that proper records management provides the following benefits:

- Records which are well-managed as part of an appropriate records management programme will help an organisation to conduct business in an efficient, accountable manner, deliver services consistently, support managerial decision-making and transparent policy formulation and ensure continuity in policy execution, management and administration.
- Effective records management will help the organisation to: respond to planned or unplanned events such as audits or disasters; protect the interest of present and future stakeholders, including employees, clients, government policy-makers, historians and citizens; meet regulatory and audit requirements; provide evidence of organisational activity for litigation support; protect the interests and rights of stakeholders, and to maintain corporate memory.
- An effective management programme will ensure that records are available for use when needed, that privacy and confidentiality are maintained and that redundant records are destroyed.

As indicated from the above benefits accrued from the proper management of records, all organisations have a mandate to ensure proper management of records in all their business process and systems so as to enhance quality service delivery to their clients.

2.5 Records Management in Support of Business Functions in Institutions

Records are assets as they represent the accumulated intellectual capital of organisations. For an institution to have sound decision-making, efficient and effective records play a vital role. Records generated, regardless of their physical characteristic, received, created, recorded or legally filed in the course of Moi University's business serve as the institution's evidence of its functions, policies, decisions, procedures, operations and other related activities. This means that records created should be well managed for they act as the key information to the institution. Bailey (2007) and Thornhill (2008) both agree that information is a key business resource for universities for it aids competitiveness among institutions of higher learning. As discussed earlier in this work, sound records management in an organisation yields, but not limited to, the following benefits: easy retrieval and access to records; fast decision-making; protecting the organisation from legal litigation; help an organisation comply with legislation or professional administration; transparency, and accountability. Studies show that sound records management is the foundation for good governance in a democratic society (Chinyemba & Ngulube, 2005; King, 1997; Ngulube, 2004; Shepherd, 2006; Wema, 2003). Good governance is characterized by transparency, accountability, due process, compliance with the set statutory framework, and information security.

Both Thurston (2005) and Iwhiwho (2005) opine that reliable, timely and accessible records should avail information about administrative actions such as resources received, committed or spent which, in turn, facilitates and simplifies accountability. Thurston (2005) further states 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, procedures and standards.

The New Era (01/06/2009) reported that the Chinese government donated software to boost the government's e-record keeping. The software, which cost the two governments about USD 5.3 million, will help the country to ensure a risk-free records and archival system for selected government offices. It is quite pleasing to learn that the ministry of finance has been identified to benefit from this project.

Government offices, public and private institutions, and county governments may need to seek the services of a Records Manager in order to ensure that their intellectual capital is managed according to the legislation. This is because records assist the organisations or institutions with reliable and legal evidence of decisions and actions (Erima, 2013). Sound records management is demanded by numerous statutory and common law requirements. According to Chachage and Ngulube (as cited in Marutha, 2011), one of the major reasons for the business operation is to comply with legal requirements as well as to protect the stakeholders' rights.

Managing records requires formal training as this will help ensure compliance with legislation and international standards (ISO) as well as manage the control, custody, care and disposal of the institution's records in an effective manner for quality and better services.

The volumes of electronic and paper records are steadily increasing in institutions. This steady growth of records is experienced in high percentages in most institutions every year and, by observation, the uncertainty about how records can best be managed in

today's offices and organisations is high. This can be illustrated by the fact that most organisations are looking for help from consultancy firms who offer records management services to streamline records management and offer training through workshops.

Jones (as cited in Iwiwho, 2005) states that good records management practices are an investment for an organisation although it could easily be viewed as an overhead expense. The need to demonstrate tangible returns on an investment is crucial if the programme is going to continue attracting funding and support. In managing records, handlers should understand the institution's business functions, its goals and objectives and how the management of records contributes to it. Shepherd and Yeo (2003) state that knowledge of the organisation's operating environment is a key element in designing an effective records management programme.

Records management in an institution can be central, decentralized or hybrid. This implies that university departments and offices should be responsible for the proper care of the records they create. This is important because managing and organizing records makes it simpler to find information and records when needed.

Universities, for instance, are complex entities because there exist a number of activities carried out, ranging from teaching, research, to consultancy, which are done at different levels, and different departments and/or offices but which should adhere to the core business of the organisation and its goals and objective.

2.5.1 Essential Records in Institutions of Higher Learning

Institutions often have a particular set of records that are typical to their nature of business and activities. Upward (1996), referring to the records continuum model, states

that the institutionalization of the record-keeping profession's role requires a particular emphasis on the need to integrate record-keeping into business and societal processes and purposes.

These records often define the institution and provide evidence that the institution in question is carrying out its mandate. For institutions of higher learning, such as Moi University, there are also a given set of records that are commonly kept to facilitate the day-to-day running of the institution. These can be determined through a process known as functional analysis. Functional analysis provides a systematic way of establishing the key activities and transactions pertaining to the key functions of an organisation, and in determining the records that support those activities and transactions. Therefore, as Robinson (1999) notes, functional descriptions link records directly to the business functions and activities that created them.

The functional framework developed by Samuels (as cited in Chinyemba & Ngulube, 2005) and lists maintained by other university records management systems, such as at the University of Cincinnati (2002) and the University of Melbourne in 2002, give a clear picture of the essential records that a university should maintain. A summary of the records generated by the functional analysis of university activities is presented below. It is evident from the list that the key functions of universities are: conveying knowledge; conferring credentials; fostering top socialization; conducting research; sustaining the institution, and providing public service.

Confer Credentials

- Admission policy
- Applications received
- Selected students
- Registered students
- Personal files of students
- Scholarships and awards available
- Students awarded degrees
- Masters or doctoral theses passed
- Photographs of graduation ceremonies
- Videos of graduation ceremonies

Convey Knowledge

- Courses run by the unit
- Curriculum of the courses run
- Complete list of current teaching staff
- Teaching responsibilities allocations
- Timetables and class venues
- Attendance lists
- Student continuous assessment marks
- Samples of assignments given
- Examination questions
- Student examination scripts
- Student evaluation policy
- Staff evaluation policy
- Student evaluations of lecturers
- Peer evaluation by other lecturers

Conduct Research

- Research proposal submitted
- Proposals accepted
- Research grants management
- Annual reports of research output

Sustain the Institution

- Evidence of establishment of unit
- Mission statement of unit
- Governing board minutes and reports
- Unit committees minutes and reports
- Organisational chart of unit
- Budget proposals and submissions
- Expenditure records
- Audit reports
- Personnel policy
- Current employment regulations
- Staff recruitment in the unit
- Performance appraisals
- Outside earnings
- Staff development and training
- Plan of facilities of the unit
- Current space use and planning
- Architectural drawings of buildings
- Maintenance of facilities

Equipped with these sets of records, institutions of higher education, including Moi University, are able to discharge their business functions in a conducive manner and be able to prove that they conform to their vision, mission, core values, and policy statements.

2.5.2 Methods Used in Record Management at Universities

In the management of records, file classification schemes act as a key management tool to help identify the appropriate file in which to house a given record or document and the life expectancy of the file. The filing scheme should be flexible enough so as to allow changes in business activities.

When records are filed consistently and systematically, information can be retrieved efficiently and quickly. In order to have a standardized filing system, the filing procedures used in the office must be determined, recorded, approved and should be followed without any divergence in protocol. These procedures ensure that anyone in the office should be able to locate any record at any given time. The real test of an efficient file system is in being able to find records quickly once they have been stored. There are numerous benefits to be achieved through the implementation of a standardized filing system, including:

- Better control over filing.
- Fewer problems with file retrieval.
- Less time spent on filing.
- Elimination of duplicate records.
- Better identification of archival records.

There are many different kinds of classification systems. Care should be taken in selecting and designing the records management system since the system will most likely be used for a long time.

2.5.2.1 Alphabetic filling

This system uses an alphabetical ordering for storing records and it does not require an index since it is a direct access method. Storage and access becomes easy if standard procedures are followed, for example filing records under the most commonly used name or title and cross-reference the other names or titles, the article 'the' is dropped from names, punctuations are ignored, symbols are spelt out, and records that begin with digits are filed before all alphabetic ones, and Arabic numerals precede Roman numerals, that is 1, 2, 3 before I, II, III).

2.5.2.2 Subject or Function Based System

The system groups records according to a thematic or subject guide. The system should be logically arranged by groups of related subjects that cater to the main or primary functions of the unit or department. According to Omeyi (as cited in Ngulube, 2004), it allows for the flexibility of adding or deleting subject titles and merging or separating files and can be beneficial for a business whose organisational structure is subject to frequent change.

2.5.3 Management of Electronic Records

Technology has eased many records management tasks and has presented some new concerns. Although paper records remain predominant in organisations, there is no doubt that record-keeping is increasingly becoming digital (Edith Cowan University, 2002). Wamukoya (2005) opines that new technologies and their growing adoption and use is

rapidly revolutionizing the organisational culture, positively impacting on the way organisations work, make decisions and even document their activities.

Managing electronic records incorporates specifications, strategies and considerations for capturing, handling and accessing such records so that an organisation is able to achieve its mandate through quality service provision. Electronic records must be accurately filed and organized as they are more susceptible to random filing procedures than paper records since individuals are responsible for naming, filing and saving records on their own computer Kumar (as cited in Kyobe, Molai & Jain, 2008).

According to Mutiti (2001), the Eastern and Southern regions of Africa are well aware of the need to manage electronic records but have only dealt with the issue theoretically and done little practically. Mutiti (2001) further states that the management of electronic records and linkages to the internet in the region are widespread. Though the infrastructure is available, they have not been used nor are they being used to support the design and implementation of electronic record-keeping specifications.

Thus, the technology that makes it so easy to create, use, store, and retrieve records also has the potential for making it possible to alter, change, or corrupt the record of events in an agency (Ranjit as cited in Mnjama & Wamukoya, 2007).

Both Cloanan (1993) and Mutiti (2001) assert that there are various challenges facing the management of electronic records and information. These are:

- The media is unstable as compared to traditional information carriers such as paper and microfilm.
- Access to electronic records depends on machines and software.

- Rapid technological changes in the electronic environment leading to obsolescence.
- Security of electronic records.
- Overhead cost of installation.
- Technical maintenance.

Maintaining the Authenticity and Trustworthiness of Electronic Records

The records profession defines authentic records as being what they purport to be – reliable records that over time have not been altered, changed, or otherwise corrupted. Historically, protecting paper records from alteration or change was made possible through locked file cabinets, use of records vaults, and transfer of the records from the custody of their creators to an independent organisation or individual whose mission was to protect this material from change or alteration. This protection involves an appropriate storage environment, care and handling of the records, and controlled access to the records (Thornhill, 2008).

Electronic records require the same care and handling in order to protect them from the same alteration or change. However, it is difficult to provide this protection in a production or operation environment where most of these records reside. Information technology professionals will often claim that the use of authentication technologies will ensure the protection of the records. Authentication technologies are used to verify the identity of the user, making sure that users are who they claim to be. As Internet usage continues to grow and more agencies make more services available online, this issue will

become increasingly important to the creation of a reliable record (Egunleti, as cited in Erima, 2013).

2.5.4 Principles of Records Management

Records management principles provide a framework for ensuring that full and accurate records of the business activities of an organisation are managed and retained for as long as necessary to support legislative and operation requirements. The guiding principle of records management is to ensure that information is available when and where it is needed in an organized and efficient manner. Records and record-keeping are inextricably linked with any organized activity. It is only through information and organized records in the normal course of business activity that an organisation can know what it has done and effectively plan what it will do in the future. Being a key resource in the operation of any organisation, records must be created, organized, secured, maintained and used in a way that effectively supports the activity of that organisation. To be full and accurate, records must be compliant, adequate, complete, meaningful, comprehensive, accurate, authentic, inviolate, accessible, effective, and secure (Wamukoya, 2002).

ARMA International (2013) provides the following general principles of records management as standards: accountability, integrity, protection, compliance, availability, retention, disposition and transparency.

2.6 Standards on Records Management

The International Organisation for Standardization (ISO) was formed in 1947 in Geneva, Switzerland, to develop international standards to foster increased trade products and services. ISO defines a standard as a document that provides guideline or characteristics

that can be used consistently to ensure that materials, products, process and services are fit for their purpose. There exist a number of standards, including, but not limited to:

- ISO 9001- Quality Management System which provides continuous improvement to an organisation and gives an organisation a framework required to monitor and improve performance and establish better services.
- ISO 15489-2001:1 Information and Documentation- Records management- Part 1 General, ISO 15489-2 Information and Documentation- Records management- Part 2- Guidelines.
- ISO 16175-1:2010 Information and Documentation- Principles and functional requirements for records in electronic office environment- part 1: overview and statement of principles, ISO 16175-2:2011-Principles and functional requirements for records in electronic office environment- part 2: Guidelines and functional requirements for digital records management system.
- ISO 27001- Information security.
- ISO 14000- Environment management.

According to ISO 9001, a quality management system is a set of policies, processes and procedures required for planning and execution (production/development/services) in the core business area of an organisation, an area that can impact the organisations ability to meet customer requirements (ISO, 2008). ISO 9001:2008 is an example of a Quality Management System. The elements of the quality management system include

organisational structure, responsibilities, methods, process, resources, customer satisfaction, monitoring a continuous improvement.

According to ISO (2008), the ISO 9001:2008 standard quality system contains the following elements:

- Defining and controlling inspection, measuring and test equipment.
- Personnel training and qualification.
- Controlling documentation.
- Controlling purchasing.
- Controlling the product design.
- Product identification and traceability at all stages of production.
- Controlling and defining production and process.
- Validating process.
- Product acceptance.
- Controlling and conforming product(s).
- Instituting corrective action when errors occur.
- Labelling and packaging controls.
- Handling storage, distribution, and installation.
- Records.
- Servicing.
- Statistical techniques.

According to ISO (2008), all the requirements of the standard ISO 9001: (2008) are generic and are intended to be applicable to all organisations, regardless of type, size and product provided. It further explains that, where any requirement(s) of the ISO 9001:2008 cannot be applied due to the nature of an organisation, this can be considered for exclusion.

Moi University's *Quality Manual and Procedures* (2013) states that the University has established documented and maintains a QMS that is compliant with the requirements of ISO 9001:2008 standards and, in view of this, the University has:

- Defined and managed the process in educational design, development and delivery.
- Determined the sequence and interaction of processes.
- Determined criteria and methods needed to ensure that both the operation and management of these processes are effective.
- Ensured the availability of resources and information necessary to support the operation and monitoring of this process.
- Ensured monitoring and analysis of these processes and conditions of acceptance at the time of delivery and ensured implementation of actions necessary to achieve planned results and continual improvement of these processes.

The *TQM Magazine* (as cited in Burns & Grove, 2003) states that ISO is designed to help organisations to ensure that they meet the needs of customers and other stakeholders while also complying with statutory and regulatory requirements related to the product.

In relation to records management, ISO 9001:2008 clause 4.2 (Document Requirements) (ISO, 2008) stipulates that the quality manual system documentation shall include, among others, documents, including records, determined by the organisation to be necessary to ensure the effective planning, operation and control of its process. Clause 4.2.4 (Control of records), states that records established to provide evidence of conformity to requirements and of the effective operation of the quality management system shall be controlled. It further states that the organisation shall establish a documented procedure to define the controls needed for the identification, storage, protection, retrieval, retention and disposition of records. These records should remain legible, readily identifiable and retrievable.

The standard appreciates the existence of records and the importance of maintaining them in institutions. This is an indication that Moi University, as a certified institution, should consider records important, for they are kept as objective evidence and corporate memory of how QMS processes in a given organisation occurred within the regulatory and QMS requirements.

Records management largely supports the QMS processes: the product of each of the process is a record and failure to create and maintain them appropriately puts an organisation in danger of nonconformities. In 2001, ISO developed a records management standard (15489) meant to guide organisations in addressing records management requirements in the implementation of, among others, the QMS.

The ISO 15489 standard states that effective records management enables the organisation to: conduct business in an orderly, efficient and accountable manner; deliver

services in a consistent and equitable manner; support and document policy formation and managerial decision making; provide consistency, continuity and productivity in management and administration, and to facilitate the effective performance of activities throughout the organisation (ISO, 2008).

2.7 Records Management Policies

The records management programme provides a systematic approach to the management of records and is generally seen as the vehicle for implementing the records management function within an organisation. Shepherd and Yeo (2003) emphasize that, in any organisation, managing records should be a strategic function, with a continuing programme that is effective across the organisation as a whole. The essential elements of a records management programme include a records policy and a set of procedures where records are classified, retention periods are defined and destruction procedures are prescribed. Records must be regulated by a records management policy, which is needed to supplement existing legislation and to commit individual organisations to the effective management of records. This is also observed Mnjama and Wamukoya (2007) who state that government should strive to establish records management legislation, policy and procedures across the public service and integrate these with business functions, in order to produce records that have evidential weight.

ISO 15489 states that organisations should define and document a policy for records management, the objective of the policy should be the creation and management of authentic, reliable and useable records, capable of supporting business functions and

activities for as long as they are required (ISO, 2001). Organisations should ensure that the policy is communicated and implemented at all levels in the organisation.

It is evident that developing and implementing a records management policy in institutions is vital for it will promote learning, meet the organisations legal, accountability, and research requirements, and other requirements relating to records management and it facilitated the establishment of a records system.

This is supported by Shepherd (2006) who states that records which are well-managed as part of an appropriate records management programme will help an organisation 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 administration.

2.7.1 Quality Measures in Records Management to Enhance Quality Service Provision

A definition of quality revolves around the idea that quality has to be judged on the assessment of the user or consumer of the service. The construct of quality, as conceptualized in the service's literature, is based on the perceived quality. Perceived quality is defined as the consumer's judgment about an entity's overall experience or superiority (Zeithaml, Parasuraman, & Berry, 1990; Zammuto, Keaveney, & O'connor, 1996). Similarly, Parasuraman et al. (1990) also emphasize that consumer perceptions of service quality result from comparing expectations prior to receiving the service, and their actual experience of the service. Perceived quality is also seen as a form of attitude, related to, but not the same as, satisfaction, and resulting from a comparison of expectations with perceptions of performance (Rowley, 2002).

As a result, if an organisation regularly provides service at a level that exceeds customer expectations, the service will be evaluated as high quality. In contrast, if an organisation fails to meet customer expectations, the service will be judged as poor quality (Zammuto et al., 1996).

According to Thurston (1996), there is a link between good records management and service delivery. As a key component of public service reforms, good record-keeping has contributed to efficiency and effectiveness, especially in those countries where there was a component of records management improvement as part of public service reforms. Thurston (1996) further observes that the state of many African countries remains far from satisfactory because of these public officials suffering embarrassment on daily basis because they find themselves unable to take action where necessary largely because of a lack of requisite information.

Taylor (1996), making reference to the Australian records standard ISO 15489, defines records management as the discipline and the organisational function of managing records to meet operational business needs, accountability requirements and the community's expectation. This definition places emphasis on the role of records management in promoting transparency and good governance values. A similar view has been expressed by the South African National Archives which views records management as the process of the use and disposal of records to achieve efficient, transparent and accountable government (Taylor, 1996).

According to Lassar, Manolis and Winsor (2000), the two most prevalent and widely accepted perspectives on service quality include the SERVQUAL model and the

Technical/Functional Quality framework. Gronroos (2002) holds that service quality is made up of three dimensions: the technical quality of the outcome; the functional quality of the encounter, and the company corporate image. He argues that, in examining the determinants of quality, it is necessary to differentiate between quality associated with the process of service delivery and quality associated with the outcome of service, judged by the consumer after the service is performed.

Parasuraman et al. (1988), however, list ten determinants of service quality that can be generalized to any type of service. The ten dimensions include: tangibility; reliability; responsiveness; competence; access; courtesy; communication; credibility; security, and understanding. In addition, these ten dimensions were then regrouped in the well-known five dimensions in the SERVQUAL model (Parasuraman et al., 1990) which include assurance, empathy, reliability, responsiveness and tangibility.

Mahiah, Suhaimi & Ibrahim. (2006) also confirmed Parasuraman, Zeithaml and Berry's (1985) findings and they suggest that increasing sophistication of reliability, empathy, tangibility, responsiveness and assurance can increase customer satisfaction towards services rendered by Human Resource Department.

2.8 Records Management in a Quality Management System Environment

The primary purpose of records management is to ensure that all the records that provide the evidence that the organisation is carrying out its mandate are captured so as to enhance service delivery. Moi University is ISO-certified, has established, documented and maintained a QMS that is compliant with the ISO 9001:2008 standard (Moi University, 2013). The way records are managed affect service delivery and that is the

reason records management is part of the mandatory requirement of ISO 9001: 2008, clause 4.2.4. The mandate of QMS is, generally, client satisfaction through service delivery for it is a service delivery programme based on the business approach (ISO, 2009). Records should be properly kept to ensure that they are accessed and retrieved when the need arises and decisions made to enable prompt decision-making quick service delivery and, thus, customer satisfaction. This is because records are the basis for organisational accountability, complying with legislative requirements and the development of a corporate memory for the University. For records to be able to do that they must be complete, accurate and reliable evidence of the transactions conducted.

A record provides the information about the activities carried out by the organisation. Therefore, with the implementation of the QMS, records must be maintained, remain legible, easy to identify, retrievable and should be stored in locations where they are protected from deterioration, damage or loss and define their retention and disposal time.

To ensure this, quality measures on records management should be identified and used to enhance service delivery, for example internal and external audits, performance contracting reviews, spot checks, and ensuring awareness through training of users and records custodians. ISO 15849-1 states that compliance monitoring should be regularly undertaken to ensure that the records system, procedures and processes are being implemented according to the organisational policies and requirements and meet the anticipated outcomes (ISO, 2001). The regulatory environment may require that external bodies undertake monitoring and auditing. Modifications to the records systems and records management processes should be made if these are found to be unsuitable or infective.

Shepherd (2006) adds that an effective records management programme will help public sector organisations to respond to planned events such as audits and disasters.

Quality measures will assist the organisation to identify their weaknesses and strength in management of records thus enhancing quality of service delivery.

Jones (as cited in Shepherd, 2006) enumerates the following four benefits of measuring the performance of the records management programme:

- **Assessing the success:** Simply performing a good service is not in itself enough to justify continued support it is important that success be measured, evaluated and ultimately communicated.
- **Communicating success:** Records managers sell the necessity for a records management programme in many ways, e.g. financial savings, improved productivity, greater transparency.
- **Financial Considerations:** The need to demonstrate the tangible returns on this investment is crucial if the programme is going to continue attracting funding and support.
- **Improvement:** Performance measurement is done to bring about continuous improvement allowing incremental modifications and improvements to be made.

2.9 Challenges Encountered in the Management of Records and their Impact on Quality Service Provision

Records management in organisations is vital for growth and development. Ngoepe (2004) states that, for a government body to function effectively, it has the responsibility of ensuring that it creates and has access to complete and credible information to allow for effective and appropriate decision-making on behalf of the public. However, many organisations are suffering from a myriad of challenges in the management of records which has negatively impacted on quality service delivery. This is echoed by Mnjama and Wamukoya (as cited in Wamukoya & Mutula, 2005) who state that there were real challenges faced by East and South African member countries in the capture and preservation of records. These include:

- The absence of organisational plans for managing records.
- Low awareness of the role of records management in support of organisational efficiency and accountability.
- The lack of stewardship and coordination in handling records.
- The absence of legislation, policies and procedures to guide the management of records.
- The absence of budgets dedicated for records management.
- Poor security and confidentiality controls.
- The lack of records retention and disposal policies.

This has also been observed by the World Bank (2003), stating that, in many developing and transitional countries, the record keeping is a massive challenge adding that existing record keeping systems - if they exist at all - are inadequate and unable to cope with the growing mass of unmanaged papers.

Challenges have been brought about in many organisation by varied reasons, for instance: low levels of awareness of the role of records management in supporting efficiency and accountability; absence of legislation to enable records management practices; absence of core competencies; overcrowding and unsuitable storage of paper and electronic records; absence of purpose-built records centers; absence of a dedicated budget for records management; poor security and confidentiality controls and absence of vital records; disaster recovery and preparedness plans, as well as limited capacity to manage electronic records (World Bank, 2003).

Kemoni (2007) investigated 18 government ministries, revealing that KNADS provided records management advice to government ministries but most government ministries did not implement the advice. This has, however, brought about inefficient and ineffective records management practices in the public institutions. Kemoni (2007) attributes the poor state of records in Kenya to the following challenges:

- Failure by senior management to establish acceptable records management goals and practices.
- Failure to hire competent and qualified staff in the area of archives and records management.
- Failure to encourage training in the area of archives and records management.

- Failure to provide financial and administrative support to those involved in registry work.
- Failure to implement various recommendations on the management of record.
- Lack of emphasis on the introduction of information management problems at the expense of developing paper-based records management systems.
- Health and safety of registry staff not being taken into account.

Traditionally, in paper records management, once they are physically filed in organisations' filing systems and began to take up office space, this management typically consisted of transferring the records offsite to a records centre facility or archives. With the electronic era, records management must be included in a system's planning and implementation and must take place immediately upon creation as the organisation classifies the information for further use. This classification is vital for the application of corresponding electronic controls to ensure the effective maintenance and disposition of the record (Shepherd, 2003). However, electronic management of records has its own challenges. Patterson and Sprehe (2002 as cited in M'ikiara, 2012) have mentioned some of the challenges which comprise managing e-mails as records because the e-mail architecture is not dedicated to a records management platform and is not an integral component of information technology planning, systems design and architecture. Other problems include: challenges of updating conventional records management; integration of ERM with other ICT systems; phased implementation, and end-user training.

2.10 Related Empirical Studies

This study sought out previous studies linking records management and service delivery. Although the studies cited here may not be exhaustive, this section will discuss some of the studies related to both records management and service delivery.

The importance of records management in service delivery is discussed in Marutha's (2011) study. The aim of Marutha's (2011) study was to investigate the extent to which the current record keeping practices in the Limpopo province of South Africa support or undermine service delivery and the level of health readiness. This study found: high vacancy rates and staff turnover; lack of the necessary skills and competency; insufficient management support; inadequate resources and infrastructure, as well as an ineffective records system. Marutha (2011) recommends that that the hospital in the study should migrate to full electronic records creation and management to assist medical professionals in providing timely and effective access to records. Findings in this current study and Marutha's (2011) study indicate that records management is vital in enhancing service delivery in organisations.

Mampe and Kalusopa (2012) explored records management and service delivery at the Department of Corporate Services in the Ministry of Health in Botswana. The aim of the study was to explore the role of records management in the delivery of public service in Botswana with specific reference to the corporate services division at the ministry of Health headquarters. The findings established that the records practices in the corporate service division were not well entrenched, thus undermining service delivery.

This was evidenced by:

- Lack of awareness and non-existence of a records management policy and procedures manual based on RMU service standards from the Botswana national archives.
- Lack of security and preservation measures with rampant cases of missing files, folios and torn folders.
- Delays in cases and use of records.
- Lack of an elaborate electronic records management programme and low levels of skills and training opportunities in records management.

In order to enhance service delivery, the study recommends that a regulatory framework for records management should be developed and implemented; it also recommends that management, alongside the records manager, should identify training needs for records users and records management personnel. These recommendations correspond to those put forth in this study.

Erima (2013) investigates the extent to which risk management and records management are aligned with business processes in Moi University with a view of proposing a strategy to enhance business processes in line with global best practices. The key findings of Erima's (2013) study indicate that: the University generates a lot of records; the state of records management at the institution was poor, and that risk management practices were non-existent. The study recommends that Moi University should adopt a comprehensive records management and risk management programmes, and proposes records-cum-risk management model. The findings and some of the recommendations of the study concur with this study's findings and recommendations.

2.11 Summary

From the literature reviewed, it is clear that records management play a major role in supporting business activities and service delivery in organisations. Records management has come a long way and has more miles to go, considering the number of business and personal records growing each day and a highly crucial one for many. Perhaps in the coming years, digital storage would evolve into microchips that would spare nothing, from the most confidential business transactions to the very personal medical records. Having a sound records management programme that is in line with quality statements and objectives with available standards on records management and quality management, provision of quality services is guaranteed.

CHAPTER THREE

RESEARCH METHODOLOGY

3.1 Introduction

This chapter describes the research design adopted, the target population under study, sample and sampling techniques used, the data collection procedures, ethical considerations and last but not least data analysis interpretation and presentation techniques.

3.2 Research Design

This study employed a case study research design. A case study seeks to describe a unit in detail in context and holistically (Mugenda & Mugenda, 2004). This enabled this study to solely focus on Moi University, Main Campus, to evaluate the role of records management in influencing quality services. This is because the case study approach gave the researcher ample room to conduct an in-depth investigation of one participant (Yin, 2004). In this case Moi University, Main Campus. This provided a great amount of description and detail about the state of affairs insofar as records management systems and service delivery at the institution were concerned. It also offers more opportunities for the researcher to gather adequate information that assisted to make accurate inferences at the end of the study and also helped to set the groundwork for future studies (Orodho, 2004).

This study was both qualitative and quantitative in nature in a bid to investigate the role of records management in enhancing quality of services at Moi University and to suggest possible strategies for improvement.

Hammersley et al. (as cited by Jwan & Ong'ondo, 2011) states that qualitative research is concerned with life as it is lived, things as they happen, and situations as they are constructed in the day-to-day moment. Thus, in this approach, the researcher endeavoured to seek experiences in real situations. The application of the qualitative research method enabled an in-depth analysis of the role of records management in influencing quality service delivery with greater accuracy and precision, it also helped to explore and understand people's beliefs, experiences, attitudes, behaviour and interactions.

3.3 Study Population

A study population is the collective unit for which the values for the variants of interest could be possibly determined. Burns and Grove (2003) describe the sample population as all the elements that meet the criteria for inclusion in a study. Burns and Grove (2003) additionally define eligibility criteria as a list of characteristics that are required for membership in the target population. In this study, the criterion for inclusion was restricted to the staff of Moi University, Main Campus. This was because they encounter the records system every single day and are well acquainted with the service quality at the institution.

The study population consisted of 111 respondents drawn from main campus. The subjects included: six (6) top Management representatives; thirty five (35) Action

Officers; six (6) Records Supervisors; Four (4) auditors; forty (40) Records staff, and Twenty (20) Secretaries. The researcher's criterion for selection was based on the respondents' role as creators, custodians, users and key informants.

The population was derived from the following specific departments of Main Campus:

- i. University Management.
- ii. Division of Deputy Vice Chancellor, Academic, Research and Extension.
- iii. Quality Management System & ISO Compliance department (QMS& ISOC).
- iv. Quality Assurance (QA).
- v. Dean, Student Affairs.
- vi. Health Services Registry.
- vii. Financial Services.
- viii. Central Registry System.

The researcher chose the above departments because the records systems in the University are decentralized and, therefore, this study had to look at each of their records management systems and how they enhance quality services at the university.

3.4 Sampling Technique

Kothari (2004) defines sampling as a process of selecting a few (a sample) from a bigger group (the sampling population) to become the basis for establishing or predicting a fact, situation or outcome regarding the bigger group.

In this study, the researcher employed purposive sampling which is a non-probability sampling technique. Purposive sampling was used by the researcher to facilitate inclusion of the best candidates for the research to ensure that quality data was collected. Purposive sampling allows a researcher to use cases that have the required information with respect to the objectives of the study. Purposive sampling is a sampling technique in which the person who is selecting the sample tries to make the sample representative, depending on his or her opinion (Kothari,2004; Mugenda & Mugenda, 2004).

This enabled the researcher to capture data from all the departments enabling her to get the views of respondents on the roles of records management in enhancing quality of services in Moi University.

3.4.1 Sample Size

The sample size was comprised of 78 respondents. They included: six(6) Top Management representatives; twenty two (22) Action Officers; six (6) Records Supervisors; four (4) auditors; thirty (30) Records staff, and ten (10) Secretaries were interviewed or given questionnaires to fill.

The researcher used Gay's (1996) guidelines which states that if a population is less than 100 there is no need for sampling and for a population up to 500, 50% of the population should be sampled.

Table 3.1: Study Population and Sample Size (n=78)

Respondents	Total Population	Sample Size	Percentage Sample Size (%)
Top management Representatives	6	6	100
Action Officers	35	22	63
Records Supervisors	6	6	100
Auditors	4	4	100
Records Staff	40	30	75
Secretaries	20	10	50
Total Targetted Population	111	78	70

Source: Field data (2013)

3.4.2 Justification of the Sample Frame

As illustrated in Table 3.1, there are major categories of staff that comprised the population of this study. The researcher purposively selected the study population.

The first strata, which was comprised of University Management Representatives, was involved in the study because they are policy formulators, decision makers, planners in charge of the University's resources, responsible for implementation of QMS procedures and that their offices create a lot of records. The six top management representatives were among the key informants. They were all interviewed in the absence of the management staff that were held up on busy schedules and gave their view on the role records played and how they were managed in order to enhance the quality of services in the university as well as the challenges the institution faces.

The second strata, was made up of the Action Officers, who are comprised of registrars, deputy registrars, senior assistant registrars, assistant registrars, and administrative assistants. This category of respondents are charged with the responsibility for the running of activities and in the policy formulation and implementation in the listed departments and were in a position to provide data relating to how records are used in day-to-day activities, activities that lead to their creation, and how the records are managed in line with service provision.

Auditors, who formed the fourth strata, were also key informants in the study. They were selected for the study because, being from the Quality Management System & ISO Compliance (QMS&ISOC) office, they are the individuals who plan, oversee and keep records on all audits, both internal and external. They have a mandate to communicate to the relevant subjects prior to the auditing for the external audits and have information on the state of records management and how they impact on service delivery.

The Records Supervisors (key informants), and Records staff, who were comprised of records handlers in different departments and those from the registry, formed the third and fifth strata respectively. The researcher involved these staff because they were charged with the responsibility of managing records in the University in their various departments, the central registry and health services and were, therefore, looked upon to provide relevant data relating to the management of the records throughout their continuum in relation to service provision.

Lastly, the 6th strata comprised the secretaries, charged with the responsibility of creating and receiving official communication both from within and without the University as part

of their daily business activities and thus they were in a position to provide data relating to the creation, use, maintenance, storage, and disposal of the records.

3.5 Data Collection Methods

The researcher utilized both primary and secondary data. Primary data was obtained from face-to-face interviews and self-administered questionnaires. Document review, including official reports from KEBS and internal audit reports, formed part of the secondary data. Observation was not a main data collection method but it was applied when carrying out interviews. These methods facilitated adequate and reliable data collection for the study.

3.6 Data Collection Instruments

3.6.1 Interviews

An interview schedule consisting of open-ended questions formulated according to this study's objectives were used to obtain in-depth data from the respondents. Face-to-face interviews were conducted and, in cases where the researcher needed clarification, were possible.

Interview is a method of collecting data that involves presentation of oral, verbal, stimuli and reply in terms of oral, verbal responses (Kothari, 2004; Oson & Onen, 2005).

Interviews were used to obtain first-hand information from selected members of staff and because the interview process is involving and, due to its time consuming nature, it may not be possible to interview all the sampled members of staff. The researcher interviewed the Management representatives because the management staff themselves were held up by their busy schedules. The representatives were chosen because they work closely with

them, thus they provided the required data. Auditors and Records Supervisors were also in the category of respondents interviewed.

Proper preparations were made before the interview, including explaining the purpose of the study to the informants, assuring them that confidentiality, and anonymity was to be preserved and that the research was solely meant for scholarly work.

3.6.2 Questionnaires

The researcher used both closed and open ended-questions. Open-ended questions can stimulate a person to think about their feelings or motives and to express what he/she considers being most important and also allows the respondents to give their views freely without the interference from the researcher.

Closed-ended questions, on the other hand, were easier to analyze since they were in an immediately usable form, and were easy to administer because each item was followed by alternative answers and were economical in terms of time consumption.

The rationale for using questionnaires was that written questionnaires are familiar to most people because nearly everyone has had some experience completing questionnaires and they generally do not make people apprehensive. Questionnaires also reduce bias because there is uniform question presentation and no middle-man bias. Additionally, the researcher's own opinions and pre-conceived ideas cannot influence the respondent to answer questions in a certain manner.

3.6.3 Documentary Sources

Documentary sources of data collection were used in order to obtain data that was used to strengthen the data obtained from primary sources. Documentary sources are data that

already exists. Kothari (2004) states that secondary sources may be either published or unpublished. Published sources include: various publications of foreign organisations or international bodies; technical and trade journals; books; magazines; newspapers; reports; public records and statistics; historical documents and publications, among others. Unpublished sources are diaries, letters, unpublished biographies and autographs, among others.

The researcher used documentary sources because it is likely to be relevant to every case study research (Yin, 2003). Document review was therefore employed as a secondary source of data where existing documented information was examined to obtain relevant information. Examples of the documentary sources included, among others, ISO's internal and external reports; KEBS surveillance report, and some of the document used included, Moi University's (2013a) *Strategic Plan 2009/10-2014/15*, Moi University's (2013b) *Manual and Procedures* 6th edition and files from the personnel registry. The documents enhanced the credibility of the study which is an aspect of trustworthiness (Jwan & Ong'ondo, 2011).

3.7 Validity and Reliability

3.7.1 Validity

Validity is the degree to which results obtained from the analysis of the data collected represent the phenomenon under study (Creswell, 2003). This study applied content validity as a measure of the degree to which data that was obtained from the research instruments was meaningfully and accurately reflecting the theoretical concept. The

researcher also reviewed empirical studies and relevant literature from renowned records and quality service scholars.

3.7.2 Reliability

According to Polit, Beck, and Hungler (2001), reliability is the stability of data over time and over conditions. This is supported by Yin (2004), who states that reliability in a study is to be sure that if a later investigator followed the same procedures as described by an earlier investigator and conducted the same case study all over again, the later investigator should arrive at the findings and conclusions. This implies that a dependable study should be accurate and consistent (Parahoo, 1997). The researcher ensured reliability was achieved through the utilization of similar interview schedules and questionnaires on different respondents in the same cadre and in similar aspects and the results compared during analysis to ensure consistent results. This helped in ensuring that questionnaires measure what they are supposed to measure (Yin, 2004).

3.8 Data Analysis

This study applied qualitative and some elements of quantitative data analysis approaches. Data analysis means to organize, provide structure and elicit meaning, echoed by Mugenda and Mugenda (2004) who state that data analysis is the process of bringing order, structure and meaning to the mass of information collected. The data was organized, categorized and the relationship between the categories established. The qualitative data was analyzed thematically in line with this study's objectives and research questions to identify the established relationship between categories. Descriptive analysis was carried out to assess the differences in proportions of responses. Further,

some aspect of quantitative research was used in the presentation and analysis of data using descriptive statistics. Data was interpreted after a careful and critical examination of the results obtained, which involved stating what the results revealed, their meaning and significance in relation to this study. The researcher also made an attempt to avoid subjectivity and bias in interpretation as much as possible.

3.9 Ethical Consideration

Ethical issues are vital in research. In this study, the researcher observed and considered privacy, confidentiality and anonymity of the respondents. To convince the respondents that their responses were confidential, the researcher wrote to the respondents and requested their consent to participate in the research and explained that the information was to be used for academic purposes only (Appendix 4).

3.10 Summary

This chapter discussed the research design and techniques used in investigating the role of records management in enhancing quality of services at Moi University. The qualitative as well as some aspects of the quantitative approach were employed by the researcher. This study's population and target population are among the themes discussed and explanations are provided as to why each data collection instrument was selected for the study. Data presentation, analysis and interpretation have also been discussed.

CHAPTER FOUR

DATA PRESENTATION, ANALYSIS AND INTERPRETATION

4.1 Introduction

This chapter deals with the presentation, analysis and interpretation of the data collected. It discusses the general information of the respondents and the findings as per the objectives of this study. The objectives were: to establish how records are managed in Moi University in support of the business function; to determine the quality standards applicable to records management in Moi University; to establish the policies guiding records management in Moi University; to identify what quality measures on records management have been put across to achieve quality of services; to identify the challenges encountered in the management of records and how they impact on quality service provision, and to suggest strategies for the improvement of records management in enhancing quality of services in Moi University.

4.2 General Information of Respondents

This study sampled members of staff comprising university management representatives, action officers, auditors, records supervisors, records staff and secretaries. The general information about this study's respondents were mainly on level of education and duration of work at Moi University.

4.2.1 Number of Respondent per Department

Table 4.1 shows the number of respondents who participated in this study according to their department

Table 4.1 Number of Respondents per Department

Department Category	Management	Audit	Action Officers	Records Supervisors	Records Staff	Secretaries	Total	%
Top Management	6	-	-	-	6	5	17	22
A, R&E	-	-	5	-	1	-	6	2
QMS&ISO-C	-	4	-	-	2	1	7	9
Health Services	-	-	2	2	4	1	9	12
Dean, SA	-	-	8	-	2	1	11	14
QA	-	-	3	-	1	1	5	6
Central Registry	-	-	-	4	13	-	17	22
Total	6	4	22	6	30	10	78	100

Source: Field data (2013)

4.2.2 Level of Education

The respondents were also classified in terms of their level of education. Table 4.2 illustrates the levels of education.

Table 4.2 Level of Education (N=78)

Numbers Per Category							
Education Level	Management	Action Officers	QMS&ISOC	Records supervisors	Records staff	Secretaries	Total
Diploma	0	0	1	0	15	4	20
Degree	0	13	0	5	10	4	32
Post-graduate	6	6	3	0	0	0	15
Others	0	3	0	1	5	2	11
Total	6	22	4	6	30	10	78

Source: Field data (2013)

Table 4.2 shows the level of education of the respondent's. Table 4.2 shows that the majority of the respondents (records staff) were diploma and certificate holders and this could explain why there are poor records management practices in the university because of lack of professionalism.

4.2.3 Work Experience at Moi University

Table 4.3 Work Experience at Moi University

Category	Range Of Service			
	0-2 years	3-6 years	Over 10 years	Total
Management Representatives	1	-	5	6
Auditors	2	-	2	4
Action Officers	5	4	13	22
Records Supervisors	-	2	4	6
Records Staff	3	8	19	30
Secretaries	-	3	7	10
Total	11	17	50	78

Source: Field data (2013)

Table 4.3 shows the years of service under three categories where most of the respondents 50 (64.10%) had served in the university for a period of ten years and above, 17 (21.79%) served between 3-6 years and 11 (14.10%) who had served for 2 years.

It is evident from Table 4.3 that the majority of the respondents had much experience in terms of years worked. Therefore, there was an assurance of receiving quality data. Further, it indicates that they have interacted with the records system for a long period of time and they are aware of their influence on service provision.

4.3 Management of Records in Support of the Business Function

This study sought to establish how records are managed in support of the business function of Moi University. The respondents in each category provided various responses as presented below:

Response from Interviews

4.3.1 Response from Management

The researcher sought to establish the respondents' awareness of the business function of Moi University, the records generated, records or documents used in carrying out these functions, how the records are managed in support of the business function, services offered, and whether the service address the quality principle in line with ISO standards.

All 6 (100%) of the respondent stated teaching research and extension as the core business function of the university. They went ahead to state that they were involved in various activities which included: strategic planning, e.g. expansion, renovation and employment; mobilization of resources through resource funding, investments, policy formulation and implementation; review and monitoring of decisions approved by the University council; advising the Council and the Government of Kenya on matters concerning the institution; public-private partnerships, and implementing the Vision 2030 flagship projects.

When asked about the records generated and/or received out of these activities, the respondents stated:

- Personnel records such as those pertaining employment, staff development, and disciplinary issues.
- Student's records such as population, performance, student's welfare and disciplinary issues.
- Administrative records.

- Financial records such as grants, research funds, budgetary records, salary payment, statements of accounts, fees payment, reports, and expenditure receipts.
- Architectural records such as maps, building plans.
- Performance contract reports.
- Internal and external audit reports.
- Committee records, for instance minutes.
- Records of collaborations and memorandum of understanding.
- Records from communication to and from the ministry.

To affirm on the above responsibilities, one of the respondents justified some of the above responsibilities by reading to the researcher the statement below from the Moi University (2013a) *Strategic Plan 2009/10-2014/15* (revised):

Responsibility-based management (RBM) is a management system in which financial and administrative functions of the university are developed from central administration to the designated units....

This study further sought to find out what records or documents are required to carry out the business functions.

Six (100%) respondents mentioned the MU (2013a) *Strategic Plan*, MU (2013b) *Quality Manual and Procedures*; *University Act 2012*; *Moi University Service Charter* (Moi

University, 2012); Moi University (2014) *Revised Strategic Plan 2009/10-2014/15*; Collective bargaining agreement for various cadres; *Moi University Statutes* (MU, 2013a); Terms of service, and *Commission of University Education Handbook* (Moi University, 2013a) as documents referred in carrying out the business function.

The researcher then sought to find out, from the management, how the records were managed in support of the business function.

The 6 (100%) management staff respondents stated that records are created in day-to-day activities. They appreciated that records management is important in the carrying out of the business functions of the university including QMS. They stated that most records were managed largely manually and but electronically for e-mails. E-mails received from within and without are maintained electronically while memos and reports are maintained both manually and electronically. The central registry manages personnel records in a central place. They expounded by stating that different offices generate their own records that help in carrying out their administrative function. The respondents appreciated the importance of maintaining records in the university as one of the respondents stated that:

Everybody in the university is involved in the creation of records directly or in directly. The records provide evidence of the university's functions, decisions, procedures, and organisation policies and operations and they help resolve conflicts among many others.

4.3.2 Response from the Auditors

The researcher sought to find out the business function of MU from the auditors and the following are the functions mentioned.

Four (100%) of the respondents stated Teaching, Research & Extension. Records generated include: financial records; students' records; personnel records; administration records, and accommodation records.

This study further sought to find out how records are managed in support of the business function of the University.

Four (100%) of the respondents appreciated the importance of records for it is one of the mandatory requirements of the ISO 9001:2008 that is customized in the *Quality Manual System* (MU,2013b) under clause 4.2.4 and stated that records are tools used in carrying out ISO internal and external audits.

One the respondents stated that:

Records are used as a tool to provide proof as to whether given processes were carried out though records management is not audited as an independent process but as part of the ISO internal and external auditing.

All four (100%) stated that records are managed in a centralized and decentralized system, and they further explained that there is a central registry where personnel records are kept (registry) and decentralized system where offices creates records uses them or/and send copies to other offices for action.

All the respondents stated that, in most of the departments, they lack qualified personnel to manage the records they create. One of the respondents stated that:

During audits, nonconformities have been identified in recordkeeping but no one can be held responsible for it is not part of the available staff's job description and they have no any training in the management of records.

QMS Influence on the Quality of Services Rendered by the University through Records Management

Four (100%) of the respondents stated that in areas where records are well maintained, it becomes easy to serve the clients or action officers effectively and efficiently and it also saves time executing tasks. One of the respondents stated that:

Records are used as objective evidence to demonstrate that a certain target or expectation was carried out. Therefore records can be used as a point of reference in making decisions that will improve the service.

4.3.3 Response from Records Supervisors

The researcher sought to find out the business function of Moi University. The six (100%) respondents also stated teaching, research & extension, and mentioned that they were involved in following business activities:

- Opening of files and data entry.
- Receipt, capture, and creation of records.
- Preparation of various reports, for example quarterly reports, file census and financial reports.
- They foresee the maintenance of records by ensuring that files are in good shape and the storage conditions in the registry are conducive.

- Ensuring security and confidentiality of records by restricting access from unauthorized staff.
- Periodic appraisal of records, namely carrying out physical checks to identify non-current records and storing them separately as archives.

The records generated and received included personnel, administrative, financial correspondences, minutes, academic, and legal records among others.

This study further sought to find out the records required to carry out the mentioned business function and responsibilities. The 6 (100%) respondents stated the following: terms of service; collective bargaining agreement(s) for various cadres; labour laws; ISO procedures; service charter; service contracts, and other legal documents.

How Records are Managed in Support of the Business Function

The researcher further sought to find out, from the respondents, how records are managed in support of the business function, and the following were the response from the records supervisors.

Six (100%) of the respondents in this category appreciated the importance of records in carrying out the business functions and in service delivery. All (100%) the respondents indicated that sound management of records provides quality services. One of the respondents stated that:

...as creators and custodians of records we strive to provide the right information through providing the right records to our users though there exist a number of challenges in the management of records. For instance, confidentiality of records

is compromised in the paper based system, and slow retrieval of records. The security of records is also a matter of concern.

It was also noted that records were managed both manually and electronically and that most of the vital records were paper-based, in both a centralized and decentralized system. One of the respondents stated that:

Staff personnel files, contracts and agreements and tender records are stored in the central registry in paper-based format while records created or received by different departments are stored in their respective offices.

All six (100%) further stated that the files are arranged numerically (that's for personnel records in the central registry) and alpha-numerically for the administrative records (for those created in different departments of the University) while others are stored according to their 'subjects'.

Response from Questionnaires

4.3.4 Response from Action Officers

This study targeted action officers in the institution. They included registrars, deputy registrars, senior assistant registrars and administrative assistants, constituting 22 (28.2%) of the sample size. Questionnaires were distributed and the respondents stated that teaching, learning, research and extension were the business function of the institution and stated the following as activities they carry out in their respective departments.

- Strategic planning for their various departments.
- Attending meeting of various committees.

- Coordinating of university activities such as international conferences, inaugural lectures and graduation ceremonies.
- Implementation of decisions passed by management.
- Act as a bridge between their departments and the management.
- Monitoring and reporting on activities in their specific departments.
- Planning, organizing and carrying out of workshops, seminars, trainings in their respective departments.
- Procurement and accounting for funds.

This study sought to find out what kind of records and/or documents are required to carry out these business activities. The respondents stated the following: *Moi University Quality Manual and Procedures*(); performance contracts; *University Act* (MU, 2012); *Quality Assurance Handbook*; *Moi University Strategic Plan* (MU, 2013a); *University Charter* (MU, 2012), as well as various committee reports and minutes.

This study also sought to find out the records generated from the business activities and the following were the respondents' views: administrative records; financial records; personnel files; expenditure records; reports; staff appraisal reports; medical reports; students' welfare reports (for example bursary, club associations, accommodations, evaluation of instructor and course reports); curriculum development; admissions audit reports, and performance contract reports.

How the Records are Managed in Support of the Business Function

Twelve (54.54%) of the respondents stated that records are managed both electronically and manually in most of the offices. It was, however, observed that tender documents and staff personnel files are managed manually. Eight (36.36%) of the respondents stated that MU operates on a centralized and decentralized system of records management. It was clear that personal files were kept in the central registry while action officers create and maintain records for the specific functions of their offices at departmental level. Two (9.09%) of the respondent did not have any idea on how records are managed in support of the business function in MU.

How Records Support or Undermine the Business Function and Quality of Services Provided

The researcher sought to find out, from the respondents, how records support or undermine the business function and quality of services provided. Fifteen (68.18%) of the respondents acknowledged that records are vital in carrying out their specific departmental activities for they act as a tool for decision-making, an evidence to show that an activity was carried out and they also act as references.

One of the respondents stated that: “Records were the major tool for decision-making without which it is not possible to plan and make sound decisions.”

Five (22.72%) of the respondents stated that records, to some extent, undermine the process of carrying out business activities. One of the respondents added that, “...Sometimes activities are carried out and the documentation is not well done or not done at all. The record of the activity therefore doesn’t exist. Creating and maintaining of proper record of activities carried out are a major challenge in the institution.”

Another respondent stated that, "...the paper-based system compromises the security of records and there is slow retrieval of records thus undermining service delivery."

The researcher provided the respondents with assertions about the records management practices at the University and Table 4 .4 gives the views of the respondents.

Table 4. 4: Records Management Practices at the University

ASSERTIONS	RESPONSE RATE					TOTAL
	5	4	3	2	1	
The university's records management practices make it stand out among other institutions	0	8	7	7	0	22
The records management practices at the university aid in the achievement of accountability and transparency	0	9	2	11	0	22
The university's achievements in its operations can be attributed to its records keeping practices	0	7	6	9	0	22

Key: 1 - Strongly Disagree

2 – Disagree

3 - Undecided

4 - Agree

5 - Strongly Agree

On the first assertion, 8 (36.36%) of the respondents agreed, 7 (31.81%) were undecided while 7 (31.81%) disagreed with the assertion. On the second assertion, 9 (40.90%) agreed, 2 (9.09%) were undecided and 11 (50%) disagreed. On the third assertion, 7 (31.81%) of the respondents agreed, 6 (27.27%) of the respondents were undecided while 9 (40.90%) disagreed.

From the respondent's views, they are not satisfied with the records management in the university.

4.3.5 Response from Records Staff

This category of respondents gave the following as the business function of the institution: teaching, learning, research and extension. They stated that the following were their administrative duties:

- Receiving and dispatch of mails.
- Receipt, classification and filing of records into their personal staff or subject files.
- Opening of files and data entry.
- Storage and retrieval of files.
- Receipt, capture, and creation of records.
- Maintenance of records by ensuring that files are in good shape and the storage conditions in the registry are conducive.
- Ensuring proper house-keeping.
- Ensuring the security and confidentiality of records by restricting access to authorized staff.

The records generated included reports, student records, administrative records, and budget allocation records.

The records required to carry out the above functions included: financial records, the service charter, *Quality Manual and Procedures* (MU, 2013b) and the *University Act* (MU, 2012).

How Records are Managed in Support of the Business Function

The researcher sought to find out how records were managed in support of the business function and the following were the responses from the records staff.

Fifteen (50%) of the respondents stated that records were managed manually and electronically in a centralized and decentralized system. The personnel records are classified in a numerical filing system while records created and maintained by other departments are classified using an alpha-numeric filing system. One of the respondents stated that:

Records are classified according 'subjects' and filing is based on subject indexing except those that relate to staff which are placed in the personnel files are numerically filed and managed manually.

Ten (33.3%) of the responded stated that records are managed in line with ISO 9001:2008 and the institution's *Quality Manual and Procedures* (MU, 2013b). Four (13.33%) of the respondent stated that records are received and kept in files for day to day use.

Whether the Records Management Practices at the University Meets the ISO 9001:2008 Standard

The study also sought views from the respondents on whether the records management practices at the university meets the ISO 9001:2008 standard. Sixteen (53.33%) of the

respondents were of the view that the records management practices do not meet the requirements of the ISO 9001:2008.

One of the respondents stated that, "...the university lacks a record management policy and this has affected the records management practices in the University. Lack of a retention and disposal schedule has lead to records that have lost meaning to stay in offices thus lack of space for current records."

Fourteen (46.66%) of the respondents stated that the audits, both internal and external, have impacted positively on the direction to be followed in the management of records.

The researcher provided the respondents with assertions about the records management practices at the University and Table 4.5 gives the views of the respondents.

Table 4.5 Records Management Practices at the University

ASSERTIONS	RESPONSE RATE					TOTAL
	5	4	3	2	1	
The university's records management practices make it stand out among other institutions	0	12	11	7	0	30
The records management practices at the university aid in the achievement of accountability and transparency	0	10	2	18	0	30
The university's achievements in its operations can be attributed to its records keeping practices	0	13	0	17	0	30

Key: 1 - Strongly Disagree.

2 – Disagree.

3 - Undecided.

4 – Agree.

5 - Strongly agree.

On the first assertion, 12 (40%) of the respondents agreed, and 11 (36.66%) were undecided while 7 (23.33%) disagreed with the assertion. On the second assertion, 10 (33.33%) agreed, 2 (6.66%) were undecided and 18 (60%) disagreed. On the third, 13 (43.33%) of the respondents agreed, 17 (56.66%) disagreed with the assertion.

From the views of the respondents, it is evident that they are not satisfied with the records management practices.

4.3.6 Response from Secretaries

The 10 participants in this category were sampled from the top management offices, QMS&ISOC, QA and Dean, Student's Affairs. This study sought to find out what activities the secretaries are involved in, how records are managed in support of the University's business function and whether they had any training on records management. This study revealed that secretaries were involved in the following activities:

- Handling incoming and outgoing mails.
- Attending to inquiries.
- Typing of minutes, memos, letters, and reports.
- Receiving and attending to visitors.
- Creation and maintenance of records.

Records created include reports, minutes, personnel records, administrative records budget records, requisition records, notices and other correspondences.

How the Records are Managed in Support of the Business Function

Ten (100%) respondents stated that records are managed manually and each department creates and maintains their own records.

Whether the Records Management Practices at The University Meets the ISO 9001: 2008 Standard

Six (60%) of the respondents stated that management of records has improved as a result of both internal and external audits. They indicated that documentation of every activity has to be kept as proof that a given function was carried out as this can only be proved through keeping of the records. Four (40%) of the respondents stated poor record keeping is a major problem because there is no one to take collective responsibility for management of records. One of the respondents stated that: "...Because any one in the department can file or retrieve records from a file, mishandling and misfiling has been a major issue."

Training in Records Management

The researcher further sought to find out whether the secretaries had formal records management training and skills to enable them in efficient and effective management of records. All 10 (100%) of the respondents stated that they had a unit in their secretarial training called office practice in secretarial studies where records management was taught.

Interpretation of Data

This study sought to establish how records are managed in support of the business function of the university. To understand this, the researcher sought to find out the

business function of the university, the records generated and the records and/ or documents that are used to run this business function. These can be determined through a process known as functional analysis. Functional analysis provides a systematic way of establishing the key activities and transactions pertaining to the key functions of an organisation, and in determining the records that support those activities and transactions. Records represent major sources of information and are almost the only reliable and legally verifiable source of data that can serve as evidence of decisions, actions and transactions in an organisation, Wamukoya (as cited in Makura, 2005). For institutions of higher learning such as Moi University, massive records are commonly generated and kept to facilitate the day to day running of the institution. Therefore, as Robinson (1999) notes, functional descriptions link records directly to the business functions and activities that created them. The records continuum model appreciates that from the business activities (acts) of an organisation, records are a presentation that a given activity has been carried out (McKemmish, 1997). The functional analysis was undertaken to help in understanding of the core functions and activities, records that support the discharge of functions and the records created in relation to service delivery.

The analysis of the business functions and activities revealed that all the 78 (100%) of respondents were aware of and involved in the business function of the university and related activities in the university. From the respondents, the business functions and activities created massive records, as observed by scholars such as Wamukoya (2000), who say that records are a by product of business activity and Shepherd and Yeo (2003) who stated that records may be created either in the course of an activity or afterwards in conscious act of record keeping. Xioami (2001) on the other hand states that in a record

continuum records model processes are so much interwoven in business processes that the boundaries are negligible.

The findings further revealed that the records are managed largely in a paper based system which has led to slow retrieval of files and compromised the security of records. It was also revealed that the records are managed in a centralized and decentralized system. That is, the personnel records are managed in a central system while records generated or received in different departments in the university are managed in a decentralized system.

This study further revealed that the existence of the ISO9001:2008 (ISO, 2008) standard is felt in the institution and has made the university realize the importance of documentation and records keeping, the respondents further appreciated the importance of records but that service delivery is still suffering from poor record-keeping which has been brought about by unqualified personnel hence lack of professionalism in records management; poor filling and misfiling of records was also reported. This has also been observed by Baje (1998), Kemoni and Ngulube (2007) who opines that poor records keeping results in missing and lost files and documents leading to delayed services to citizens, poor image of the public service, poor organisational reputation, non legal compliance, financial loss and information loss.

4.4 Quality Standards Applicable to Records Management in the University

The study sought to identify the quality standards applicable to management of records in the university and respondent views are presented as follows.

Response from Interviews

4.4.1 Response from Management

All 6 (100%) respondents stated that there is no records management standard adopted in the University apart from the ISO 9001:2008 standard. One of the respondents stated that, “There was no records management standard though record keeping is as per ISO 9001:2008 which is customized into the quality manual and procedures clause 4.2.4.”

How the QMS Which Is Compliant With the Requirements of ISO 9001:2008 Influence(s) the Quality of Services Rendered By the University through Records Management

This study sought to find out how the QMS influences the quality of services through the management of records and the following were the respondent’s views.

All 6 (100%) respondents appreciated the existence of the ISO 9001:2008,(ISO, 2008) stating that the QMS has subjected the University to both internal and external audits which have helped in identifying major issues in records management.

One of the respondents stated that:

...from the available internal reports, there is poor records control ... that is, records in some of the departments and sections are not well kept, there is poor filing, no folioing and lack of labels on the files ... from the external reports, it is evident that some areas are still experiencing non-conformities in record-keeping.

4.4.2 Response from Auditors

All 4 (100%) respondents stated that there was no standard on the management of records. One of the respondents said that, “Record keeping is per the ISO 9001:2008 clause 4.2.4.”

This study sought to find out the records that exist that provide evidence of conformity to requirements of the effective operation of the QMS. All 4 (100%) stated that they included: reports from ISO; external and internal audits; spot check reports; quarterly reports; performance contract reports, and serialized requisition notes which specify the stages that must be fulfilled before an item is issued, for instance stores requisition, serialized copies of vouchers and imprests.

How the ISO 9001:2008 Influences the Quality of Services Rendered By the University through Records Management

All 4 (100%) of the respondents stated that the records have improved in the University. Although, through audits, non-conformities still fall on records keeping in the University. They stated that ISO is concerned with measuring the performance of the process or functions of the institution and the records that are generated. In most departments misfiling, and/or lack of knowledge in record-keeping is the major problem in the handling of records.

4.4.3 Response from Records Supervisors

All six (100%) of the respondents stated there was no standard on records management but ISO 9001:2008 standard is the available standard that the university adheres to.

How the ISO 9001:2008 Influence the Quality of Services Rendered by the University through Records Management

Having established that records management operations in the university were mainly guided by ISO 9001:2008, this study sought to find out how the ISO 9001:2008 influences the quality of services rendered by the university through records management.

Two (33.33%) of the respondents stated that the QMS procedure compliant with the ISO 9001:2008 requires, among other things, the proper control of records and clear labelling so as to facilitate easy access of records and hence quality of services achieved though this is yet to be achieved because most of the staff have no idea what the quality manual is all about.

Four (66.66%) of the respondent stated that ISO has brought about audits, both external and internal, and this has to some extent improved how records are managed, though the management of records still suffers from nonconformities.

Response from Questionnaires

4.4.4 Response from Action Officers

Twelve (54.54%) stated that they were not aware of any records management standard in the university, 5 (22.72%) of the respondent stated ISO 9001: 2008 as the standard used in the management of records in Moi University, and five (22.72%) of the respondent ignored the question.

Importance of Adopting a Records Standard

This study sought to find out from the respondents (action officers) the importance of adopting a records management standard.

Nine (40.90%) of the respondents stated that it forms a benchmark and reference in the management of records. It guides an institution to: provide quality services, monitoring and auditing the operation & activities of the institution; ensure efficiency and effectiveness in service delivery; safeguards records for the university and helps in making sure that there is uniformity in the way business is transacted and the records generated.

One of the respondents added that, "...Standards and guidelines help to provide a blueprint for RM that, when followed, help in achieving completeness, accuracy, well labelled and well referenced records."

Twelve (54.54%) stated that the availability of standards markets and improves service delivery, help achieve targets, aid in effective decision-making and facilitates efficiency in records keeping.

One respondent stated that, "...Standards help document process and activities while handling records from the time records are created, used, maintained to the time they are disposed off."

How ISO 9001:2008 Has Impacted the Management of Records and Service Delivery

This study further sought to find out from the respondents how ISO certification has impacted the Management of records and service delivery. Ten (45.45%) of the

respondents stated that with the internal and external audits the university is experiencing a positive impact on records management, however, most of the departments are still suffering from lack of qualified records staff to handle records issues, poor record-keeping and slow retrieval of files is a matter of concern.

One of the respondents stated that:

There is slow retrieval of records because of misfiling and loss of records which really affects decision-making and duplication of activities which has affected the quality of services in the university.

Eight (36.36%) of the respondents stated that ISO 9001:2008 certification has made staff more conscious on the business functions and records generated. One of the respondents stated that, “It has created a lot of awareness and enthusiasm among members of staff. All members of staff are striving to ensure the success of the same.”

Twelve (22.72%) of the respondent stated that ISO is evidence-based and it has a direct influence on record-keeping therefore it is advocating on accountability, proper record keeping so as to facilitate quick retrieval of records, curtail loss of records, and fast decision-making thus quality of services will be achieved.

4.4.5 Response from Records Staff

Twenty (66.66%) of the respondents stated that there is no standard directly addressing records management, though being an ISO 9001:2008 certified institution, the university adheres to it in the management of records. Ten (33.33%) stated that the ISO 9001:2008 is the records management standard and they were not aware of any other standard in the management of records.

The Importance of Adopting a Records Management Standard in Moi University

Twelve (40%) stated that a records management standard will aid in achieving uniformity and standardization in records management in the University. One respondent stated that, “Standards enhance uniformity, consistency and accountability of business decisions in the management of records.”

Eight (26.66%) of the respondents stated that standards will: enhance customer/client satisfaction in terms of effectiveness and efficiency; steer an organisation in the attainment of a competitive edge over others; reduce the time in service provision thus quality service achieved. Ten (33.33%) of the respondents stated that standards provide guidelines in record-keeping.

They mentioned ISO 15489 as a records management standard that provides guidelines on how to manage records, and one of the respondents observed that:

Though the ISO 9001:2008 has greatly helped to streamline the key business function in the university, having a records management standard, for instance the ISO 15489, could clearly provide guidance of records from the time the records are created to the time of disposal.

4.4.6 Response from Secretaries

The researcher sought to find out what standards are used in the management of records, and the following were the responses from the secretaries.

Eight (80%) of the respondents stated that they did not have a specific records management standard but the available standard was the ISO 9001: 2008 that is being

used. Two (20%) of the respondents stated that they were not aware of any records management standard in the institution.

Interpretation of Data

This study's findings indicate that the university does not have a records management standard, but the ISO 9001:2008 is the available standard that is customized in the quality manual system. In relation to records management, the ISO 9001:2008 clause 4.2, Document Requirements, stipulates that the Quality Manual System documentation shall include, among others, documents (including records) determined by the organisation to be necessary to ensure the effective planning, operation and control of its process.

Furthermore, from the findings, the researcher established that if the University adopts a records management standard, for instance ISO 15489, it will, enhance uniformity, provide guidelines, and ensure consistency and accountability of business decisions in the management of records. As ISO 15489 (ISO, 2001) states, one of the benefits of records management is that it enables organisations to deliver services in a consistent and equitable manner.

4.5 Policies Guiding Records Management in Moi University

Response from Interviews

4.5.1 Response from Management

The researcher sought to find out whether a records management policy exists in the University, awareness of how the University monitors, measures and analyzes Quality Management System processes and the influence of records management on the quality of services provided. The respondent's views are as follows: All 6 (100%) respondents

stated that there was no policy on records management they were aware of but pointed out on the *Quality Manual & Procedures* (Moi University, 2013b) clause 4.2.4 as the major guideline on the management of records.

Impacts of Records Management on Service Delivery

This study sought to determine the impacts of records management to service delivery in the university. All 6 (100%) respondents acknowledge records as a foundation of decision-making and service delivery. They stated that records assist in planning for all the business functions and other activities in the university. However, 4 (66.66%) of the respondents observed that records management has suffered from non-conformities and this has led to unsatisfactory service in some areas of the University because of the manual system and inadequate qualified personnel in the management of records.

Awareness of how the University Monitors, Measures and Analyzes Quality Management System Process

All six (100%) of the respondents stated that the university carries out ISO internal audits after every six months, ISO external audits (surveillance) conducted by KEBS, performance contracting reviews carried out annually and quarterly reports produced by each department.

Influence of Records Management on the Quality of Services Provided

The 6 (100%) respondents in this category appreciated the importance of records in service delivery and went ahead to state that records are manually managed and this has created a lot of issues. For instance, there is slow retrieval of records and poor record-

keeping due to lack of trained personnel in the records management field. This, according, to the respondents leads to delays, thus poor service provision in some areas.

4.5.2 Response from Auditors

The researcher sought to find out from the respondents whether there exists a records management policy. All 4 (100%) of the respondents stated that there was no existing policy on records management.

The researcher also sought to find out if the University, in the absence of a records management policy, has documented a procedure on the identification, storage, protection, retrieval, retention and disposal of records. All four (100%) of the respondents stated that the university has documented a procedure (MU/ADM/OP/002) which outlines how records should be maintained.

Impacts of Records Management on Service Delivery

The researcher further sought to find out whether the records management practices used in the University have any impact on service delivery. 2 (50%) of the respondents stated that to some extent it does. The respondents highlighted that records enhance efficiency, improve clients services and therefore clients can be served with ease as there is easy access to records.

One of the respondents stated that:

Records become supporting evidence in improvement process for instance, use of student records to justify need to procure more mattresses, build additional lecture halls and hostels, employ more lecturers among others.

Two (50%) respondents stated that the records management practices in the university have a negative impact on service delivery, stating that, “The centralized system of records management leads to loss of confidentiality and the security of records is compromised.”

This study sought to find out, from this category of respondents, their awareness on how the University monitors, measures and analyzes the quality management process so as to enhance service delivery, the influence of records management on the quality of services provided and quality measures on records management implemented to achieve quality for service provision.

Awareness of How the Institution Monitors, Measures and Analyses Quality Management Process

All 4 (100%) respondents in this category stated that the University monitors and measures quality management process through ISO audits, both internal and external, performance contracting review, assessments and exams. One of the respondents stated that, “The University uses assessments and examinations to measure the progress towards fulfilling curriculum requirements.”

All 4 (100%) respondents stated that data resulting from monitoring and measurement, for instance performance of educational programmes, feedback from customer surveys, activities and management reviews, are analyzed using accepted methods of analysis and solution of problems such as cause and effect diagrams and flow charts.

Influence of Records Management on the Quality of Services Provided

All four (100%) of the respondents state that records play a major role in service delivery. Without proper records management practices there will be wrong decision-making and both transparency and accountability will also be affected. One of the respondents stated that:

Records management in the university has great impact in the development of an institution but the University is yet to realize the great importance of documentation and record keeping for it still suffers from non conformities in the records keeping.

4.5.3 Response from Records Supervisors

Six (100%) of the respondents stated that there were no policies on the management of records although there is a procedure in the quality manual and procedures that is used in the control of records.

Existence of any Strategy Approach in Place to Help in the Management of Records

All six (100%) of the respondents stated that there were in-house policies that provide guidelines on limited circulation of records, weekly stock list to update circulation lists in the offices where records are circulated and procedures in the quality manual.

Awareness of how the University Monitors, Measures and Analyzes Quality Management Process so as to Enhance Service Delivery

All 6 (100%) respondents in this category stated that the University monitors, measures and analyses quality management process through external and internal audits, quarterly reports and through the vetting of staff.

Influence of Records Management on the Quality of Services Provided

The control of records is explicit on the duration that a given file stays in a given Action Officer's office: timelines are set to enhance service delivery. However, this has not been effectively achieved because the record keeping has been affected by many problems.

One of the respondents explained that:

Record-keeping is challenged from lack of tracking of documents, overstaying of file by action officers, lack of a policy to define records management and the retention and disposal of records in the University, lack of a standard to provide a guideline on matters concerning records management, poor filling, improper folioing which is brought about by unskilled staff which has lead to poor service delivery.

Another respondent stated that, "Loss of records leads to delays in implementation of services and wastes many hours as fresh records are generated or sometimes they are completely lost."

Response from Questionnaires

4.5.4 Feedback from Action Officers

Existence of Policies and Procedures Adopted that Have a Direct Influence on Records Management

Twelve (54.54%) of the respondents stated that they do not have such documents in their respective departments while six (27.27%) of the respondents cited QMS procedure that is recommend by the University. Three (13.63%), however, stated that the finance department, because of the unique nature of their records and the management of

financial records, was guided by the financial regulations policy which was a government document and the Moi University (2013b) *Quality Manual and Procedure*.

The Respondents were asked What Strategies are being used in Records Management

Seven (32.81%) of the Action Officers stated that there is a documented procedure in the Moi University (2013b) Manual on control of documents and records which partly addresses the RM needs. Fifteen (68.18%) indicated that they are not aware of any strategies in relation to records management.

How does Moi University Monitor, Measure and Analyze Quality Management System Process?

Seventeen (77.27%) of the respondents mentioned performance contracts, audits (both internal and external), customer feedbacks, and increased intake of students as ways of measuring and monitoring the quality management process. Three (13.63%) stated that after activities and services are carried out, analysis is done to measure the success or failure of a given service or activity. For instance one of the respondents explained that

After every international conference, an evaluation of the conference and analysis is done to rate the performance of the conference. This is also a mandate to all functions, for instance workshops and seminars, though most of the departments fail to carry out the analysis.

Two (9.09%) stated that assessments, examinations, and quality assurance were ways of measuring and monitoring performance.

Influence of Records Management on the Quality of Services Provided

The researcher sought to establish the influence of RM on the quality of services from the action officers.

Ten (45.5%) reported that since the system is manual, the quality of service delivery is slow and can be ineffective since some records can get lost or misplaced, confidentiality of records is compromised, and there is slow retrieval of information, and inadequate space, leading to rapid wear and tear of files.

One of the respondents explained that, “Poor records management has also given rise to loss of documents, delayed action and even litigation costs arising out of the same.”

Another respondent added that, “...files are too congested in a small room and the university is growing every other day, which makes handling of records a problem thus slowing the access and retrieval records.”

Eight (36.36%) stated that well maintained records: help to verify information as authentic; ensure there is easy retrieval; aid in quick service delivery; ensure no duplication; guarantee reliability and efficiency; documents could be easily traced, for example from examination to personal claims to cash office; form a fall back to which we refer in order to provide services to our clients; helps in decision-making, and helps in planning.

4.5.5 Response from Records Staff

This study sought to establish, among others, the following points from this group of respondents: awareness of policies; awareness of procedures and whether they are well documented and adopted in the University.

Existence of Policies Adopted that have a Direct Influence on Records Management

All thirty (100%) respondents said that the university did not have a records management policy.

Existence of Procedures that Guide the Management of Records

Fifteen (50%) of the respondents stated the quality manual (MU,2013b) as a procedure that helps in the guidance of records management but it is not referred to. Ten (33.33%) of the respondents were of the view that they have in-house guidelines on limited circulation of records and weekly stock list to update circulation lists in all the offices where records are circulated. Five (16.66%) of the respondents were not aware of any strategy in guiding management of records.

Adoption of the Procedures

The researcher sought to find out whether the procedures are adopted. Twenty (66.66%) of the respondents indicated that though the procedures were available they were not always adopted. Five (16.66%) established that the procedures were well documented and they are well adopted. One respondent stated that, "...the procedures are well adopted and documented through the guideline of the QMS."

5 (16.66%) of the respondents were completely ignorant of whether or not a records management procedure existed in the University.

How the University Monitors, Measures and Analyzes Quality Management System Process

Thirty (100%) of the respondent stated that the University carries out its own audits (both external and internal) in the monitoring and measuring of its services.

Influence of Records Management on the Quality of Services Provided

All the respondents stated that records management positively influences the quality of services in the university. Sixteen (53.33%) of the respondents stated that records are very important to every institution: records give direction on what to do when and how, this enhances the quality of the institution. One of the respondents stated that, “The clients hold the institution by what has been documented When the organisation talks of seven days to act on a given need, the client will demand for services as documented.”

Nine (30%) of the respondents stated that proper records management influences the quality of services positively as it enhances efficiency in service delivery. Actions are implemented in time, thus reducing delays or lack of action on different issues.

Five (16.66%) of the respondents stated that it enhances efficiency in the delivery of services. This is because good records management ensures timely availability of records to assist actions officers in decision-making. One of the respondents stated that, “Proper RM ensures that required records can be availed for access in a timely manner thus enhancing the decision-making process, safeguards against corruption and graft etc.”

To What Extent Do The Current Records Management Practices Enhance Or Undermine Policy Formulation, Planning Business Activities, Implementation Of University Services And Decision Making?

Nineteen (63.33%) of the respondents stated that the current records management practices in the University are affected by many obstacles, for instance: unqualified personnel, which has led to lack of professionalism in RM, manual system which is not effective, lack of a policy to guide in the RM activities, poor record-keeping.

Eleven (36.66 %) of the respondents stated that the current records management practices needs improvement so as to provide continuity of business operations while at the same time enabling management to obtain records that can help them make proper short term and long term plans. One of the respondents stated that:

Records are the memory of any organisation and the decisions made in the past are implemented today and in the future. Records therefore form the basis from which evaluation of past performances can be attested, revise areas that need improvement and point to the future occurrences. Records act like a mirror in giving a reflection of the organisation and pointing out what need to be done as per the dictates of the records.

4.5.6 Feedback from Secretaries

The researcher sought to find out, from this category of respondents, whether there exists a records management policy, awareness of procedures and if they are well documented and adopted in the university.

Awareness of a Records Management Policy

All 10 (100%) respondents stated that there was no policy on records management. One of the respondents stated that, “We have no such policy, the management departments at least have policies of different functions but I have never come across a records management policy.”

Awareness of Procedure on Records Management

All 10 (100%) respondents stated that the *Quality Manual and Procedures* (Moi University, 2013) have a clause on the control of records though the creation and maintenance of records is done as per the activity at hand.

When asked whether they are well documented and adopted in the University, the respondents stated that there exist a procedure but it is not used -n their day-to-day activities.

How the University Monitors, Measures and Analyzes Quality Management System Process

All 10 (100%) respondents stated this is done through internal and external audits and quarterly reports. One the respondents explained that:

Each department has a specific target which should be measurable, therefore to monitor if a given objective has been carried out in a given quarter, records and reports should be provided in quarterly reporting.

Influence of Records Management on the Quality of Services Provided

All 10 (100%) of the respondents appreciate the importance records creation and maintenance and use in their specific department but stated that they suffer from challenges in record-keeping.

One of the respondents explained that:

Manual system of management of records slows down service delivery, and lack of specific qualified staff in the handling of records has lead to misfiling of records. Also anyone in the office can file a record and this leads to misplacement of a given record.

Interpretation of Data

The findings reveal that there is no policy, programme and/or guidelines in the management of records and this has brought about challenges in record-keeping in the university. The respondents stated that they were not aware of any records management policy or procedure. This is evidenced by Mnjama and Wamukoya (2007) who state that there are real challenges faced by East and South African member countries in the capture and preservation of records. They include: absence of organisational plans for managing records; low awareness of the role of records management in support of organisational efficiency and accountability; lack of stewardship and coordination in handling records, and absence of legislation, policies and procedures to guide the management of records. According to Mnjama and Wamukoya (2004), the absence of the records policy can result in an ineffective records management programme as both

records' handlers and users lack direction and guidance on how to effectively and efficiently carry out their duties and responsibilities

Records' challenges can be addressed and prevented through the establishment and implementation of an effective records management policy (King 1997; Thurston, 2005).

It was also evident that most of the respondents were not aware of the existence of a procedure in the management of records. Though some respondents mentioned the quality manual system (Moi University, 2013b) having a procedure on control of records but it is not being implemented or referred to in the management of records.

The findings also show that the University monitors, measures and analyses its processes using ISO 9001:2008, internal and external audits, performance contracts, customer feedback, quarterly reports, evaluation of lectures, assessments and examinations. Pareto analysis was mentioned, which the respondents explained is used to identify the major factors that contribute to problems in the University and to distinguish the vital few from the trivial many. From the respondents' view, problems come from few causes and the Pareto analysis indicates what problems to solve and in what order.

This study's findings on the influence of records on the quality of services indicated that respondents appreciated the importance of records to quality service provision though it was apparent that the records are still suffering from improper record-keeping. This has affected the services provided, time taken in the access and retrieval of documents and long procedures before a service is provided. Parasuraman et al. (1985) argue that customers form their perceptions of quality from different elements of services. Service quality is the ability of an organisation to meet or exceed customer expectations

(Parasuraman et al., 1988). On the other hand, Berry (1990) states that consumer perceptions of service quality result from comparing expectations prior to receiving the service, and their actual experience of the service. This is an indication that the element of quality largely lays with the client, in this case records' users.

According to Thurston (1996) there is a link between good records management and service delivery. As a key component of public service reforms, good record-keeping has contributed to efficiency and effectiveness, especially in those countries where, as part of public service reforms, there was a component on records management improvement.

Furthermore, this study found that the current records management practices have been undermined by lack of policy formulation, planning business activities, implementation of university services and decision-making. This is because of the unqualified staff handling records which has lead to lack of professionalism in RM, a manual system which is not effective, lack of a policy to guide in the RM activities, and poor record-keeping. This is a gap which, if not taken care of, will affect the service provision. As Parasuraman et al. (1985) and Gronroos (2002) explain, in relation to the service model gap 3, the perceived service and service delivery is because of lack of sufficient support for the frontline support, process problems or contact staff performance, poor management of service operations insufficient internal marketing and poor systems which do not facilitate performance according to specifications.

4.6 Challenges Facing Records Management and How They Impact on Quality Service Delivery in Moi University

It was established that there were a myriad of challenges, all contributing to the hindrance of sound records management hence affecting the provision of quality services in the University.

Response from Interviews

4.6.1 Response from Management

This study sought to establish, from the management representatives, the major challenges they are aware of in the management of records. They stated the following as challenges affecting the management of records in Moi University:

- Lack of a records management policy and programme to manage records, including ethics.
- Inertia – resistance to change.
- Inadequate records management staff.
- Lack of sufficient training, particularly in the use of computers by record handlers.
- The organisational culture that does not appreciate RM as a tool of enhancing service delivery issues.
- The records management in the institution is largely manual and it makes it difficult for one to trace a document or a file, yet it is easy for one to pluck a record from someone's file.”

The study further sought to establish how the identified challenges impact on the quality of service delivery and the following responses were given:

- Sluggishness in the retrieval of records because of the manual system.
- Exposure of issues affecting workers.
- Loss and disappearance of documents so that they don't reach the intended office.
- Confidentiality is compromised.

4.6.2 Response from Auditors

This study sought to establish from the auditors the major challenges they face in the management of records. They cited the following as the internal challenges affecting the management of records in Moi University.

- Centralized system of records management that compromises the confidentiality and security of records.
- Manual records management system which is slow, inefficient and inaccurate.
- Poor records management practices. For example, poor filling, poor folioing, opening and closing of files without any procedure.
- Ignorance of the management of records by staff.
- The generic circulars issued by the government are sometimes not suitable for the University given its uniqueness for example on the disposal of records.
- Lack of monitoring from regulatory bodies, for instance the Archives that have the mandate, by law, to carry out appraisal in all public organisations.

This study sought to find out how the identified challenges impact on the quality of service delivery and the auditors gave the following responses:

- The centralized system for personnel records has lead to compromised confidentiality of records and also the security of records thus affecting enhancement of service delivery.
- The records management in the institution is largely manual and it makes it difficult for one to trace a document or a file, it is easy for one to pluck a record from someone else's file.

One of the respondents explained that, "Manual records management system inefficiencies results in delayed information access, loss and misplacement of records, records security problems, space problems, among others."

4.6.3 Response from Records Supervisors

This study also sought to establish the challenges faced by records supervisors in the management of records. Their responses were as follows:

- Lack of a records management policy to help in the implementation of sound records practices.
- Absence of a retention and disposal schedule to identify valuable records hence accumulation of ephemeral records which affects the access and retrieval of records.
- Lack of a records management standard.
- Lack of RM presentation in the management.

- Inadequate trained personnel which has affected records management practices.
- Low grading and pay of the records management staff.
- Low support from top management.
- The organisational culture that does not appreciate RM as a tool to enhance service delivery.
- The ‘records’ aspect, from the respondents’ point of view, was an aspect associated with the registry and clerks. With this ignorance the aspect of records management has been less handled seriously in most of the departments’ thus poor service delivery.
- Leakage of information by records staff. fThis prompted one of the respondents to explain that, “Confidentiality of information is compromised in that some staff colludes with other staff to leak out information about staff promotions, disciplinary issues, and related personal information.

The study also sought to establish, from the respondents, how the identified challenges impact on the quality of service delivery and they gave following responses:

- Inadequately trained personnel have led to lack of professionalism in the management of records hence poor record-keeping, resulting in poor service delivery.
- Low grading and pay which has affected the morale of the RM staff.
- Little support from management in records management has brought about ignorance of the records management aspect and budget constraints.

- Inadequate funding for records management has been a drawback in the execution of records management activities, resulting in overall organisational inefficiency. The respondents explained that there was low allocation of funds to enhance the management of records, for example funds to facilitate in-job training and acquiring proper storage facility.

Response from Questionnaires

4.6.4 Response from Action Officers

This study also sought to establish the challenges Action Officers are aware of that face the management of records in the institution.

- Lack of seriousness in the handling of records.
- Lack of awareness and training on records management.
- Manual systems that are slow.
- Inadequate space to store records.
- Ignorance of the importance of records management in the institution.
- Inadequately-trained records staff.
- Lack of guidelines on how to manage records.
- Government not enforcing the law on record-keeping.
- Developing a functional classification and record retention system.
- Management of paper and electronic records in the same environment.
- Poor record-keeping.

This study sought to find out how the identified challenges impact on quality of service delivery and the Action Officers gave the following responses.

Ten (45.45%) stated inadequate skilled RM staff has negatively affected professionalism in the records management, organisational culture and lack of awareness of records management as undermining quality services. One respondent further observed that:

Management of records in most of the offices is handled by office messengers, clerks, or secretaries and other staff who have no knowledge in recordkeeping. Due to this, there is poor record keeping for instance poor filling, misfiling and lack of folioing which leads to slow retrieval of records thus affecting service delivery.

Three (13.63%) of the respondents stated that lack of policies for RM has contributed to the current state of poor records management in the university. One of the respondents stated that:

Records Management is a key resource in any institution due to a lot of challenges one may not be in a position to achieve the desired goals and objectives, stake holders require quality services and therefore every institution should see into it that they meet the standards through the management of records by developing and implementing a records management policy.

Two (9.09%) stated that poor adherence to procedures that are in existence is a problem. One respondent explained that, “Despite the effort of the management through office QMS&C to distribute quality manual procedures to departments, the procedures are received and put inside drawers and that is the end of the story.”

Two (9.09%) respondents stated that though the university has provided the procedures on records management, the aspect has not been taken seriously by the records handlers and this has led to a culture of carrying activities without reference.

On the same aspect another respondent stated that, “In most offices, the records are left in the care of clerks and secretaries who have no skills in records keeping thus they neglect the record keeping aspect and do their mandated job descriptions.”

4.6.5 Response from Records Staff

Twenty seven (90%) of the respondents stated: inadequately trained staff, training; lack of records management policy; lack of funding; lack of knowledge; inadequate space; lack of policies; ignorance; poor record-keeping; the records are manually filed so it is hard to know if a document is removed from the file; resistance to change; lack of awareness on records management and RM system. Three (10%) of the Records Staff stated lack of tracking of records, lack of feedback and setting procedures that cannot be followed as issues.

Internal Factors Responsible for the Challenges in Records Management

Twenty two (73.33%) of the respondents indicated that: lack of recognition of records management as a vital function of the University; poor budget allocation; poor records management practices; lack of a policy to guide the management of records from creation to disposal; inadequately qualified personnel; lack of seriousness in the handling of records, and ignorance in higher authorities by not providing required facilities and developing functional classification and records retention systems. Eight (26.66%) of the

respondents informed the researcher that there is poor adherence to procedures despite the university having in place procedures that ought to be followed.

External Factors Responsible for the Challenges in Records Management

Twenty (66.66%) indicated: high employee turnover, especially records staff, due to competitive wages being offered by rival employers; inadequate budgetary allocations by the government, and low allocation from the Ministry of Higher Education thus compelling the university to do cost cutting on records management activities among its cost cutting measures. Ten (33.33%) of the respondents in this category were not aware of the external factors affecting management of records at the University.

This study sought to find out how the identified challenges impact on the quality of service delivery and the following are the respondents' views.

Eleven (36.66%) of the respondents stated that:

- The challenges have hampered records management process in the institution.
- The manual system slows the operation of the institution in terms of time and period taken to take specific action.
- They've led to the misplacement of files or records which are vital thus slowing the decision-making process.
- It leads to poor performance in terms of service delivery to the clients, in terms of the time taken to be provided by a given service.

Four (20%) cited lack of motivation on the records staff as a challenge. Most of the records staff is paid very low salaries and even those who have qualifications in records

management are on lower grades and hence receive a meagre income. One of the respondents explained that, “RM staff is employed on low grades which has consequently given rise to low staff morale and poor performance resulting to poor service delivery.”

Fifteen (50%) of the respondents observed that, due to these challenges: confidentiality of records was compromised; there was slow retrieval of information; there was duplication of functional files; files were misplaced; the security of records is compromised; there’s slow decision-making; poor adherence to procedures, and work done is neither efficient nor effective.

4.6.6 Response from Secretaries

This study further sought to establish the challenges secretaries face in the management of records in the institution. Some of the responses were:

- Managing records in a manual system.
- Lack of training in records management.
- Inadequate staff.
- Too much work and having an additional records management duties.

The researcher sought to find out how the identified challenges impact on the quality of service delivery and the secretaries gave the following responses:

- The manual system reduces efficiency in work, thus taking long duration for a service to be delivered.

- Lack of skills in the maintenance and storage of records leads to misfiling and even loss of records thus affecting decision-making and service delivery.
- Lack of policies to guide the management of records has led to overcrowding of records because the closed and/or outdated files are still in the same office holding the current records.

Interpretation of Data

It was established that there are a myriad of challenges in records management practices at Moi University which have had a negative impact on the quality service delivery. This study's established that they included the lack of a records management policy to provide guidelines for: the control and use of records; identification and protection of vital records; establishment of records control systems and procedures including classification, storage and maintenance, tracking and disposal.

From the findings, this study established that records were managed largely by unqualified staff, leading to poor record-keeping, for instance misfiling, loss of records, poor handling of files, lack of tracking of files which has brought about non-conformities and which has contributed negatively on the management of records, leading to delayed service to citizens and poor image of the public service. Kemoni and Ngulube (2007) state that poor record-keeping can lead an organisation to risks such as poor organisational reputation, non-legal compliance, financial loss, and information loss.

According to the respondents, the manual system of records management has brought about challenges in the management of records and service delivery. From the

respondents responses, one sees how the manual system has led to the: slow or sluggish retrieval of records; loss of records where a record can be removed from a file without a trace; confidentiality of information is compromised, and the overall security of records is compromised; slow decision-making because a file has to be used by a given action officer one at a time. Respondents were of the view that the introduction of electronic records management could help in solving the challenges, an opinion echoed by Mnjama and Wamukoya (2007) who state that the integration of the manual paper system with the computerized system, by focusing on specific products, helps to support the business process.

The findings further established that the records management element has not been well supported by the top management. This has also been observed by Parasuraman et al. (1985) and Gronroos (2002) who state that some gaps in the service delivery are due to lack of support from top management, inadequate funds to facilitate purchase of the right equipment, lack of training through workshops, insufficient planning procedures, and lack of clear setting have been a major problem. Jones (2003) notes that good records management practices is an investment for the organisation although it could be easily viewed as an overhead expense.

The respondents also pointed out that ignorance and lack of awareness of staff about the importance of records management in the institution as a hindrance to service delivery. It was further stated that the management of records was assumed to be a mandate of the secretaries and clerks who are assumed to be custodians of records in the respective offices, among other duties. This is not true because, according to ISO 15489 (ISO,

2001), records management governs the practice of both records managers and any other person who creates or uses records in the course of their business activities.

Mnjama and Wamukoya (as cited in Wamukoya & Mutula 2005) state that there were real challenges faced by East and South African member countries in the capture and preservation of records. These include:

- The absence of organisational plans for managing records.
- Low awareness of the role of records management in support of organisational efficiency and accountability.
- Lack of stewardship and coordination in handling records.
- Absence of legislation, policies and procedures to guide the management of records.
- Absence of budgets dedicated for records management.
- Poor security and confidentiality controls.
- Lack of records retention and disposal policies.

4.7 Suggestions for Improving Records Management to Enhance Quality Service Delivery

This study sought suggestions from the respondents on the ways to improve records management in enhancing quality service delivery.

Response from Interviews

4.7.1 Response from Management

- Featuring the management of records aspect in future strategic plans so as to give it more weight.
- Capacity building through recruitment of qualified records staff and conducting of in- house training.
- Sensitise management staff on records management practices through workshops and seminars.
- Revision of the budget allocation to the registries and management of all University records created.
- Computerization of records management should be developed and implemented to enhance access and retrieval of records to enhance service delivery.
- Foreseeing the development and implementation of a records management policy.

4.7.2 Responses from Auditors

- Automate the records management function.
- Adopt GEMBA KAIZEN methodology which advocates on proper management of records.
- Advocacy of records management function as a major goal to quality service provision.
- Develop and implement a records management policy.
- Regular awareness to all staff and training of records management champions.

4.7.3 Response from Records Supervisors

- Support from the management staff by enabling them to understand both tangible and non tangible benefits of records.
- Hiring a records manager as a critical member of staff in management of records in the university.
- Solicit for allocation of adequate funds to carry out records management practices.
- Adopt a records management standard, e.g. ISO 15489, to work in conjunction with the ISO 9001:2008.
- Automation of the records management function.
- Records management awareness should be carried out through workshops and seminars.
- Carrying out in-job training and/or continuous professional training in records management.
- Employing adequate qualified personnel.
- Frequent sensitization of the quality manual and procedures clause 4.2.4 and all procedures available in the manual.
- Motivating staff by giving promotions, providing pay rises, recognition and tokens of appreciations.
- Employing staff with the right professional qualifications.
- Acquisition of lockable cabinets to store records for security purposes.

- Monitoring and evaluation from regulatory bodies, for instance the National Archives.
- Develop partnership and cooperation with records and archives management bodies and organisations.

Suggestions from Questionnaires

4.7.4 Response from Action Officers

The Action Officers made the following recommendations:

- Carrying out seminars and workshops to sensitize staff on records management practices and its importance to service delivery.
- Awareness on management of electronic records, from creation to disposal.
- The University needs to formulate a records management policy.
- Automate the records management function.
- Employ a records manager to oversee management of records in the University.
- Increased top management support for the management of records.
- Store files and vital records in lockable cabinets.
- Employ adequate and qualified personnel.
- Increased budget for records management function.
- Use of passwords on available computers to avoid the issue of adding deleting of files on the computer.

4.7.5 Response from Records Staff

The records staff made the following suggestions:

- Employ dedicated and trained RM staff.
- Advocacy of records management functions as a major goal to quality service provision.
- Employ a Records Manager to guide in records management issues.
- Training of staff, in-house training and sending staff to colleges and universities to train, in records management courses.
- Sensitize the management on the importance of RM in enhancing service delivery.
- Provide adequate funding to help carry out records functions.
- Officially adopt an RM program or policy for the institution.
- Adopt a records management standard 15489 to work in conjunction with the ISO 9001:2008.
- Sensitization of other staff through seminars and workshops on the importance of records management.
- Management should provide adequate funding for records management.
- Acquisition of more computers to speed up record creation and storage.
- Automation of records to assist fast service delivery.

4.7.6 Responses from Secretaries

- Electronic management of records should be embraced more than it is now to enable quick access of documents when needed.
- Provision of more computers to provide a larger storage capacity.
- Carrying out of sensitization workshops and seminars to help sharpen records management skills.
- Development and implementation of a records management policy.

Interpretation of Data

From the suggestions, current records management in the University needs improvement so as to provide continuity of business operations. This will enable the management to obtain records that can help them make proper short term and long term plans to facilitate effective and efficient services. There should be commitment to service quality through records management among management and record creators. This should be addressed through proper goal setting and as well as proper planning. From the findings, one can see that the respondents are advocating for development of a records management program and policy to guide and improve the handling and management of records.

Appointing of a Records Manager to oversee the development and implementation of a records management programme and policy, among other records management activities, needs to be prioritized. The appointee must be on senior level in the organisational hierarchy, holding a doctorate degree and having some work experience in order to influence policy on records management in the University.

From this study's findings, adopting record-keeping standard ISO 15489 was recommended, it is a record keeping standard developed by ISO and is meant to provide records management guidelines in support of implementation of QMS (ISO, 2001). The standard therefore operationalises the requirements of clause 4.2.4 of ISO 9001: 2008 which provides for the procedure on control of records.

The findings depict that the introduction of an electronic records management system will enhance efficiency in terms of speed, accuracy, security of records and it will also encourage a backup system. Wamukoya (2009) states that new technologies and their growing adoption and use is rapidly revolutionizing the organisational culture that is positively impacting on the way organisations work, make decisions and even document their activities.

Employment of qualified, adequate staff to handle the management of records has also been recommended so as to enhance professionalism, and thus curb the issue of non-conformities in records management. The quality of any records management programme is directly related to the quality of the staff that operates it and the financial and technological resources available to maintain it. On the other hand, Parasuraman et al. (1985) and Gronroos (2002) are of the opinion that overcoming a service delivery gap requires providing employee training, clarifying the tasks of all personnel to avoid task ambiguity and making proper changes to technology and systems so that they can be supportive to the quality goal.

This study's findings also indicated low funding directed to the records management function. The heads of registries should ensure that they prepare a comprehensive budget

and be able to justify to the management the reason for the comprehensive budget. According to Sanderson and Ward (as cited by Makura, 2005) the importance of records management is increasingly being recognized in organisations. It is, therefore, the mandate and responsibility of Record Managers to ensure that they gain the attention of decision-makers in the organisation. Gaining is all about convincing the management on the importance of the existence of records management.

Sensitization of staff through workshops, and seminars on records management and its importance in service delivery should be considered for this will enable each member of staff to have knowledge on the importance of creating and handling records as seen in this study. Staff development is an essential tool for building awareness and knowledge of records management and what benefits that is brought with it. It is also a key strategic change agent for developing the quality cultures. Sallis (2002) states that motivational theories have long recognized that training is one of the most important motivators in any organisation's armoury.

This study further established, from the respondents, that placement of records management within the organisational structure will be an indication that there will be a responsibility and commitment by the management and the organisation at large towards records management.

4.8 Summary

Chapter Four has highlighted the research finding in accordance with the research objectives. The research findings reveal that records management face a number of challenges. They include, among others: lack of policy in the management of records;

insufficient funds; poor record-keeping, and lack of the awareness of the RM aspects. The next chapter offers recommendations and strategies which need to be implemented to ensure there is quality services in the institution through sound records management procedures.

CHAPTER FIVE

SUMMARY OF RESEARCH FINDINGS, CONCLUSION AND RECOMMENDATIONS

5.1 Introduction

This Chapter presents the summary of the study's findings, conclusions and recommendations. The summary is based on the research questions, and the recommendations are given to address the challenges noted in the study. Strategies for improvement of records management in enhancing service delivery in MU and areas of further research are suggested.

5.2 Summary of the Research Findings

The following is the summary of the research findings based on research questions formulated at the beginning of this study. This study was about the role of records management in enhancing quality of services at Moi University.

5.2.1 Research Question One: How are Records Managed in Moi University in Support of the Business Function?

This study established, from the findings, that records generated from the business functions, that is teaching, research, extension, consultancy, community services, administration and support services, are as follows:

- Administrative records.
- Personnel records such as those pertaining to employment, staff development, and disciplinary issues.

- Students' records such as population, performance, student's welfare and disciplinary issues.
- Financial records such as grants, research funds, budgetary records, salary payment, statements of accounts, fees payment, reports, and expenditure receipts among others.
- Architectural records such as maps and building plans.
- Performance contract reports.
- Internal and external audit reports.
- Committee records, for instance minutes.
- Records of collaborations and memorandum of understanding.
- Records from communication to and from the ministry.

From the findings the records are managed as follows:

- Largely in a manual system with exception of the finance department that has a financial system.
- The records are managed in both centralised and decentralised manner. Central for the personnel records and decentralized system for records generated in different departments.
- The filing system used is alpha-numerical for those generated in departments and numerical filing systems for the personnel records.

- The records are found both in paper and electronic forms.

5.2.2 Research Question Two: What Record Management Standards Guide How Records are Managed in Moi University?

This study revealed that Moi University does not have a record-keeping standard though it adheres to the ISO 9001:2008 (ISO, 2008) customized in the *Quality Manual and Procedures* (Moi University, 2013b) clause 4.2.4 control of records and clause 4.2.3 control of documents. This study's findings show that the respondents advocated for the adoption of ISO 15489 which is a record-keeping standard.

5.2.3 Research Question Three: What Policies are Adopted in the Management of Records in Moi University?

The findings revealed that MU does not have records management policies in place but a procedure on records and document control is available in the *Quality Manual System* and procedures clause 4.2.4 and 4.2.3 (Moi University, 2013b) respectively.

According to the findings, the University had no quality measures on records management because of lack of a policy framework but the existence of the ISO 9001:2008 shows that, through audits and quarterly reports, there are ways of measuring performance of records management. The central registry have in-house guidelines in place, for example: limited circulation of files to control access of records to action officers or staff who are authorized to use the records; weekly stock list to update circulation lists in all the offices where records are circulated: physical access to the registry is controlled by mounting of the counter for services; only authorized personnel are allowed in the registry; vetting of staff for confidentiality of information, and certificates issued to staff.

5.2.5 Research Question Five: What are the Challenges Encountered in the Management of Records and How do They Impact on Quality Service Provision?

This study revealed that MU experiences the following major challenges in records management:

- Lack of a records management policy to provide guidelines for the control and use of records and protection of vital records.
- Lack of adequate trained records management staff to perform records management activities.
- Low budget provision to records management.
- Ignorance of and lack of awareness by staff about the importance of records management in the institution as a boost to service delivery.
- Poor security and confidentiality controls in the management of records.
- Low grading and meagre pay of the RM staff leading to under-performance
- Lack of records retention and disposal policies.
- Manual system has led to slow or sluggish retrieval of records, loss of records, and mutilation of records.
- Lack of records uniformities due to a records management programme.

This study revealed that the identified challenges impact quality service provision in the following ways:

- Inadequately trained personnel has led to lack of professionalism in the management of records hence poor record-keeping, resulting in poor service delivery.
- Low grading and meagre pay which has affected the morale of the RM staff, leading to under-performance.
- Inadequate funding for records management has been a drawback in the execution of records management activities, resulting in overall organisational inefficiency. It was said that there was low allocation of funds to enhance the management of records, funds to facilitate in-job training and acquiring proper storage facilities.
- The manual system reduces efficiency in work, thus causing a long duration before a service is delivered.
- Lack of skills in the maintenance and storage of records leads to misfiling and even loss of records thus affecting decision-making and service delivery.
- Lack of policies to guide the management of records has led to overcrowding of records. This is because both the closed and outdated files are still in the prime office holding the current records.
- The centralised system for personnel records has led to compromised confidentiality of records and also the security of records thus affecting the enhancement of service delivery.

- The records management in the institution is largely manual and it makes it difficult for one to trace a document or a file, while it is easy for one to pluck a record from someone else's file.
- The centralised system for personnel records has led to compromised confidentiality of records and also the security of records thus affecting enhancement of service delivery.

5.2.6 Research Question Six: What are some of the Possible Suggestions for Improvement of Records Management at the University?

Based on to the findings, this study came up with the following recommendations:

- Development of a records management program and policy to guide and improve the quality of recorded information in the University in line with the University's set goals and objectives from creation, maintenance, and storage to the disposal of records.
- Introduction of an electronic records management system to enhance efficiency in terms of speed, accuracy, security of records and to also encourage a backup system.
- Employment of qualified, adequate staff to handle the management of records has also been recommended so as to enhance professionalism, thus curbing the issue of non-conformities.

- Sensitization of staff through workshops and seminars on records management and its importance in service delivery as this will enable each member of staff to have knowledge and appreciate the importance of creating and handling records.
- Placement of records management within the organisational structure as an indication that there is responsibility and commitment by the management and the organisation at large towards records management.
- Employment of a Records Manager to guide and oversee the records management practices in the University.

5.3 Conclusion

Moi University manages its records, generated from teaching research, and extension, in a decentralized and centralized system. These records are generated in both paper and electronic format and are stored using a largely manual system. Alpha-numerical and numerical systems are used in the filing of these records. This study observed that massive records are generated in the University in its day-to-day activities. This is echoed by Popoola (2000) who states that what actually keeps an institution going in any modern system is recorded information called 'records' which inform the process of planning, decision-making, and controlling an organisation.

Although Moi University is an ISO 9001:2008-certified institution, a standard which encourages proper documentation and proper record-keeping, from this study's findings it was evident that records management suffers from non-conformities. This is evidence from a report presented on implementation of ISO 9001:2008 Quality Management

System (ISO, 2008) during a Non-Teaching Heads of Departments meeting on Tuesday 26th June, 2012. Poor records control (not keeping records well, poor filing, no folioing, no labeling), lack of feedback analysis were the recurring non-conformities at the University. This has also been noted in the ISO 9001:2008 Surveillance Audit Report on Moi University-Main Campus conducted by KEBS between 9th -11th October 2013 where it reports that there is a lack of records protection, poor documentation, and commitment in enhancing quality seem to be deteriorating, and that customer complaints/feedback does not meet the requirements of ISO 9001:2008.

This study observed that most of the records are not well maintained, this is contributed by lack of a records management policy and standard to manage records. Taylor (1996) and Mnjama (as cited in Chinyemba & Ngulube, 2005) state that the evidence of the neglect of records management in universities is the lack of co-ordination and planned programmes within these institutions as well as an absence of policies, procedures and facilities for managing records

Lack of adequate trained personnel in the management of records, and poor record-keeping are also some of the challenges observed by ISO 9001:2008, 2nd Surveillance Audit Report on Moi University conducted by KEBS between 2nd -11th July 2014 which also stated that some of the departments' files were lacking identification numbers, records providing evidence for the review of the curriculum could not be traced and monitoring, compliment/complaint registers were not uniquely identified and some of the departments have not identified non-conforming services to identify the root cause, correction, corrective action, and determination of the effectiveness of the corrective action.

This study concludes that records management aspect is not well developed thus undermining quality service delivery. This is evidenced from the challenges detected in the study, for instance: slow or sluggish access and retrieval of information; the records management element has not been well supported by the top management; ignorance and lack of awareness of staff about the importance of records management in the institution as a boost to service delivery, and lack of skills in the maintenance and storage of records which leads to misfiling and loss of records, thus affecting decision-making. Further the manual system reduces efficiency in provision of services thus creating delays in service delivery.

5.4 Study Recommendations

The findings of this study revealed numerous challenges experienced by Moi University in implementing records management to enhance service delivery. The following recommendations are proposed to enhance implementation of records management in order to enhance service delivery.

5.4.1 Developing and Implementing of a Records Programme and Policies for Records Management

This study established that the University does not have any records management policies, it is therefore recommending the development and implementation of a records management programme and policies to establish formal records management programme(s) with clear policies, infrastructure, staffing, guidelines and clear qualifications for records personnel.

The central registry should write a memo indicating that they are in need of a records management policy and justify why the University needs a records policy. This memo

should be sent through Deputy Registrar Central Service who will forward to DVC, AP&D, the DVC will then present it to the management for consideration. If the management considers the request, a committee comprising of representatives from all departments will be formed to draft the policy. The policy will be forwarded to the VC for signature and approval. Once the policy has received final approval from the VC the RMD will distribute it to all University departments for implementation.

5.4.2 Carry out Records Management Sensitization and Training Programs

This study established that there is ignorance from members of staff with relation to records management activities. Most of the staff related records to secretaries and clerks who are assumed to be custodians. The central registry should liaise with the department of library and records management and information studies to hold frequent workshops and seminars in order to promote and highlight the benefits of records management to service delivery.

5.4.3 Adopting a Records Management Standard

This study established that the University did not have a records management standard. There is a need for the University to consider adopting a records keeping standard to achieve best practice and uniformity in records management practices. The university should consider adopting ISO 15489 as a code of best practice to provide a platform and identification of levels of information in record-keeping, for instance in creation, maintenance, use, filing security, tracking and disposal of records.

5.4.4 Placement of Records Management within the Organisation Structure

The University should consider having records management as a management function and its placement within the organisation and reflection of it on the organisational

structure as an indication of commitment and recognition. This will imply that the University will be able to establish a University Records Management Department (RMD). The RMD will have the mandate to oversee all records management practices in the University.

5.4.5 Recruitment of a Qualified Records Manager

This study revealed that there was no records manager in the University. The respondents from this study suggested the employment of a records manager to coordinate records management activities in the University. There is a need for the top management to consider revising the establishment and recruit a professionally qualified records manager to keep overall charge on records management and oversee the development and implementation of a records management programme that meets all the business activities of the University. The appointee must be placed at a senior level in the organisational hierarchy in order to influence policy on records management in the University. The records manager should have a masters or doctorate and, preferably, have extensive experience.

5.4.6 Soliciting for the Allocation of Adequate Funds

This study revealed that there was low allocation of funds to carry out records management activities. In this regard, the head of registries should prepare an adequate budget to help carry out records management activities, and this should also be a consideration by other heads of departments who should consider coming up with comprehensive budgets and be able to justify why records management needs adequate funding.

5.4.7 Integration of ICT in Records Management

This study established that ICT has not been fully integrated in records management, which has led to delays in records retrieval thus affecting service delivery. This study, therefore, recommends that the University should consider fully automating records management functions. Records management should be considered a priority when planning ICT systems. Perhaps if considered speed, flexibility, sharing of information will be achieved.

5.4.8 Employment of Adequate, Qualified Records Management Staff

This study found that the University had inadequate, and/or under-qualified records management personnel. Records generated in departments and registries are placed in the custody of secretaries and clerks who have little knowledge about the creation and maintenance of records. It was also revealed that the records staff is employed on very low grades. In this regard, the University should consider employing adequate, qualified personnel to manage records in the institution on better grades, both in the registries and in each office or department.

5.4.9 The Need for Top Management Support

This study found that the records management aspect suffers from low funding (as indicated in section 5.3.6). This issue can only be solved by top management who are concerned with matters of decision-making and policy formulation. In addition, support from top management is needed to ensure success in the development and implementation of the recommended records management activities.

5.5 Strategies for improvement for Records Management in Enhancing Quality for Services

The researcher proposed the following strategies for the improvement of records management in enhancing quality for services based on the research findings: placement of the records management function within the organisation structure; resource allocation; development and implementation of a records management framework; gap analysis; carry out records survey and/or records audits, and maintaining a records management programme.

5.5.1 Strategy 1: Placement of the Records Management Function within the Organisation Structure

i. Review of Moi University's Strategic Plan

This can be done during the review of the Moi University *Strategic Plan* 2015/16-2020/2021. This will entail restructuring of the University's structure to provide room for records management.

ii. Establish a Department

Establish a University Records Management Department (RMD). The RMD should be in charge of all of the University's records.

iii. Determine Human Resource

The University should determine the relevant personnel to take responsibility of the established department. They have to begin with recruiting a professionally qualified Records Manager to: keep overall charge on records management and oversee the implementation of a records management programme that meets all the business activities in the University; provide training in records management procedures, policies

and working with departmental records handlers in maintaining the records. The records staff in the available registry will be able to work with this department. The University should also consider employing a records officer for each functional department who will have the responsibility of ensuring that proper recordkeeping is observed.

iv. Develop Detailed Record Management Procedures

The department has to develop measurable objectives that will be able to meet records management targets. The department should also ensure that it develops departmental file plans, and creates and maintains indexes to enable ease of access. It should also develop and implement tracking systems, enhance security of records by providing security procedures for paper and electronic records and safeguard records from theft, deletion, mutilation, fire, water, direct light, dust, rodents. In addition there is need to ensure that privacy and confidentiality of personal information is observed.

5.5.2 Strategy 2: Resource Allocation

i. Funding for Records Management Practices

Financial support will be needed in: conducting workshops, developing and implementing training programmes; developing and implementing of an electronic system, and in developing and implementation of records management initiatives in order to promote a culture that appreciates records management.

ii. Budget Preparation

The Records Manager should prepare comprehensive budget to help carry out records management activities and this should also be a consideration by other head of departments who should consider coming up with justifiable budgets for records management. This is because records management needs adequate funds to help in carrying out records management activities including conducting of seminars and workshops and capacity building.

5.5.3 Strategy 3: Development and Implementation of a Records Management Framework

i. Establish Current State of Records Management

The department should establish the current situation of records management in the institution. This entails finding out whether there exists any records management programme, policies, and/or procedures. This will help in providing a foundation in the development of the records management framework and avoid duplication. The department should also analyse the business activities before developing the records management programme.

ii. Determine Legal Frameworks of The University

The records management department should: be aware of the existing legal framework, for instance the University Act, and other relevant statutes, rules and regulations that are issued by the University and the country; identify other existing policies that the records management policy will need to align with, and finally identify the implications that the development of the records management framework would have for other policies and programmes.

iii. *Formulation of Relevant Records Programme, Policies, And Procedures*

They should provide an authoritative statement on the management of the University's records. The policies should be able to: provide a framework within which the University records may be managed; ensure uniformity and standardisation in records management; help the University to meet its targets; enhance accountability of business decisions, and reduce time in service provision, hence provide quality service delivery. It will also guide in the controlled retention and disposal of records, and guide the University in recruiting staff with appropriate competences. The policies should be endorsed by the VC and be readily available to all offices of the University. Once the policy has received final approval from the VC, the RMD will distribute it to all University departments for implementation.

5.5.4 Strategy 4: Gap Analysis

In this strategy, the department should identify gaps in records management and service delivery. This can be done through evaluating the records management practices. This can be achieved through: identifying all records management practices; identifying the efficiency and the adherence of the records management programme; identifying the security procedures; look into the house-keeping and accessibility of records, time taken for a services to be provided, availability of required records for all the processes carried out; support from top management, and collecting of staff data to identify their qualification(s) and their population.

After gathering all this information, analysis should be carried out to identify the gaps and come up with resolutions so as to solve the short-comings and improve records management and service delivery.

5.5.5 Strategy 5: Development and Implementation of a Coordinated Training and Sensitization Workshops Programme

Staff development is an essential tool in building awareness and knowledge of records management to service delivery. This is because the quality of a sound records programme is determined by the quality of the staff that operates it. Carrying out of frequent awareness workshops and seminars is a way of introducing a culture that appreciates the importance of sound record management. Because of the busy schedule of the University, determining the time frame and frequency that the workshops should be held should be considered and strictly adhered to.

5.5.6 Strategy 6: Develop an e-records Management System

i. Identify Records Management Requirements

The records department should liaise with the ICT department so as to provide specification of what a records management systems entails. The specification should include, but not be limited to, capturing and classifying records, which should relate to: record creation; capture and classification; managing and controlling records where the system should ensure that metadata for records can be configured; finding and retrieving records where the system should enable access, retrieval and use, and retaining and disposing records, in this case the registry should provide a disposal authority which sets out the retention periods for various groups of records. This must include how long the records should be kept to fulfil legal obligations and the University's expectations.

ii. *Get Approval and Support From Top Management*

The top management is very essential in the support of the system and approval of cost to be incurred.

iii. *Installation and Piloting*

This should be done to test the system before implementation. If weaknesses are identified, they should be fixed before the implementation of the system.

5.5.7 Strategy 7: Carrying out Records Surveys and/or Audits

In this strategy, the records supervisors should initiate the carrying out of records' survey in order to identify all the records created in the University. The University will be able to gain control of existing records and bring them into a management environment. This will help to: find out the functions that create records; identify what these records are used for and by whom; identify where the records are kept and who maintains them, and to establish their retention and disposal period. The audits will enable the identification of key records management practices to be redefined and develop goals for enhancing quality service delivery.

A notice or memo should be sent to all the University's departments, indicating the date of the survey or audit, the reason, the nature, its impact, and impact on their work. This should be carefully planned to ensure minimum disruption to the work of a given department.

5.5.8 Strategy 8: Maintaining a Records Management Programme

i. *Marketing of Records Management In The University*

The records department should strive to market the records management aspect in enhancing quality services to the creators, custodians and users in the University. This should be done through holding public lectures and seeking permission whenever there are departmental meetings, training, and even during the induction of new staff to instil a culture that appreciates records.

ii. Internal and External Audits

The department should give advice to the management that, during internal and external ISO audits, records management should be included as one of the processes to be audited. The main reason for the records management audits is to identify weaknesses (if any) and provide assurance that systems and processes are effective and compliant.

iii. Review of the Records Management Programme

A programme review should be done to establish good practice in regard to records management and service delivery.

Policies and procedures should be reviewed periodically to ensure they are up to date.

Identification of emerging issues should be observed and considered and in case there are changes in the University's processes this should be captured to ensure that the relevance of the programme is maintained

5.6 Suggestions for Further Research

This study (on the role of records management in enhancing quality of services at Moi University) has led to the following areas of interest, suggested for further research:

- This study recommends similar research to be conducted in other campuses of Moi University and both public and private universities in the country for comparison purposes and help improve management of records.
- This study also recommends that a study be carried out on records management as a tool in fostering planning and development in Moi University. This will help capture issues in terms of infrastructure, adequacy of staff (both teaching and non-teaching) and the population of students which was not captured in this current study.

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APPENDICES

Appendix 1: Interview Schedule for University Management

SECTION A: BIODATA OF RESPONDENTS

Department_____

Designation_____

Date of interview_____

Level of educational attainment

Diploma [] Degree [] Post Graduate [] Other []

Specify.....

For how long have you worked with Moi University?

0 - 2 years [] 3 - 6 years [] Over 10 years []

SECTION B: QUESTIONS

1. What are the Moi university business functions and records generated?
2. What kind of records is required to facilitate the discharge of these business functions?
3. How are the records managed in support of the business functions?
4. What kind of services does the University offers and whether the services address the quality principle in line with ISO 9001:2008?
5. What is the QMS influence on the quality of services rendered by the university through records management?
6. Are there any renowned record keeping standards Moi University subscribes to? If yes, please identify any that you are aware of

7. How has the QMS that is compliant with the requirements of ISO 9001: 2008 standard influence the quality of services rendered by the University through records management?
8. Does the University operate on any explicit records management policies and procedures? If yes, please what is your take on the policies?
9. Do the records management practices used at the University have any impact on the quality of service delivery? Please explain
10. What training or actions do you have to satisfy the education, training skills and experience of the records staff?
11. Awareness of how the university monitors, measure and analyse quality management system process?
12. Influence of records management on the quality of services provided
13. What are the major challenges of records management in Moi University?
14. How do the identified challenges affect the quality of service delivery at the University?
15. What are some of the possible suggestions for improvement of records management at the university you can give to enhance quality services?

Appendix 2: Interview Schedule for Auditors

Section A: BIODATA OF RESPONDENTS

Department_____

Designation_____

Level of educational attainment

Diploma [] Degree [] Post Graduate [] Other []

Specify.....

For how long have you worked with Moi University?

0 - 2 years [] 3 - 6 years [] Over 10 years []

SECTION B: QUESTIONS

1. What are the Moi university business functions and records generated
2. What kind of records is required to facilitate the discharge of these business functions?
3. How are the records managed in support of the business functions
4. What is the QMS influence on the quality of services rendered by the university through records management?
5. Are there any renowned record keeping standards Moi University subscribes to? If yes, please identify any that you are aware of?
6. What records exist that provide evidence of conformity to requirements and of the effective operation of the QMS?
7. How has the QMS that is compliant with the requirements of ISO 9001: 2008 standard influence the quality of services rendered by the University through records management?

8. Does the University operate on any explicit records management policies and procedures? If yes, please what is your take on the policies?
9. Impact of records management on service delivery
10. How does Moi University monitor, measure, and analyze QMS process?
11. Influence of records management on the quality of services rendered?
12. Identify the major challenges of records management in Moi University. In your opinion, what are the internal and external factors that are responsible for challenges at Moi University?
13. How do the identified challenges affect the quality of service delivery at the University?
14. What are some of the possible suggestions for improvement of records management at the university you can give to enhance quality services?

Appendix 3: Interview Schedule for Records Supervisors

Section A: BIODATA OF RESPONDENTS

Department_____

Designation_____

Interview date_____

Level of educational attainment

Diploma [] Degree [] Post Graduate []

Other [] Specify.....

For how long have you worked with Moi University?

0 - 2 years [] 3 - 6 years [] Over 10 years []

1. What administrative functions they are involved in and the records generated from the activities
2. What kind of records or documents is required to facilitate the discharge of the business functions?
3. How are these records managed in support of the business functions?
4. How has the QMS that is compliant with the requirements of ISO 9001: 2008 standard influence the quality of services rendered by the university through records management?
5. Are there any renowned record keeping standards Moi University subscribes to? If yes, please identify any that you are aware of?
6. What is the influence of ISO 9001:2008 on records management?
7. Does the University operate on any explicit records management policies and procedures? If yes, please what is your take on the policies?

8. Do we have a strategic approach in place for managing the records you create throughout their continuum for enhanced quality services?
9. What is the records management impact on service delivery?
10. How does Moi University monitor, measure, and analyze QMS process?
11. Influence of records management on the quality of services rendered?
12. To what extent do the current records management practices enhance or undermine policy formulation, planning business activities, implementation of university
13. Identify the major challenges of records management in Moi University. In your opinion, what are the internal and external factors that are responsible for challenges at Moi University?
14. How do the identified challenges affect the quality of service delivery at the University?
15. What are some of the possible suggestions for improvement of records management at the university you can give to enhance quality services?

Appendix 4: Introduction Letter

Dear respondent,

I am a Masters Student in the School of Information Sciences, Moi University, carrying out a research on the *role of records management in enhancing quality services in Moi University*. Kindly assist by responding to the questions available with utmost honesty. The response will be used purely for academic matters and will be treated with absolute confidentiality.

Thank you in advance

Carolyne Nyaboke Musembe

Appendix 5: Questionnaire for the Records Staff

Section A: BIODATA OF RESPONDENTS

Department_____

Designation_____

Date of interview_____

Level of educational attainment

Diploma [] Degree [] Post Graduate []

Other [] Specify.....

For how long have you worked with Moi University?

0 - 2 years [] 3 - 6 years [] Over 10 years []

PART B: MANAGEMENT OF RECORDS IN SUPPORT OF THE BUSINESS FUNCTION

1. What is the business function of Moi University and records generated?

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2. What kind of records is required to facilitate the discharging of these business functions?

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3. How are records managed in support of the business function in Moi University

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4. How has the QMS that is compliant with the requirements of ISO 9001: 2008 standard influence the quality of services rendered by the university through records management?

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5. Are the records management practices at the University meet the ISO 2008 certification requirement?

Yes [] No []

Please explain

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.....

6. What is your take on the following assertions about the records management practices at the University?

Key: 1 - strongly disagree, 2 - disagree, 3 - undecided, 4 - agree and 5 - strongly agree

A s s e r t i o n s	5	4	3	2	1
The University's records management practices make it stand out among other institutions					
The records management practices at the University are inspired encourage honesty and accountability					
The University's achievements in its operations can be attributed to its records management practices					
The records management practices at the university are outdated and need to be altered					

PART B: STANDARDS FOR RECORDS MANAGEMENT IN MOI UNIVERSITY

7. What record management standards guide how records are managed in Moi University?

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8. What is the importance of standards and guidelines for the management of records in Moi University?

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PART C: POLICIES AND PROCEDURES FOR RECORDS MANAGEMENT

9. Name any policies adopted by Moi University that have a direct influence on records management.

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10. What procedures currently exist to guide the management of records in Moi University

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11. Are the procedures well documented and adopted in the institution

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12. If yes please give some brief explanation to the answer

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13. Kindly, how does the university monitor, measure and analyze quality management system processes

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14. What is the influence of records management on quality of services provided?

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15. To what extent do the current records management practices enhance or undermine policy formulation, planning business activities, implementation of university services and decision making?

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PART D: CHALLENGES FACING RECORDS MANAGEMENT IN MOI UNIVERSITY

16. What are the challenges facing records management in Moi university?

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17. In your opinion, what are the internal factors that are responsible for challenges at Moi University?

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What are the external factors?

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18. To what extent do these challenges hinder the capacity of the institution to provide quality services to its stakeholders?

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19. In your opinion, what are your suggestions for improvement of records management so as to enhance quality of services in this University?

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Thank you for your support

Appendix 6: Questionnaire for the Action officers

Instruction: Please tick appropriately

Section A: BIODATA OF RESPONDENTS

1. Department_____

2. Designation_____

3. Level of educational attainment

Diploma [] Degree [] Post Graduate []

Other [] Specify.....

4. For how long have you worked with Moi University?

0 - 2 years [] 3 - 6 years [] Over 10 years []

PART B: MANAGEMENT OF RECOCORDS IN SUPPORT OF THE BUSINESS FUNCTION

1. What are Moi University core business function and what records are generated?

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2. What kind of records do you require to carry out these business activities?

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3. How are the records managed in support of the business functions?

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4. How records support or undermine the business function and quality of services provided

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5. How has the QMS that is compliant with the requirements of ISO 9001: 2008 standard influence the quality of services rendered by the university through records management?

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6. What is your take on the following assertions about the records management practices at the University?

7.

Key: 1 - strongly disagree, **2** - disagree, **3** - undecided, **4** - agree and **5** - strongly agree

A s s e r t i o n s	5	4	3	2	1
The University's records management practices make it stand out among other institutions					
The records management practices at the University are inspired encourage honesty and accountability					
The University's achievements in its operations can be attributed to its records management practices					
The records management practices at the university are outdated and need to be altered					

PART C: STANDARDS FOR RECORDS MANAGEMENT ADOPTED IN MOI UNIVERSITY

8. What record management standards guide how records are managed in Moi University?

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9. In your opinion, what is the importance of adopting standards and guidelines for the management of records in Moi University?

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10. How has the ISO certification on the organisational culture in general and service provision?

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PART D: POLICIES AND PROCEDURES FOR RECORDS MANAGEMENT IN
MOI UNIVERSITY

11. What policy (if any) is in place for the management of records at Moi University?

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12. If there is no policy what strategies are being used in records management?

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13. In your opinion, how does the university monitor, measure and analyse quality management system processes?

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14. In your opinion, what the influence of records management on the quality of services provided?

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PART F: CHALLENGES FACING RECORDS MANAGEMENT IN MOI UNIVERSITY

15. Identify the major challenges of records management in Moi University

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16. In your opinion, how do the identified challenges hinder the capacity of the institution to provide quality of services to its stakeholders?

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17. What are some of the possible suggestions for improvement of records management at the university you can give to enhance quality services?

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Thank you for your support

Appendix 7: Questionnaire for the Secretaries

Instruction: Please tick appropriately

Section A: BIODATA OF RESPONDENTS

1. Department_____

2. Designation_____

3. Professional qualification

Diploma [] Degree [] Post Graduate []

4. Level of educational attainment.

Other [] Specify_____

5. For how long have you worked with Moi University?

0 - 2 years [] 3 - 6 years [] Over 10 years []

PART B: MANAGEMENT OF RECORDS IN SUPPORT OF THE BUSINESS FUNCTION

1. What are the business functions of your department and what records are generated?

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2. What kind of records do these activities generate?

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3. How are these records managed in support of the business activities

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4. In your opinion, do the records management practices at the university meet the ISO 9001: 2008

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5. Do you have any formal record as management training and skills to enable you to effectively and efficiently manage the records in your custody?

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PART C: STANDARDS FOR RECORDS MANAGEMENT ADOPTED IN MOI UNIVERSITY

6. What records management standards (if any) are adopted in the management of records in Moi University?

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**PART D: POLICIES AND PROCEDURES FOR RECORDS MANAGEMENT IN
MOI UNIVERSITY**

7. Does your department have policies and procedures that guide in the management of records?

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8. Are you aware of any procedures in the management of records?

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9. How does the university monitor, measure and analyze quality management system process?

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10. In your opinion, what is the influence of records management on the quality of services provided?

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PART F: CHALLENGES FACING RECORDS MANAGEMENT IN MOI UNIVERSITY

11. What challenges do you encounter in the management of these records?

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12. To what extent do these challenges hinder the capacity of the institution to provide quality services to its stakeholders?

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13. What are your suggestions for improvement of records management so as to enhance quality of services in this University?

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Thank you for your support