MONITORING AND EVALUATION OF RECORDS MANAGEMENT PROGRAMS IN SELECTED GOVERNMENT MINISTRIES IN KENYA

BY

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DECLARATION

Declaration by the Candidate

This thesis is my original work and has not been presented for a degree or any award in any other university before.

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DEDICATION

This thesis is dedicated to my family; they have consistently supported, encouraged and inspired me in various ways throughout my academic life. May God bless them all.

ABSTRACT

Organizations ought to regularly measure performance of records management programs within their administration to determine how they affect their service delivery and establish how the programs can be improved. Problems associated with service delivery, accountability and transparency in government ministries have for a long time been attributed to poor records management. The study aim was to assess the state of records management programs in the selected government ministries with a view to developing a monitoring and evaluation framework geared towards improving the quality of records management in order to enhance service delivery. This was achieved through six study objectives, namely, to: investigate the state of records management programs in the selected government ministries; assess the integration of records management as part of business processes of the selected ministries; investigate whether audits carried out in other areas of organizational activities also extends to records management programs; establish the mechanisms and tools used in conducting records management audits and or evaluations; establish the standards and best practices used to benchmark records management in the selected ministries and last but not least, develop an audit, monitoring and evaluation framework to enhance records management and service delivery in the selected government ministries. ISO 15489, Records Management Capacity Assessment System and program theory were the theorical framework that informed the study. A mixed research design was used where questionnaires were the main data collection tools while interviews were used as supplementary tools. The sample size consisted of 93 respondents who were selected through purposive sampling from a target population of 636. The study established that records management programs in the selected ministries did not satisfy user needs as 67.3% of the respondents said they occasionally accessed requested records. It further established that there were gaps in the tools that were used in monitoring and evaluation of records management programs. It was concluded that there was poor state of records management in the ministries as their records management programs did not satisfy user needs. The study recommends development of human resource capacity; regular records management audits; adoption and implementation of standards of best practices among others to address the identified problems. It also provided a monitoring and evaluation framework that, if adopted by the ministries, will help improve their records management programs and enhance service delivery.

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ABBREVIATIONS

KPI: Key Performance Indicators

MDAs: Ministries, Departments and Agencies

KNADS: Kenya National Archives and Documentation Service

PSRP: Public Sector Reforms Programs

M&E: Monitoring and Evaluation

NSSF: National Social Security Fund

RMCAS: Records Management Capacity Assessment System

RK: Recordkeeping

CR: Central Registry

HOD: Head of Department

ISO: International Standards Organization

DIRKS: Design and Implementation of Record Keeping Systems

UNICEF: United Nations Cultural and Educational Federation

FOI: Freedom of Information

NSSF: National Social Security Fund

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CHAPTER ONE

INTRODUCTION AND BACKGROUND

1.1 Introduction

The chapter covers background information of the study, provides background information on performance measurement of records management, the Kenya civil service, the selected government ministries and the mandate of the Kenya National Archives and Documentation Services towards records management. Also, the mandate of the Kenya Bureau of Standards towards standardization of records management is also covered. In addition, the chapter presents the statement of the problem, aim, objectives and research questions of the study. Covered too are the significance, scope and limitations of the study. Lastly, definition of terms and concepts as applied in the study and a concise summary are covered.

1.2 Background Information

Monitoring and evaluation (M&E) is an important tool that is used globally as part of efforts in attaining social and economic sustainability (Wagner *et.al*, 2005). With respect to this, Weiss (1997) asserts that M&E is used in defining, reporting and monitoring social and economic sustainability. At the international and national level, M&E is used as a tool for tracking progress of programs to determine if the set goals are being achieved thus influencing practices and policies. World Bank (2004) on its part opines that M&E is a tool that is applied for continual improvement where performance measurement is undertaken to determine effectiveness of programs. Thus, it can be

ascertained that M&E is an important component of any program that determine its performance in order to help make informed decisions.

Program monitoring therefore entails collection of routine information that assesses progress towards attainment of set objectives. The key reason of undertaking monitoring exercise of a program is to be able to track changes in its performance over time. Evaluation on the other hand is a time bound process that seeks to objectively and systematically determine the performance, relevance and success of either a continuing or completed program. According to Wagner *et al* (2005), evaluation that is conducted at the mid-point of the program implementation is designed to serve the purpose of validating it in the initial assessment of effectiveness and efficiency of the project.

UNICEF (2015) on its part affirms that both monitoring and evaluation are important aspects of learning and accountability process of any organization in implementation of its programs. In respect to this, performance monitoring contributes towards continuous improvements as it feeds the short term adjustments of programs. This helps to keep the programs in line with their earlier planned modalities.

With respect to government operations, World Bank (2004) notes that governments all over the world undertake M&E exercises of their functions and programs. According to the World Bank, functions such as financial management, human resources, education and health are some of the areas that monitoring and evaluation is regularly undertaken. With respect to the Kenyan Government, M&E is under the National Development Monitoring Directorate at the Ministry of Devolution and Planning. However, according to World Bank (2004), the Directorate operates under starved resources thus it is not able

to discharge its mandate fully. Given this harsh reality, most government services, functions and programs are implemented with no or little monitoring or evaluation exercises. Thus, records management programs in the government according to Wamukoya (2000) is a common victim of lack of monitoring and evaluation which has in turn resulted to poor service delivery.

1.2.1 Performance Measurement of Records Management Programs

Governments ought to regularly measure performance of records management programs within their administration to determine how they affect service delivery and establish how the programs can be improved. According to Fanning (2002), performance audit of records management programs in the government ministries help to ensure compliance of governing legal requirements and associated standards and codes of best practice. World Bank (2004) on its part affirmed that government ministries are required to measure performance of their records management systems in order to determine if these systems are effective and whether the set objectives or targets are being met.

Despite the relevance of performance audit in records management programs as noted by Fanning (2002) and World Bank (2004), there has been little or no efforts made by the civil services of most developing countries in putting in place frameworks that can be used in auditing these programs. Moreover, it was also provided by IRMT (1999) that records management in most third world countries operates in an environment with no clear structure and framework to monitor and evaluate their performance. As a result, effectiveness and efficiency in this environment becomes a mirage hence affecting service delivery of their government ministries. The World Bank emphasizes that records

play a key role in promoting accountability in the public sector organizations. As a result, regular monitoring in records management must be undertaken to ensure that accountability is promoted in these organizations. Moreover, Wamukoya and Mutula (2005) note that citizens of any country will always expect the government to be accountable, transparent and responsiveness to their needs. For this to be possible, sound records management programs must be prioritized.

In appreciation of accountability, transparency and good governance, The International Monetary Fund and World Bank initiated reforms that were geared towards improving effectiveness and efficiency in countries' governance (Shepherd & Yeo, 2003). This was done through reforms that were popularly known as Public Sector Reforms Programs (PSRP). The core function of these programs was to improve the quality and delivery of services which essentially focused on the outcomes and outputs rather than inputs (World Bank, 2000). In line with this, developed countries such as United States, Canada, Australia, United Kingdom had long implemented measures that went a long away in improving service delivery through ensuring effective records management programs. This was witnessed through their adoption of various legal frameworks such as Freedom Of Information (FOI) which further helped to recognize the importance of effective records management. Due to increased focus on records management, various legal frameworks and industry best practices have been developed to ensure that records management programs are managed under clear regulatory framework.

In the Kenyan context, various legal frameworks have been adopted to help in streamlining records management in government ministries. The Public Archives and

Documentation Service Act, Cap 19 of the Laws of Kenya which established the Kenya National and Documentation Service (KNADS) governs records management in the country (KNADS, 2013). In addition, the Act is supported by other legal provisions such as the Records Disposal Act, Cap 14 which governs management and disposal of court records but under the direction of the Director of the KNADS. Furthermore, the Public Procurement and Disposal Act was formulated to regulate management of public sector records that relates to the procurement and disposal of public assets.

In addition to the legal regulatory framework that exists in Kenya, the country has also adopted various industry best practices which include International Standards that aim to streamline records management in the country. The standards include ISO 15489-1:2001 which is about information and documentation (KEBS, 2013). Moreover, the country also adopted ISO/CD 13391 that covers management system for records. Also ISO 9001:2008 that covers control of records is also a standard of best practice that has been adopted by the government of Kenya to improve service delivery in the public service.

However, despite various legal regulatory frameworks being in place, effective and efficient records management in government ministries has largely remained to be a mirage. This can be attested to by the public complains on delayed services delivery by the public sector organizations which is usually attributed to unavailability of the required records for provision of these services. For instance, a study conducted by Ministry of State for Public Service (2011) found out that citizens have been forced to wait for long for their national identification documents, there has been issuance of multiple title deeds for a piece of land, missing of court files among other problems which have all been

attributed to poor records management. Poor service delivery according to Allen (2007) can be partly ascribed to the absence of a monitoring and evaluation mechanism for records management. According to IRMT (1999), monitoring and evaluation framework if put in place can help to have informed reviews and improvements of records management programs. Therefore, the study developed a monitoring and evaluation framework that will serve as a performance audit tool in records management which will help in reviews and improvements of records management programs for government ministries hence contributing towards improving service delivery.

1.2.2 Background Information on the Kenya Civil Service

Civil service according to the Ministry of State for Public Service (2011) is the branch of public service that is not legislative, judicial, or military in nature. On the other hand, Directorate of Personnel Management (2004) provides that civil service any service which is provided by a government to people living within its jurisdiction through government Ministries, Departments or Agencies (MDAs). The Ministry of State for Public Service affirms that the Civil Service executes government decisions and therefore plays a vital part in the public service. Each ministry is headed by a cabinet secretary and the principal secretary as an accounting officer. In addition, each ministry has civil servants who are supposed to execute government policies and plans.

Notably, the Kenya civil service traces its origin from the colonial government of the British administration. At independence time, the country did not undertake changes in its civil service. Though, as an alternative, measures were taken to replace the expatriates as part of nationalization process (DPM, 2003). However, in the last 20 years, Kenya's civil

service has undergone a number of changes. Some of these changes include employee rationalization that was aimed at reducing the wage bill, performance improvement, structural adjustment programme after aid cuts and the institutionalization of results-based management (UNDP, 2012). Furthermore, from 1993 to 2002, the Government retrenched more than 100,000 civil servants, but had only a negligible impact on the effectiveness or efficiency of the civil service. Additionally, the Government introduced results-oriented management, but by 2005 nothing much had come out of it (DPM, 2012).

Later, between 2006 and 2008, the Government decided to shift the civil service towards a results-oriented approach by introducing and facilitating development and management of a holistic Results-Based Management system through the '*Results for Kenya'* programme (DPM, 2012). The aim was to enhance performance efficiency in all government ministries, departments and agencies. The initiative was also meant to reverse the negative image of the civil service. Furthermore, in October 2013, the Government of Kenya established citizen service centers as primary service delivery channels in all the 47 counties. These are intended reducing the wage bill, performance improvement, structural adjustment programme (UNDP, 2012). However, it was noted by Ministry of State for Public Service (2013) that all these reform initiatives in the Kenya Civil Service can only be fully achieved if there is effective records management in government ministries, departments and agencies. For that case, it is imperative to have a mechanism in monitoring and evaluating records management programs to ensure that government reform initiatives in the government ministries are achieved.

1.2.3 Records Management in Kenya Government Ministries

Records management directly impacts on efficiency and effectiveness in service delivery. It was provided by the Ministry of State for Public Service (2011) that proper records management hastens the pace for decision making thus contributing to improved service delivery which is the ultimate goal for any government ministry. The Ministry of State for Public Service acknowledged that poor records management delays decision making thus resulting to poor service delivery and frustrations which in turn open opportunities for malpractices such as corruption.

With respect to the Kenya Civil Service, the practice of records management has existed since 1895 when the first circular was issued by the British Agency at Zanzibar providing guidelines governing the numbering, docketing and binding of official correspondences (DPM, 2012). However, formal and official recognition of records management came into being in 1965 with enactment of the Public Archives Act of the Laws of Kenya. The Act has since been revised to be known as the Public Archives and Documentation Service Act (Cap.19) of the Laws of Kenya. This Act empowers the Director of the Kenya National Archives and Documentation Service (KNADS) to examine any public records and public archives and advice on their care, preservation, custody and control (Ministry of State for Public Service, 2011).

However, despite the KNADS having been put in place in the infancy stages of the country's post-colonial era to guide records management in the Kenya public service in general, there have been various challenges. One of the major challenges facing government ministries which are part of the Kenya civil service according to the former

secretary to the cabinet ambassador *Francis Muthaura* has been the manual filing system (DPM, 2012). This has resulted to poor recordkeeping that has in turn constrained service delivery in the entire civil service. The "Report on streamlining the operations of registries in government ministries/departments and local authorities for improved service delivery" outlined a number of challenges which include: inadequate professional qualifications on record management and computer skills, poor mail management, poor filling practices which results to misfiling and file duplication, poor state of physical facilities for active, semi-active and non-active records and congestion of valueless records due to un-observed retention and disposal schedules among others (DPM, 2012). These challenges haves affected records management in the government ministries very negatively which has in turn had a negative effect on service delivery.

Moreover, it was noted by Ministry of State for Public Service (2011) that it is a common occurrence in most public institutions that registries are still using the old manual filing system. The majority of the government ministries and departments have not introduced modern information based systems (DPM, 2002). As such, insufficient equipment and poor technology makes processes in these ministries tedious and frustrating. However, the Government of Kenya has tried to put in place some initiatives that are designed to solve some of the challenges of records management in the government ministries. For instance, it was provided by Ministry of State for Public Service (2010) that the Government is determined to digitize all records across the civil service to increase efficiency in government operations. This initiative largely received push from the former Permanent Secretary of the Ministry of Information and Communications who

was leading a drive to have all government registries managed using ICT (DPM, 2012). As a result, several digitization projects have been undertaken in the Ministries, Departments and Agencies (MDAs).

Besides, records management profession in the Ministries has for a long period of time remained without a career progression and a clear defined scheme of service. This according to Ministry of State for Public Service (2011) results to recruitment of non-qualified personnel in government registries and redeployment of non-performing and indiscipline staff to registries as registries are taken to be the 'dumping place'. Therefore, poor performance of records management in the Ministries became the order of the day thus impacting negatively to public service delivery. With respect to this, the Personnel Office in the Ministry of Public Service (currently under the Ministry of Interior and Coordination of National Government) was forced to take a lead in reforming records management in government despite having no legal mandate to do so. The Ministry recognized the need for a revised scheme of service for civil servants working in records management units and asked the Deputy Director of Human Resource Management to develop one with higher-level positions in the Service (DPM, 2012). This resulted in a new scheme of service for records managers in the civil service which is yet to be implemented.

Additionally, the Ministry also took an initiative to develop an electronic records management system commonly referred to as the Integrated Records Management System (IRMS), with assistance from local consultants with the view of transforming the

manual registries (DPM, 2012). The main aim of the IRMS is to support the 'paperless office' goal of the Government's Vision 2030 strategy through computerizing registries.

1.2.4 The Selected Government Ministries

Given the enormity of the 18 government ministries, the study sought to develop a monitoring and evaluation framework for records management programs for the Ministry of East African Affairs, Commerce and Tourism and the Ministry of Labour, Social Security and Services. Ministry of East African Affairs, Commerce and Tourism was considered due to its key contribution in the national economy. According to World Travel Tourism Council (2012), the Ministry over a long period of time has remained to be the country's principal source of foreign exchange. This was supported by Valle and Yobesia (2012) who noted that the Kenya service sector accounts for 63 percent of the Gross Domestic Product (GDP) which is dominated by tourism. Based on these facts, it is evident that the Ministry plays a critical role in the national development, thus a need to have a tool that can help in monitoring and evaluating its records management programs to ensure that they are always put on the right course to support service delivery.

On the other hand, there has been raging public outcry on various social services under the Ministry of Labour, Social Security and Services. For instance, the National Social Security Fund (NSSF) which is under the Ministry has for a long period of time been characterized by poor performance. International Social Security Association (2005) concurs with this as it asserts that NSSF has always been in the public domain for the wrong reasons since 1965 as it has been characterized by poor benefit processing, cost management and resources utilization. International Social Security Association adds that

retirees have failed to get their benefits thus losing confidence in the public domain. This has been ascribed to poor records management programs that have contributed to poor service delivery. Thus, the study used the Ministry of East African Affairs, Commerce and Tourism and the Ministry of Labour, Social Security and Services in the development of a monitoring and evaluation framework for records management programs which can in turn be applied across government ministries.

1.2.5 Mandate of Kenya National Archives towards Records Management

The Kenya National Archives was established by the Public Archives and Documentation Service Act of 1965 which provided for the preservation of both public records and archives under the management of the Chief Archivist (KNADS, 2013). Later in 1990, the Act was revised to the Public Archives and Documentation Service Act, Cap 19 of the Laws of Kenya with minor amendments (KNADS, 2012). These amendments included the renaming of the Public Archives Service to Kenya National Archives and Documentation Service. In addition, the Chief Archivist position was replaced by the Director's position. The revised Act included Section 5A that specifically empowers the Department to advise and oversee the management of documents of government departments and ministries.

The department is currently comprised of seven divisions that include records management service, archives management service, national documentation service, microfilming section, conservation section, audio-visual section and administration (KNADS, 2013). In relation to records management, the Records Management Service of the KNADS is decentralized as it has five centers serving the eight former provincial

administration units in Kenya. These centers include the Kakamega Records center which serves the former Western Province of Kenya, Kisumu Records center serving the former Nyanza province, Nakuru Records Center serving the greater Rift valley, Mombasa Records center serving the former coastal province and Nairobi records center serving Nairobi, Eastern and North Eastern regions (KNADS, 2013).

The core function of the provincial records centers which is headed by provincial archivist is to guide public organizations on sound recordkeeping practices such as classification systems, file retention and on disposal schedules (KNADS, 2013). For that case, records management in public organizations across the country is dependent on the KNADS especially on its provincial records centers services. Since records management is a continuous program in any organization, it is imperative that there should be a mechanism that helps in monitoring and evaluating records management in the civil service. This will go a long way in ensuring that records management programs are measured and that corrective measures are undertaken in order to make sure that the set goals in the Service are attained.

1.2.6 The Role of the Kenyan Bureau of Standards towards Standardization of Records Management

The Kenya Bureau of Standards (KEBS) is an establishment of an Act of Parliament of 1974. The institution has the mandate to promote standardisation through developing standard quality testing (KEBS, 2013). With regard to this, the Department has created and adopted various standards to date that cover diverse fields such as chemical production, engineering, environmental issues and even in the service industry. It

accomplishes this through its liaison with the International Standards Organisation. In the area of information management, the Department has a technical committee on electronic government that draws its members from a variety of stakeholders such as the national ICT Board and KNADS (KEBS, 2013). Also, the department has a technical committee on information sciences which is responsible for developing relevant standards in this area. The Technical Committee on information and records also draws its membership from various stakeholders who include KNADS, the Kenyan Industrial Research Institute, the Kenyan National Library Service, the Communications Commission of Kenya, the National Museums of Kenya, Moi University, the University of Nairobi and Kenyatta University (KEBS, 2013).

Importantly, International Standards Organization formulates standards in various fields through its technical committees. In the broader area of information sciences, standards are formulated by the ISO/TC 46. With respect to records management, the sub-committee ISO/TC 46/SC 11 is responsible for formulation of standards (KEBS, 2013). Some of the standards that have been adopted include ISO 15489 which has two parts; one part presents a framework for records management and particularly addresses importance of recordkeeping, regulatory issues touching on its implementation and the relevance of providing responsibilities in records management (National Archives of Australia, 2000). Part two of the standard provides guidelines on how to execute the requirements outlined in its part one.

Also, KEBS adopted ISO 23081 which provides a framework for record metadata and describes the principles that should administer them. Additionally, ISO 16175-2:2011

was adopted by KEBS which sets out requirements for management of electronic records in information systems. These among other standards have been adopted by KEBS through its sub-committee ISO/TC 46/SC 11 to help guide records management in the country. However, recordkeeping in the public sector organizations is undertaken without consideration of these standards since KEBS has not put in place a monitoring mechanism to ensure that the standards are followed. As such, it was imperative to develop an audit tool that helps to determine the performance of records management in the Service given the available infrastructure.

1.3 Statement of the Problem

Records management in most developing countries is marred with inconsistencies that affect their overall contribution to the provision of public services (Mnjama & Wamukoya, 2004). With respect to Kenya, the situation is not different. There have been a number of circulars from the office of the president by the head of civil service putting ministries and other public service organizations on notice regarding the poor state of records management programs in the Service. These circulars include Ref.OP.1/48A/66 on destruction of non current government records; OP.39/2A' on cases of missing files and documents in the civil service and circular Ref. No. '40/1A' on "Improvement of Records Management for Good Governance. All these circulars point to the poor state of records management programs in the civil service which are characterized by loss of files, the non-disposal of inactive records, inadequate records management facilities and inadequate records managers with the required knowledge and skills in the area of records management.

In an effort to curb these challenges, records management programs became an integral component in the Public Service Reform Programme (PSRP) in 2003 whose main aim was to improve performance and service delivery. Despite the measures taken by the government to improve records management programs in the Service, service delivery has not improved significantly and is blamed on poor records management. This is affirmed by various surveys that were conducted by the KNADS to MDAs. For instance, in a survey done by KNADS in response to a request by the Director of Administration at the Ministry of East African Affairs, Commerce and Tourism in May 2013 about its records management program, it was established that the Ministry did not have a records management policy, sound systems, procedures and practices for the management of their records (KNADS, 2013). These problems were attributed to be the major cause of poor service delivery that faces the ministry.

Auditor General (2012) on the other hand attributes frequent loss of records and inadequacies in financial audits on lack of clear mechanisms for records management programs in government departments. This, according to the Auditor General's office, has contributed to accountability problems since public spending cannot be properly ascertained in most MDAs.

The situation is made worse by the failure of KNADS to effectively assert its mandate which includes monitoring and evaluation of records management programs throughout the public service. It is in view of the above that this study was undertaken to determine performance of records management programs and to develop a monitoring and

evaluation framework to enhance records management and service delivery in the two selected ministries.

1.4 Aim of the Study

The study aim was to assess the state of records management programs in the selected government ministries with a view to developing a monitoring and evaluation framework geared towards improving the quality of records management programs in order to enhance service delivery.

1.5 Study Objectives

The study achieved its aim through six specific objectives which were to:

1. Investigate the state of records management programs in the selected government ministries

2. Assess the integration of records management as part of business processes of the selected ministries

3. Investigate whether audits carried out in other areas of organizational activities also extend to records management programs

4. Establish the mechanisms and tools used in conducting records management audits and or evaluations

5. Establish the standards and best practices used to benchmark records management in the selected ministries

6. evelop an audit, monitoring and evaluation framework for records management programs to be applied in the selected government ministries for enhancement of service delivery.

1.6 Research Questions

1. What is the state of records management programs in selected government ministries?

2. How has records management been integrated as part of business processes of the selected ministries?

3. Do audits carried out in other areas of organizational activities also extend to records management programs?

4. What are the mechanisms and tools used in conducting records management audits and or evaluations?

5. What are the standards and best practices used to benchmark records management in the selected ministries?

6. What can be the audit, monitoring and evaluation framework for records management programs to be applied in the selected government ministries for enhancement of service delivery?

1.7 Significance of the Study

The study is important as it developed an audit tool that if adopted, will aid in monitoring and evaluation of records management programs in the selected government ministries

thereby improving the quality of these programs. This will in turn help in improving service delivery in these ministries. Through its recommendations and the framework suggested, the study provided best standards of practice which can be used as baseline for policy formulation. In addition, the study added body of knowledge to the records management discipline as it covered monitoring and evaluation of records management function, an area which had not been widely researched.

1.8. Scope of the Study

The study was done in the Ministry of East African Affairs, Commerce and Tourism and the Ministry of Labour, Social Security and Services. Given the enormity of these two ministries, especially after their reconstitution in April 2013, the study only used the two ministries headquarters in Nairobi. It drew its study population from the departments and the unit/division of the two ministries. Ministry of East African Affairs, Commerce and Tourism headquarter has two departments; Tourism department and The Management and Support Services department. The tourism department has two units; Delivery unit and Department of Tourism field offices. The Management and Support Services department has 11 units which include; Administration division, HRM and Development division, Central Planning unit, Accounting Unit, Finance Unit, Procurement Unit, AIDS Control Unit, Public Relations Office, Transport Section, ICT Unit and the Central Registry. Under the Ministry of East African Affairs, Commerce and Tourism the study was confined to these departments and units.

On the other hand, the Ministry of Labour, Social Security and Services has 10 departments. These include Administration Division which in turn has 10 units. The units

include Administration, HRM, Planning, Accounting, Finance, Procurement, PR office, Transport, ICT and the Central Registry (Ministry of Labour, Social Security and Services, 2014). Other departments are the Department of Labour, Children Services, Social Services, Directorate of Occupational Safety and Health Services, Office of Registrar of Trade Unions, National Employment Bureau, Directorate of National Human Resource Planning and Development and Department of Productivity Center of Kenya. Under this Ministry, the study was confined in these departments and units.

1.9. Limitations of the Study

The selected ministries are comprised of various functional Departments with various Units. Given the fact that both ministries have their central registries as one of their units, some departments and units run their own registries which are not categorized as units or sections. Therefore, this was likely to be a limitation to the study since micro registries serving specific units were not be factored in as distinct units. The study tried to address this limitation by undertaking proper sampling procedures of the units and departments to ensure that the sample obtained was representative of the entire population.

1.10 Definition of Terms and Concepts

The following are the meanings of the key words as they were used in the study.

Monitoring: according to Wagner, et.al (2005), monitoring is a regular checking of the day to day performance of a program activities that helps to determine if the program is being carried out on schedule, if resources employed are being used efficiently and whether short term targets are being achieved in conformity with the set objectives.

In addition, according to National Archives and Records Service of South Africa (2006), monitoring is believed to be a continuous tracking of functions, review of the provision of activities and services of the program.

Evaluation: evaluation is the practice of gathering and analyzing information which aid the management in determining if the program is achieving the set objectives.

On the other hand, Wagner, et.al (2005) viewed evaluation to be a process that looks at performance against the set goals.

Indicators: An indicator is a quantitative metric that provides information to monitor performance, measure achievement and determine accountability

Monitoring and Evaluation: both monitoring and evaluation use gathered information to assess the performance of a particular program at a given time, which in turn forms a basis for reviewing the performance of the program.

1.11. Chapter Summary

The chapter provides an introduction to the study by giving its background information, a statement of the problem, aim of the study and research questions. In addition, the relevance of the study was provided in the significance of the study. Also, scope and limitation of the study were covered. Lastly, key operational terms that were used in the study were explained based on the context of the study.

CHAPTER TWO

LITERATURE REVIEW

2.1 Introduction

This chapter covers theoretical review where various models that relate to records management and monitoring and evaluation are covered. The models reviewed include the Records Management Capacity Assessment System (RMCAS) which was developed by IRMT with the support of the World Bank as a capacity assessment system for records management functions in organizations. ISO 15489 standard on records management and DIRKS methodology are also reviewed. Program theory which relates to auditing performance of social programs is also covered. The chapter also reviews literature that relates to monitoring and evaluation of records management. Literature on records management programs, tools used in auditing records management programs and industry standards and best practices in the management of records are reviewed.

2.2 Theoretical Review

Records management programs are governed by theories, principles and models that if followed can result to sound records management. With respect to monitoring an evaluation of records management programs, there are specific theories, models and principles that can be applied to aid in the auditing function of these programs. The Records Management Capacity Assessment System (RMCAS) which was developed by IRMT to help in assessment of records management in order to help improve these programs in public organizations is reviewed. ISO 15489 Standard on records management and DIRKS methodology has been widely adopted as key standards in

management of records. However, in monitoring and evaluation of records management programs, there are also other non records management theories that can be used in determining the effectiveness of these programs. These include program theory which is widely used in auditing function of the programs (Vogel, 2012). In that case, the reviews include these theories and standards in view of monitoring and evaluation of records management programs in the public sector organizations.

2.2.1 Records Management Capacity Assessment System (RMCAS)

RMCAS was developed by the International Records Management Trust (IRMT) with the support of the World Bank (Griffin, 2004) as a capacity assessment system for records management functions in organizations. In the development of the system, IRMT drew upon previous researches that indicated that there exist a connection between financial management, records management and accountability. Thus, in development of RMCAS, IRMT intention has been to offer mechanisms for appraising the existing infrastructure of policies, laws, procedures, organizational structures and facilities for effective records management. Importantly, the focus is also to offer a mechanism through which problems can be identified and solutions provided. The System is a three part instrument that maps performance levels to statements of good practice and principles in recordkeeping (Demp, 2004). In addition, it consists of the information collection element, an analytical element and a database for capability building resources for record keeping (Griffin, 2004). Various countries have successfully tested RMCAS. These include Botswana, Ghana, India, Singapore, South Africa, Malawi and Kenya.

When using RMCAS, data is collected through controlled interview questions and entered into analytical model that generate reports which represents weaknesses and strengths in recordkeeping systems and infrastructure. RMCAS has three evaluation modules on judicial records, financial and human resource. All these elements can be used in electronic and paper environments to assess association between electronic and paper records management systems. Moreover, RMCAS can also be applied to establish if available infrastructure, resources and control instruments are sufficient to manage records in digital environment (Demp, 2004). The system measures gathered data against the basics of good practice provided by various standards such as MOREQ, ISO 15489 and Canadian Information Management Capacity (Griffin, 2004). Diagramic representation of RMCAS is illustrated in figure 2.1 below.
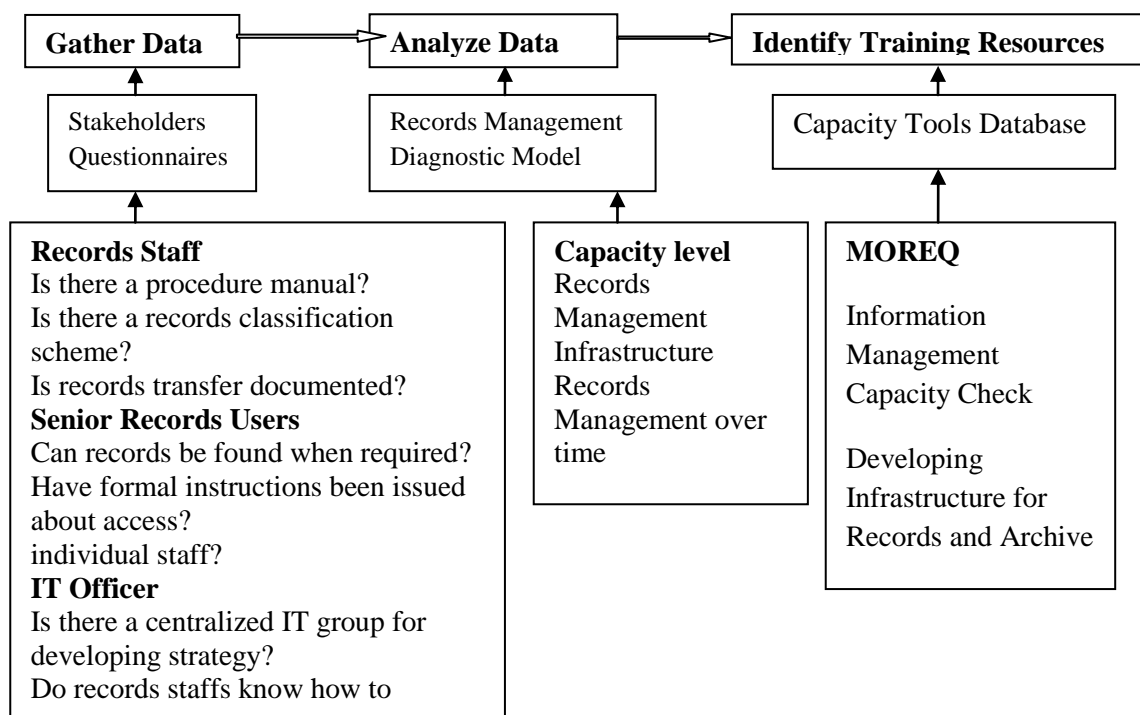
Figure 2.1: Diagram Representation of RMCAS (Source: The National Archives, 2012)

2.2.2 ISO 15489: International Standard on Records Management

ISO 15489 is divided into two parts, ISO 15489.1-2002, *Records Management* - Part 1: *General* which provides a framework for recordkeeping and addresses the benefits of managing records, how regulatory considerations affects records management and the significance of assigning responsibilities in records management (National Archives of Australia, 2002). Moreover, National Archives of Australia notes that the standard also discusses the requirements of records management, recordkeeping systems design issues and the processes undertaken in records management, such as capture or creation, retention, storage, access, disposition among others. The standard concludes by a discussion on records management audit functions and capacity development in records management.

On the other hand, ISO 15489: 2-2002, *Records Management* - Part 2: *Guidelines* covers practical and comprehensive guidance on how to implement the framework provided in Part one (National Archives of Australia, 2002). For instance, this part provides details on how to develop a records management policy and how to develop a records management system by outlining the DIRKS methodology.

Furthermore, part 2 also presents practical guidelines on how to develop a record keeping processes and controls as it provides guidelines on the development of recordkeeping tools such as classification schemes, disposal schedules and thesauri among others (Archives of Australia, 2002). With special reference to the study topic, part 2 of the standard also provides precise guidelines on how to establish auditing, monitoring and

training programs to ensure effective implementation of records management programs within an organization (Myburgh, 2002).

With respect to the monitoring and auditing provision of the standard, Archives of Australia (2002) affirmed that it can be used effectively in this function since it covers all processes of records management and it also tackles the regulatory aspects. However, in order to use ISO 15489 as an evaluation tool, the auditing and monitoring authority must be able to relate the standards specifications to the details of the records management program in place. The auditor must be able to evaluate the outcomes as itemized in the standard and assess whether the program is compliant to the requirements of the standard (Myburgh, 2002). However, the most important part of any auditing exercise should always have recommendations on how the program should be improved. However, the standard does not help in the recommendations phase as it only provides requirements of elements but does not provide methodologies and strategies for improvements.

2.2.3 Program Theory

The program theory was developed by Bickman in 1990 which referred to a variety of ways in development of a causal model that links programme inputs and activities to a chain of intended outcomes and later using the developed model to guide in evaluation (Vogel, 2012). It was believed by Vogel that the program theory is about social programs that are introduced to meet some social needs. This was also a position held by Mackenzie (2005) who was also a proponent of the theory as he alluded that in any program that is being implemented for the social good largely depends on a variety of interrelated issues. The issues include needs assessment, input, influential factors in the

environment among others which determines outputs and outcomes. Furthermore, Weiss (1997) provided that under program theory, if goals and assumptions used are unreasonable, then there will be little prospect for the program to succeed.

Significantly, program theory is accompanied by a logical framework that guides its implementation in monitoring and evaluation of the program in question (Vogel, 2012). The framework is comprised of four main elements: *inputs* which include all resources required by the program to provide the desired activities; *activities* which comprise of any services provided by the proghram; *outputs* which are the amount of activities provided in quantifiable terms and *outcomes* which are the characteristics of the participants that are required to change as a result of receiving the services (Vogel, 2012). This is illustrated in figure 2.2 below.
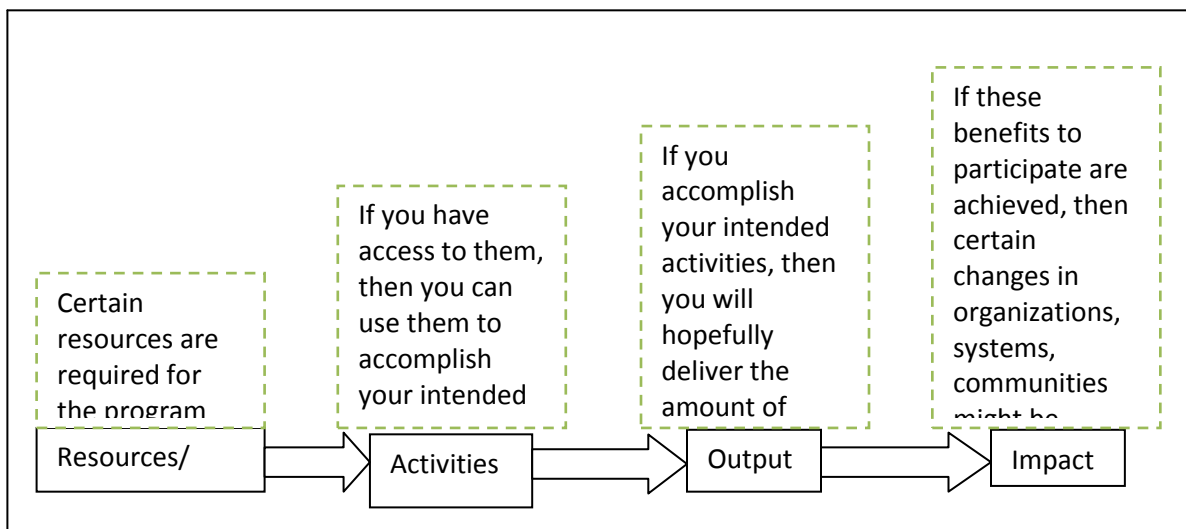
Figure 2.2: Program Theory Logical Framework by Vogel, 2012

2.2.4 Relevance of RMCAS, IS0 15489 and the Program Theory to the Study

The selection of the three theories was premised on the fact that the study was about monitoring and evaluation of records management programs in the government ministries and RMCAS and ISO 15489 Part 2 provides precise guidelines on how to establish an auditing, monitoring and training programs to ensure effective implementation of records management programs. With special focus on RMCAS, it concentrates on offering mechanism through which problems can be identified and solutions provided in a records management environment. This was quite relevant to the study as part of its objectives were to investigate the state of records management programs in the selected government ministries and to establish standards and best practices used to benchmark records management in the selected ministries. In doing so, existing records management problems were identified, their solutions suggested and standards and best practices were provided hence, making application of the RMCAS model important to the study.

Furthermore, as National Archives of Australia (2002), ISO 15489: 2-2002, *Records Management - Part 2: Guidelines* provides practical and comprehensive guidance on how to implement a framework for recordkeeping. This was imperative for the study as part of its aim was to develop a monitoring and evaluation framework that was geared towards improving the quality of records management programs. Therefore, ISO 15489: 2-2002 were informative to the framework developed for the monitoring and evaluation of records management programs in the selected ministries.

On the other hand, program theory provided by Vogel (2012) is comprised of four main elements: *inputs* which are resources required providing the desired activities; *activities*

which comprise of any services provided; *outputs* which are the amount of activities provided and *outcomes* that forms the desired results from a program. Based on this theoretical understanding, the theory was important in informing the study through its four elements. It was believed that records management program requires inputs in form of recordkeeping resources such as storage facilities, records staff, computer systems among other inputs. In terms of activities, there are a number of activities that need to be undertaken such as records classification, indexing, storage, appraisal, archiving, and disposal among others. Outputs in records management program may entail provision of requested information while outcomes could be effective service delivery. Thus, the program theory provided an important background in underpinning how records management program operates. In addition, the program theory was informative in developing an audit, monitoring and evaluation framework which was one of the objectives of the study.

2.3. Records Management Programs in Government Ministries

The management of government ministries records is a critical aspect of administration since it enhances efficiency and effectiveness of the service being offered. However, most African countries according to Wamukoya (2000) face various challenges with regard to the management of records in their civil service. These countries have tried to undertake civil service reforms but they have not been successful as anticipated. Shepherd and Yeo (2003) note that these reforms cannot be fully achieved without proper, reliable and effective records management programs. This is based on the fact that records play a critical role in service delivery. For instance, according to Wamukoya

and Mutula (2005), records play a central role in combating vices such as corruption, promoting accountability, good governance, transparency and protection of citizens' rights. As such, any governments should support recordkeeping programs as priority areas in its ministries.

In spite of records management significance in government ministries, studies by the International Records Management Trust (2009) and Mnjama (2007) suggest that records management programs in African countries are largely characterized by either collapsed systems or are in a state of disarray. Their studies continue to note that poor records management programs in these countries have become impediments to development since they contribute to corruption, lack of accountability and poor governance. The studies thus recommended that records management programs should be prioritized by any civil service. Shepherd and Yeo (2003) support this as they add that records proof compliance or non-compliance with laws, rules and procedures.

Despite importance of records in administration, it was noted by Mnjama and Wamukoya (2004) that in many developing countries and especially in Africa, records management programs are not capable of coping with ever rising quantity of manual records. This predominantly affects countries with meager administrative resources that incapacitate provision of relevant records management infrastructure for effective records management. As such, civil servants find it difficult to retrieve records needed in formulating, implementing and monitoring policies and other government strategies. This situation further impedes the ability of these countries in implementing the much anticipated administrative and economic reform programmes that are supposed to promote efficiency,

accountability and improved services to the public (Kennedy & Schauder, 1998).

Furthermore, it was opined by Wamukoya (2000) that poor records management programs in the civil service has adverse consequences to citizens, particularly to the poorest who are least able to defend themselves. It is important therefore to have relevant and accurate records if the government is to preserve the rule of law. This is because the poor citizens are the ones who suffer whenever records management programs are insufficient in providing relevant records for delivery of required services. IRMT (1999) concurred with this position as it notes that efficiency and effectiveness of the civil service across ministries, departments and agencies heavily depend upon the reliability and availability of records.

Poorly managed records in addition adversely affect the broad scope of service reforms. Thus, Shepherd and Yeo (2003) provide that any civil service need to have performance audit program on records management which should be regularly undertaken by MDAs in order to keep records management programs on the right track. Shepherd and Yeo agrees with the aspect of the instituting audit programs since they affirm that most records management programs in African states collapsed immediately after their independence and that the reforms strategies have not helped much. A closer look at the Kenyan context, Wamukoya (2000) notes that records management programs in the Civil Service have been characterized by inconsistencies which have in turn resulted to misfiling and loss of files. This according to Wamukoya goes against codes of best practice which demand that records management programs must always provide records whenever they are required at the right time to facilitate decision making process and also

at the lowest cost possible.

2.3.1 Monitoring and Evaluation of Records Management Programs in the Public Sector

Records management remains a neglected area in the public sector. In many countries, record management programs are weak to the point that they limit efficiency of the sectors. On the other hand, advances in technology provides the opportunity to monitor and evaluate records management programs in the public sector. Monitoring of Records Management Programs is responsible for systematic and efficient control of records in countries (Kemoni, 2007).

According to Wamukoya (2000), government institutions face challenges when it comes to management of their records. African countries have tried to make changes with regard to monitoring and evaluation of records management in their public sectors. For reforms to succeed, weakness in record keeping should be addressed. According to Kemoni (2007), preservation and accessibility of agencies' records is as essential as democracy in the government.

With that in mind, monitoring and evaluation of records management in the public sector takes slow but worthy steps towards improvement. African governments are seeing the need for proper monitoring and evaluation, reasons to handle and protect records in a better way. High risk public functions and issues with inefficient practice have become a priority in public organizations. Some of the ways in which public sectors can make their evaluation and monitoring of management programmes effective include; self assessment surveys in regards to the performance and improvement, inspections and assessments of

active programs, use of standards and checklists to compare compliance with the requirements and follow-up and remedial actions.

Importantly, good performance monitoring is essential in Records Management Programmes in the Public Sector. The programs are regularly audited to ensure that they remain relevant to the needs of the agency and make improvements to current systems. Performance monitoring in the public sector applies to every stakeholder as it ensures that the records management programmes are functioning properly. The review highlights long-standing activities in respect to conducting performance monitoring of records management programs in the sector (Mnjama, 2003).

Firstly, monitoring involves checking if the organization's records are properly stored. Storage is the most important aspect of records as without it, loss of information occurs. Agencies oversee if the records are in an environment that is compatible to their retention periods and formats. Moreover, it involves checking if the storage equipment is properly labelled and secure against unauthorized personnel. Public sectors also oversee if their organizations maintain a proper records inventory. By this, it confirms if there is a system to track movement and usage of records. Timely delivering of information is monitored by use of technology to track physical movement of records is also monitored (Shepherd & Yeo, 2002).

Moreover, in the public sector, access to the records is a very important issue. Monitoring involves checking the standardized practices for classification, sorting and filing of information to ensure easier access to the records. It also involves controlling of sensitive information to give it adequate protection. Moreover, evaluation of the programs checks

if access to the records is in accordance to government regulatory requirements (Shepherd & Yeo, 2002).

Furthermore, the sector should monitor ways in which records are disposed. According to Kemoni (2007) disposition of records is a crucial component of records management and is the final performance action in the life cycle of records. Monitoring involves checking if the organization has control over disposal of records throughout the departments. It evaluates the guidelines that prescribe disposal procedures and regular disposal activities. Moreover, there is a need to check retention and disposal schedules for the organization's records.

However, performance monitoring of record management has not been successful in the public sector. The main reason according to Miller (2004) is because many agencies see records to be things of the past, therefore, not important in their decision making. Some signs of failure to monitor the programs effectively include; loss of control over creation, access and use of records, fragmentation of organization records, existence of ambiguous and unauthentic records, easy manipulation of electronic records and misuse of records like in the use for unrelated activities.

2.3.2 Audits, Monitoring and Evaluation of Records Management Programs

Monitoring and evaluation are critical tools for forward-looking, strategic positioning, organizational learning and for sound management since they provide a basis for improvement of processes (IRMT, 1999). According to World Bank (2004), there are two types of monitoring; situation and performance monitoring. Situation monitoring deals

with change in a condition while performance monitoring measures progress in achieving specific set objectives and results with respect to implementation of activities, projects, programs or strategies (Henttonen, 2011). Evaluation on the other hand attempts to establish as objectively and systematically as possible the significance of a strategy, a program or a policy. According to Henttonen, various key performance indicators (KPIs) can be applied in records management programs to monitor and to evaluate if the programs are attaining their intended objectives. These KPIs in government ministries include good governance, transparency, accountability, compliance to legal requirements among others.

2.3.2.1 Key Performance Indicators (KPIs) in Recordkeeping

Key Performance Indicators (KPIs) were believed by Bearman (2004) to be qualitative and quantitative measures that are used in reviewing organization's progress against its set goals. The goals are usually broken down and taken as targets for achievements by specific individuals and departments. Programs should be audited at a regular interval to establish if their targets and objectives are being attained. Importantly, it was noted by Henttonen (2011) that a KPI should be consistent and relevant with the organization's vision, strategies and objectives. In addition, it was opined by World Bank (2004) that a KPI should be realistic and attainable by fitting into the organization's constraints and contributing to cost effectiveness.

With respect to records management programs in government ministries, IRMT (1999) noted that it is imperative for KPIs to be established. These KPIs should be both direct and indirect in nature. Jones (2003) provides an example of a direct indicator in records

management to be the total number of records created within a defined period of time. The direct indictors according to World Bank (2004) are easy to measure since they are very specific. On the other hand, indirect indicators could be an environment where records are easily indefinable and locatable when required. However, the indirect KPIs are difficult to quantify. Monitoring and evaluation of these KPIs determines performance of records management program at any given point.

Importantly, it was suggested by ISO 9000 series that an organization should base its KPIs on two levels as strategic KPIs and operational KPIs (ISO 9000). However, some KPIs might be relevant and appropriate to both strategic and operational levels. Strategic KPIs should address the measurements required at a high level and take a top down approach. With respect to this, Shepherd and Yeo (2003) provide that strategic KPIs should address records management governance and accountability which is critical in the civil service. On the other hand, operational KPIs should be approached from ground up (Jones, 2003). At this level, KPIs measures functions and activities of an operational nature, such as the delivery of records management services. It was suggested by Allen (2007) that KPIs should be applied to each specific records management function in an organization. With respect to government ministries, the simplest approach is to first identify key records management functions and activities that are essential to effective delivery of services in public administration. As earlier noted, these KPIs in the ministries should cover good governance, transparency, accountability and compliance to various legal requirements among others.

2.3.2.2 Good Governance as a Key Performance Indicator

UNDP (2012) defines governance as an exercise of political, economic and administrative authority in the management of the country's matters at all level. With respect to records management, it was affirmed by Wamukoya and Mutula (2005) in their study on electronic recordkeeping and good governance in Southern and East Africa that records present evidence of transactions activities and policies carried out by a government. As such, for any records management program that is used by a government ministry, it is important to have a KPI on governance to be able to determine if the program is contributing to the canons of good governance. According to Allen (2007), he opines that good governance is based on transparency, responsiveness, accountability and rule of law. Therefore, this means that records management programs should be measured against their performance on these elements.

2.3.2.3 Compliance as a Key Performance Indicator

Both public and private organizations are governed by various regulatory frameworks. In relating to this, recordkeeping programs in ministries must be compliant to relevant regulatory frameworks to ensure that the government is not exposed to any litigation process due to unavailability of required records (World Bank, 2000). With special reference to Kenya, there exists a variety of legislations and standards that must be observed by any records management program in the civil service. This include the Public Archive and Documentation Service Act Cap 19 which governs management of public sector records, the Official Secrets Act (1968) which provides concealment of some category of information believed to be state's secretes and those that relates to

security, the Statistics Act (2006) that provides for collection, analysis, publication and dissemination of statistical information and the Copyright Act (2001) that provides for copyright protection among other legislations (Kenya Law, 2012). As such, any records management program used by the MDAs must measure its performance in relation to the compliance of such laws.

2.3.3 Tools Used in Auditing Records Management Programs in the Government Ministries

Records management has Standards which are integral part of a sound records management programs. These national and International Standards together with various country's legislations, policies and government circulars form the backdrop for auditing records management in the civil service. Jones (2003) agrees with this position as he affirms that Standards, legislations and policies provide a measurable benchmark for monitoring and evaluating records management practices based on proven best practices. Importantly, Wamukoya (2000) opines that adopting and observing these standards promotes consistency in records management. In the Kenya civil service, there are various legislations which have been formulated to regulate records management in the Service.

The legislations include the Public Archives and Documentation Service Act, Cap 19 of the Laws of Kenya which established the Kenya National and Documentation Service that governs records management in the country (KNADS, 2013). In addition, the Act is supported by other legal provisions such as the Records Disposal Act, Cap 14 which governs management and disposal of court records but under the direction of the Director

of the KNADS. Furthermore, the Public Procurement and Disposal Act which was also formulated to regulate management of public sector records that relates to procurement and disposal of the public assets.

In addition to the legal regulatory framework that exists in Kenya, the country has also adopted various standards of the International Standards Organization that help to ensure implementation of records management based on international codes of best practices. These standards include ISO 15489-1:2001 which is about information and documentation. Moreover, the country also adopted ISO/CD 13391 that covers management system for records that helps in the management of records. Also ISO 9001:2008 that covers control of records is also a standard of best practice that has been adopted by the government of Kenya to improve service delivery. For that case, auditing records management programs in government ministries in Kenya demands that that such tools must be applied.

2.3.4 Industry Standards and Best Practices in Management of Records

There is need to use industry standards and best practices when managing records in government ministries. With respect to Kenya, the Directorate of Personnel Management (2004) notes that there have been spirited reforms that have been undertaken in the effort of improving service delivery to the public. According to the Directorate of Personnel Management, with the support of United Nations Development Programme (UNDP), the International Monetary Fund and the World Bank, the Government of Kenya initiated various reforms that were geared towards empowering speedy delivery of service, attainment of the Millennium Development Goals (MDGs), mainstreaming public

management accountability in all levels of public service among others. As such, the government set performance targets and standards for the public sector organizations. To achieve these targets, records management in government ministries too required some reforms which were to be used as Balanced Scorecard (BSC) in the reform agenda (IRMT, 1999).

However, civil service continually uses learning and growth perspective of the BSC to focus on its financial aspects and for management effectiveness. Nevertheless, Gumbus and Susan (2003) postulate that in implementing these learning and growth perspectives, the Service has now attempted to focus on customer service, financial and their internal operations. Gumbus and Susan continue to affirm that in order to achieve these aspects, the Service needs to utilize learning, innovation and growth dimension as their basis of implementing industry standards and best practices in order to improve service delivery by focusing on clients' services.

2.3.4.1 Customer Service

Any organization exists to serve a specific clientele. Service satisfaction of these clients guarantees successful business operation of both public and private organizations. However, in order to have an outstanding customer services, government ministries must acknowledge the need to have learning and growth perspective (Jones, 2003). For instance, the government must appreciate the need to hire people who are aligned to its values. Again, it is important to retain those staff that provides outstanding public service in their work processes. In doing so, quality, responsiveness and speed in public administration becomes a measure that can be used to determine if objectives of the

Service are being met. Moreover, any ministry is required to ensure that it gets feedback about its service delivery and related operations. According to Wamukoya (2000), this can be achieved through constant surveys that are desired to evaluate public satisfaction that can be fully attained by having a monitoring and evaluation framework. This helps to come up with corrective measures designed based on the feedback obtained.

2.3.4.2 Financial Management

According to IRMT (1999), financial management entails planning, implementing, controlling and monitoring monetary policies and activities. This can include accounting and auditing expenditure, revenue, assets and liabilities. Moreover, it may also entail management of assets, decision making relating to funding and liaison with the treasury. Therefore, effective management of financial resources is vital to the prosperity of any government. In respect to the public sector organizations, they are required to render their accounts to the public for scrutiny as a form of their accountability. This requires that records relating to financial resources be properly managed. However, if the records are not managed properly, the management financial resources suffer greatly. As such, records management and financial management are directly intertwined.

Still, the World Bank (2004) asserts that in many transitional countries, record keeping is still in a massive problem. Most of the record keeping systems in these countries are inadequate and incapable of coping with the growing accumulation of unmanaged manual records. As such, civil servants find it difficult in retrieving information required for formulating, implementing and monitoring financial resources (Henttonen, 2011). Notably, National Archival Institutions have been marginalized through deprivation of

necessary resources and powers to play their advisory, monitoring and regulatory role. This situation according to IRMT (1999) hampers the capacity of these nations in carrying out economic, administrative and reform programs that are geared towards achieving efficiency, accountability and enhanced services to the public. Furthermore, the collapse of record keeping systems in the public sector makes it impossible to establish responsibility for actions and to hold persons accountable especially when it comes to financial management.

2.3.4.3 Records Retention Schedules

According to the National Archives of Australia (2000), at the heart of a legally compliant records management program is the records retention schedule. This policy guides on how long records are supposed to be kept and when to be disposed off. This serves as the platform for protecting organizational records as well as the best method to avoid litigations and to control records program costs. National Archives of Australia provided that the records retention schedule informs custodians of records on how long records need to be kept for legal, regulatory and operational requirements. It needs to be appreciated that compliance with the schedules help to protect records during their useful life and if done in a controlled manner, it allows their defensible destruction. Kennedy and Schauder (1998) agreed with this as they notes that records retention schedule helps to meet regulatory requirements and control the costs of records storage through disposing records at the end of their business life.

2.3.4.4 Policy and Procedure

An organization's records management program should be supported by an organization-wide policy and procedures that address each component of the records management program in accordance with operational and legal requirements (Kennedy & Schauder, (1998). The overarching records management policy should be short and address records ownership, the records lifecycle, roles and responsibilities, maintenance, training, legal issues and audits. Mackenzie (2005) notes that while there may be separate procedures for records retention, vital, active, inactive records management, email management, use of cloud and any other area of records management, they should conform to the expectations set in the policy. Importantly, the policy and procedures should be accessible and communicated clearly throughout the organization.

2.4. Conceptual Framework

With respect to the requirements of ISO 15489 and Program theory, Figure 2.3 (p.42) illustrates a conceptual framework that was used in the study. The framework provides inputs which include records management personnel, records management facilities, records management infrastructure and ICT infrastructure that are supposed to be provided in a records management program to attain intended outcomes. In addition, top management support and continued training were taken as processes to be undertaken to assure the success of the program. Lastly, improved service delivery, customer satisfaction and governance were taken as the desired outcomes for the records management program in the public services.
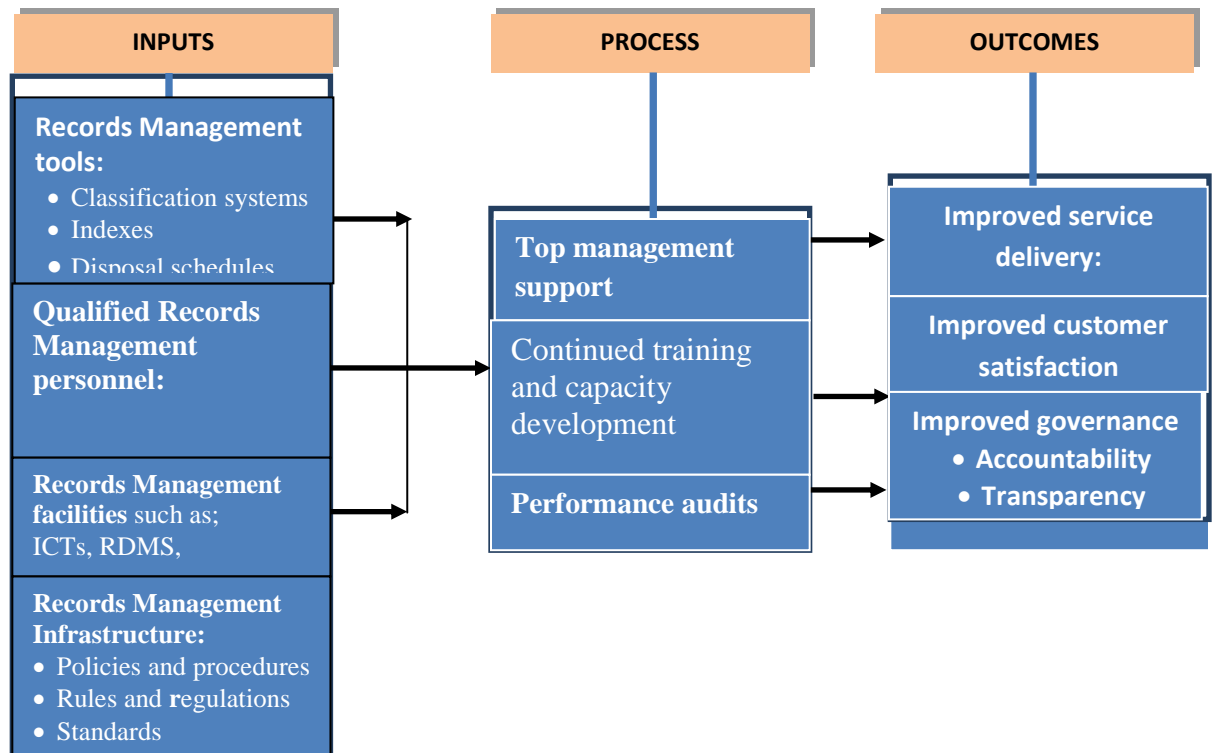
Figure2.3: Conceptual Framework (Author, 2014)

2.5 Chapter Summary

The chapter reviewed various theories, models and principles that can be applied in monitoring and evaluation of records management programs. These included Records Management Capacity Assessment Systems (RMCAS), ISO 15489 International Standard on records management, DIRKS methodology and program theory. Also, the chapter reviewed literature on auditing, monitoring and evaluation of records management programs and provided industry standards and best practices in records management. Lastly, the chapter provided a conceptual framework whose the study was based.

CHAPTER THREE

RESEARCH METHODOLOGY

3.1 Introduction

This chapter covers the research design, the target population that was used in the study, the sample size, sampling techniques, sample size, data collection methods, validity and reliability, ethical consideration and data analysis in coming up with a research thesis on the development of a monitoring and evaluation framework for records management for selected government ministries (Ministry of East African Affairs, Commerce and Tourism and the Ministry of Labour, Social Security and Services).

Research is understood by Amin (2005) to be a collection of methods and methodologies that researchers use to systematically produce scientific based knowledge about the social world. On the other hand, Babbie (2004) opines research methodology to be the set of specific techniques that are used for selecting cases and observing aspects of social life, gathering and refining data, analysing and reporting results. This position is also asserted by Bell (1999) who notes that research methodology is a systematic and logical search for new and useful information on a particular subject. Moreover, this is closely related to the view of Catane (2000) as he acknowledges that research methodology is an investigation of finding solutions to scientific and social problems through systematic and objective analysis. With all these view points, it is clear that all the scholars viewed research methodology as a systematic and logical exercise that seeks to generate knowledge to solve either a scientific or a social problem.

3.2 Research Design

Research design according to Amin (2005) is a blueprint for conducting a study with minimum control over factors that interfere with the validity of the findings. On the other hand, Kombo (2006) holds that research design is a defined plan that describes how, when and where data are to be collected and analysed. Konar (2009) agrees with this position and notes that research design is the researcher's overall way of answering the research question and for attaining its aim.

There are three types of research designs that can be applied in any research. These include quantitative research design which according to Chen (2008) attempts to maximize objectivity, generalizibility and replicability of findings. Integral to this design is that the researcher set aside his experiences, biases and perceptions to ensure objectivity in the study and in the conclusions to be drawn. On the other hand, Konar (2009) notes that qualitative research design focus on understanding and discovering perspectives, experiences and thoughts of participants. Mixed method research design combines qualitative and quantitative research designs by bridging their differences in addressing a research question (Chen, 2008).

The study applied a mixed research design which combined both quantitative and qualitative research tools as some category of respondents were interviewed while questionnaires were used to collect data from another segment.

3.3 Target Population

Kothari (2004) defines population as the total number of units from which data can be collected such as people, events, artefacts or organisations. On the other hand, Nachmias and Nachmias (2004) describe population as the element that meets the criteria for inclusion in a study. For this study, Headquarters of The Ministry of East African Affairs, Commerce and Tourism and The Ministry of Labour, Social Security and Services formed the target population which had a total population of 636 (Ministry of East African Affairs, Commerce and Tourism , 2014; Ministry of Labour, Social Security and Services, 2014).

3.3.1 The Ministry of East African Affairs, Commerce and Tourism

Ministry of East African Affairs, Commerce and Tourism have two departments; Tourism department and Management and Support Services Department. Tourism department has two units; delivery unit which has a total population of 21 employees and Department of Tourism field offices which has 24 employees. The Management and Support Services department has 11 units which include; Administration division-22 employees, HRM and Development division-19 employees, Central Planning unit-15 employees, Accounting Unit-23 employees, Finance Unit-23 employees, Procurement Unit-18 employees, AIDS Control Unit-16 employees, Public Relations Office-20 employees, Transport Section-24 employees, ICT Unit-16 employees and the Central Registry-19 employees (Ministry of East African Affairs, Commerce and Tourism , 2014). Thus, the ministry has 258 employees in total at it's headquarter.

3.3.2 The Ministry of Labour, Social Security and Services

On the other hand, the Ministry of Labour, Social Security and Services has 10 departments. These include Administration Division which in turn has 10 units. The units include Administration Unit with 24 employees, HRM Unit with 23 employees, Planning Unit with 15 employees, Accounting Unit with 22 employees, Finance Unit with 16 employees, Procurement Unit with 20 employees, PR office with 19 employees, Transport Unit with 18 employees, ICT unit with 18 employees and the Central Registry with 21 employees (Ministry of Labour, Social Security and Services, 2014).

Other departments are the Department of Labour with 17 employees, Department of Children Services with 23 employees, Department of Social Services with 19 employees, Directorate of Occupational Safety and Health Services with 20 employees, Office of Registrar of Trade Unions with 22 employees, National Employment Bureau with 18 employees, Directorate of National Human resource Planning and Development 24 employees and Department of Productivity Center of Kenya 16 employees (Ministry of Labour, Social Security and Services, 2014). As such, the Ministry has 376 employees. Thus, the two ministries have a population of 634 employees.

Moreover, the Secretary to the technical committee on records management at the Kenya Bureau of Standards and the director of Kenya National Archives was also part of the target population since they were targeted to inform the study on the best practices and standards on records management thus making target population to be 636 . Table 3.1 illustrates the target population for the study.

Table 3.1: Target population in the Ministry of East African Affairs, Commerce and Tourism and the Ministry of Labour, Social Security and Services

Ministry	Department	Unit	population
Ministry of East African Affairs, Commerce and Tourism	Tourism Department	Delivery Unit	21
		Department of Tourism field offices	24
	Management and Support Services Department	Administration Division	22
		HRM and Development Division	19
		Central Planning Unit (CPU)	15
		Accounts Unit	23
		Finance Unit	21
		Procurement unit	18
		AIDS Control Unit	16
		Public Relations Office	20
		Transport Section	24
		ICT Unit	16
		The Central Registry	19
	Total		**258**
Ministry of Labour, Social Security and Services	Administration Division	Administration Division	24
		HRM Division	23
		Planning Unit (CPU)	15
		Accounts Unit	22
		Finance Unit	16
		Procurement unit	20
		PR Office	19
		Transport Unit	23
		ICT Unit	18
		The Central Registry	21
	The Department of Labour		17
	Department of Children Services		23
	Department of Social Services		19
	Directorate of Occupational Safety and		20

	Health Services	
	Social Protection Secretariat	16
	Office of the Registrar of Trade Unions	22
	National Employment Bureau (NEB)	18
	Directorate of National Human Resource Planning and Development	24
	Productivity Center of Kenya (PCK)	16
	Total of population of Labour, Social Security and Services	**376**
The Kenya National Archives	The Director of the Kenya National Archives	**1**
Kenya Bureau of Standards	The Secretary to the technical committee on records management	**1**
Target population of the two Ministries		**636**

Source (Ministry of East African Affairs, Commerce and Tourism, 2013; Ministry of

Labour, Social Security and Services, 2013)

3.4 Sample Size

Chen (2008) defines a sample as a section of population that is selected to be used in the

study. Any study is carried out on a sample from a study population. Given the enormous

population of the two ministries, it was untenable to complete the study with the entire

population as the unit of the study. The researcher limited the study to the ministry

headquarters. Nachmias and Nachmias (2004) on one hand insist on 10 percent sample

for a population ranging from 500 to 1500, five percent sample for a population ranging

from 2000 to 5000 and one percent for the population above 50000. On the other hand,

Lehmann (2006) suggests that a sample size should be at least 15 percent to improve

precision in the study. Thus, the study used 15 percent sample of the total population.

Hence, it used 93 respondents as the sample size.

3.5 Sampling Procedures

In order to come up with true facts about the study topic, it is imperative that a sample selected should be representative of the entire population. For the sample to be representative, sampling procedures must be objectively undertaken (Nachmias & Nachmias, 2004). The researcher used stratified purposive sampling procedure in order to come up with a sample for the study. According to Fienberg (2003), stratified purposive sampling is a technique which attempts to restrict possible samples to those which are ``less extreme'' by ensuring that all parts of the population are represented and that the sampled units help in achieving the aim of the study.

The study population was stratified into two; the Ministry of East African Affairs, Commerce and Tourism and the Ministry of Labour, Social Security and Services. From the Ministry stratification, the population was further stratified into respective departments and where applicable, the departments were again stratified to respective units or division. Respondents were therefore purposively selected from each stratum where heads and deputies of the units or divisions were selected. The reason why the study sought to narrow down to the heads of units or departments is that they are the key records users in the ministries since they are the action officers in their respective units or departments and they use records more often. Using purposive sampling and in order to attain 15 percent sample, the study only sampled heads of units or sections and their deputies who made up 10 percent of the sample. In addition, 85 percent of the registry staff for the two central registries were randomly sampled since the study was about functions of their units thus a need to extensively involve them in the study. This ensured

that the study ended up with the desired sample of 15%. Table 3.2 illustrates the sampling frame and the sample size for the study.

Table 3.2: Illustration of the Study Sample Size

Ministry	Department	Unit	Sample (10 percent consisting of HODs/Assist HODs: 85 percent of Central Registry staff)
Ministry of East African Affairs, Commerce and Tourism	Tourism Department	Delivery Unit	2
		Department of Tourism field offices	2
	Management and Support Services Department	Administration Division	2
		HRM and Development Division	2
		Central Planning Unit (CPU)	2
		Accounts Unit	2
		Finance Unit	2
		Procurement unit	2
		AIDS Control Unit	2
		Public Relations Office	2
		Transport Section	2
		ICT Unit	2
		The Central Registry	16
	Total		40
Ministry of	Administration	Administration Division	2

Labour, Social Security and Services	Division	HRM Division	2
		Planning Unit (CPU)	2
		Accounts Unit	2
		Finance Unit	2
		Procurement unit	2
		PR Office	2
		Transport Unit	2
		ICT Unit	2
		The Central Registry	16
	The Department of Labour		2
	Department of Children Services		2
	Department of Social Services		2
	Directorate of Occupational Safety and Health Services		2
	Social Protection Secretariat		2
	Office of the Registrar of Trade Unions		2
	National Employment Bureau (NEB)		2
	Directorate of National Human Resource Planning and Development		2
	Productivity Center of Kenya (PCK)		1
	Total of population of Labour, Social Security and Services		51
Target population of the two Ministries			**91**
The Kenya National Archives and Documentation Service			1
Kenya Bureau of Standards			1
Sample size			**93**

3.6 Data Collection Methods

Data collection is the process of gathering and measuring information related to the study variables in an established and systematic fashion that helps in answering research questions, aid in testing hypotheses and evaluating outcomes (Konar, 2009). There are various data collection methods that vary along a continuum which include quantitative and qualitative data collection methods. For this study, the main tools that were used were questionnaires which were used to collect data from the staff of the two ministries. Interviews on the other hand were used to collect data from the Director of the KNADS and the Secretary to the technical committee on records management at the Kenya Bureau of Standards.

3.6.1 Questionnaires

The study used semi structured questionnaires which were administered to senior officers heading departments and units in the two ministries and the central registry staff as illustrated in appendix III. According to Anderson and Arsenault (2002), if questionnaires are well constructed, they permit collection of reliable and reasonable valid data. In addition, Nachmias and Nachmias (2004) hold that when using questionnaires, respondents are given time to respond to the questions in addition to providing standardized specific information relevant to the study.

3.6.2 Interviews

Interviews were used as a supplementary tool to the questionnaires. Interviews were limited to the Director of KNADS and the Secretary to the the sub-committee ISO/TC 46/SC 11 at the Kenya Bureau of Standards as illustrated in appendix IV. They were

expected to provide insightful information in monitoring and evaluation of records management. According to Fisher *et al* (2005: 45), when using interviews, response rates are usually good and that the researcher knows who is answering the question, and the prompts and probes can be used to encourage responses.

3.7 Reliability and Validity of the Research

Reliability refers to whether a measurement instrument is able to yield consistent results each time it is applied (Bartlett, Kotrlik & Higgins, 2001). In this study the researcher applied a pilot test of data collection instruments to determine their reliability. The pilot study was conducted to determine if the instruments are able to generate consistent data. Data collection tools were administered to records management staff at Inoorero University. Corrections were done on any element of inconsistency before data collection exercise. In terms of validity, data collection tools for this study were given to two records management experts from Kenya Association of Records Managers and Archivists (KARMA) to review its content and determine if they were valid for the study.

3.8 Ethical Consideration

The first ethical consideration that was considered by the researcher was observance of the cardinal rule of voluntary participation amongst participants. This ethical issue was supported by Reiss and Judd (2000) who affirmed that when doing a research, participants should not be coerced into taking part in the study. In addition, closely related to the cardinal rule of voluntary participation according to Bartlett, Kotrlik and

Higgins (2001) is the prerequisite of informed consent. The researcher ensured that participants are informed of the procedure of the research. The participants were also at liberty to consent before forming part of the study sample. In addition, respondents were assured of confidentiality of the information collected from them.

3.9 Analysis of Data

Data analysis is the process of refining the collected data so that they can be meaningful in synthesis by making them relevant information (Babbie, 2004). The very first step that was done in data analysis was subjection of the data to a purposive scrutiny with the aim checking the level of accuracy of the data collected. However, the scrutiny kept in mind all key information that was intended to be collected from the research.

In addition, during this stage, consistency checking was done so as to ensure the information being recorded is in a constant flow. Moreover, it also helped to eliminate errors that might have been carried to this point. This was important since answers that were identified to be of conflicting views from the response of some of the respondents were discarded.

The collected data were then translated to codes where by answers to the questions were assigned codes. The coding process underwent three stages. In the first stage, the researcher decided on the coding scheme to be utilized for example, double zero (00) represented negative answers to the question while double one (11) represented positive answers to the questions. The procedure that was used to develop codes differed in respective to the type of question.

The data obtained from the interview were transcribed and grouped according to themes based on the research questions. Comparison was made to determine similarities and differences in responses. Insightful explanations were highlighted in the discussion. Implications on the research questions were then drawn.

After coding of the data, its classification was done where by information was categorized in different classes according to specific characteristics. The classified data was again tabulated into table's columns and rows. The table's rows and columns were constructed from the main themes of the research. It is from these tables that other analytical techniques conclusions and recommendations were derived from.

SPSS is the statistical software that was used in this analysis since it is capable of computing any quantitative data (Chen, 2008). This software helped in faster data analysis since aspects such as graphs, pie charts were generated automatically given information on the variables.

3.10 Chapter Summary

The chapter covers research methodology where mixed research approach was adopted for the study. The Ministry of East African Affairs, Commerce and Tourism and the Ministry of Labour, Social Security and Services headquarters are provided as the study's target population with 636 as the population. Stratified purposive sampling was used to to get 93 respondents forming 15 perent of the study's population. Questionnaires and interviews are provided as data collection tools for the study.

CHAPTER FOUR

DATA PRESENTATION, ANALYSIS AND INTERPRETATION

4.1 Introduction

The chapter covers presentation, analysis and interpretation of data that was collected from the registry staff and heads of departments, units and sections of the Ministry of East African Affairs, Commerce and Tourism and the Ministry of Labour, Social Security and Services. This data was collected using two different sets of semi structured questionnaires that were intended for each category of the respondents. From the sample size of 91 respondents; 52 heads of departments and 29 central registry staff returned their questionnaires. This resulted in 89.1 percent return rate of the distributed questionnaires. In addition, the chapter also presents results from the data collected through interviews with the Director of the Kenya National Archives and Documentation Service and the Secretary to the technical committee on records management at the Kenya Bureau of Standards as respondents. Having obtained 89.1 percent response rate of the questionnaires obtained, it was considered a very good response. According to Babbie and Rubin (2010: 117), "at least 50 percent is considered adequate for reporting and analysis, a response rate of at least 60 percent is good and a response rate of 70 percent is very good".

Data is presented, analyzed and interpreted according to the specific objectives of the study which were to: investigate the state of records management programs in the selected government ministries; assess the integration of records management as part of business processes in the selected ministries; investigate whether audits carried out in

other areas of organizational activities also extend to records management programs; establish the mechanisms and tools used in conducting records management audits and or evaluations; establish the standards and best practices used to benchmark records management in the selected ministries; and develop an audit, monitoring and evaluation framework for records management programs to be applied in the selected government ministries for enhancement of service delivery. Thus, data are analyzed based on these thematic areas derived from the objectives of the study. To begin with, the study establishes a background information on respondents. This is useful in understanding a number of demographic factors that may have an impact on records management.

4.2 Background Information of Respondents

First and foremost, it was important for the study to understand the response rate of its respondents from the two selected ministries. Despite the study having sampled 91 respondents from the two ministries, 35 respondents from the Ministry of East African Affairs, Commerce and Tourism and 46 respondents from the Ministry of Labour, Social Security and Services returned their questionnaires. This formed 43.2 and 56.8 % respectively as shown in Table 4.1 below. Thus, the study comprised of a fairly balanced ratio of representatives from the two ministries for objective assessment of records management programs.

Table 4.1: Parent Ministries of Respondents

Parent Ministry of Respondents				
	Frequency	Percent	Valid Percent	Cumulative Percent
Ministry of East African Affairs, Commerce and Tourism	35	43.2	43.2	43.2
Ministry of Labour, Social Security and Services	46	56.8	56.8	100.0
Total	81	100.0	100.0	

Despite having drawn its respondents from the two selected government ministries, the study sought to determine their departmental representation. This was important to help assure objectivity. As shown in Table 4.2, it was found out that administration division of the Ministry of Labour, Social Security and Services and the management and support services department of Ministry of East African Affairs, Commerce and Tourism comprised of 37.0 % and 39.5 % respectively. This was ascribed to the fact that they comprised of numerous units as compared to other departments. On the other hand, department of labor contributed 14.8 %, while tourism department only contributed 3.7 %. This can again be attributed to the fact that the department of labour is comprised of numerous units as compared to the tourism department. Other departments formed 4.9 % of the study population. Hence, it can be affirmed that the departments were fairly represented to be able to yield reliable results.

Table 3.2: Departmental Representation of the two Ministries

Department		
Departments	**Frequency**	**Percent**
Administration Division	30	37.0
Management and Support Services Department	32	39.5
Tourism Department	3	3.7
Department of Labour	12	14.8
Others	4	4.9
Total	81	100.0

In addition, the study sought to determine designation of respondents. This was important as it helped establish if respondents were in a better position to give relevant information to attain the aim of the study. As indicated in Table 4.3, the heads of departments comprised 3.7%, deputy heads of departments 60.5% while 35.8% were records management officers. This was an objective representation of the targeted population since the heads of departments and their deputies are the action officers in these ministries thus they formed a critical segment of records users. For that reason, they were informative on issues relating to users' satisfaction of records management programs in the ministries. However, deputy heads of departments were more than heads of department since a number of deputies report to one head of department. Again, records management officers were an important segment of the study since they are in-charge of records management programs in these ministries. In addition, the Director of KNADS and the Secretary to the technical committee on records management at the KEBS who were interviewed were an important segment as they were very informative to issues

relating to procedures, programs, policies, legal framework and standards of best practice that govern records management programs in the public service in Kenya.

Table 4.3: Designation of Respondents of the Study

Designation		
	Frequency	Percent
Head of Department	3	3.7
Deputy Head of Department	49	60.5
Records Management Officer	29	35.8
Total	81	100.0

Additionally, it was significant for the study to establish the level of work experience of the respondents. This was useful in establishing if they had requisite experience to provide reliable information for the study. As indicated in figure 4.1, it was determined that 45.7% had over 15 years' working experience, while 37% of the respondents had 10 to 15 years' working experience. On the other hand, only 11.1% and 6.2% had a work experience of five to ten and zero to five years respectively. This indicated that the majority of respondents had worked long enough in the ministries to be able to provide reliable information on monitoring and evaluation of records management in the two ministries.
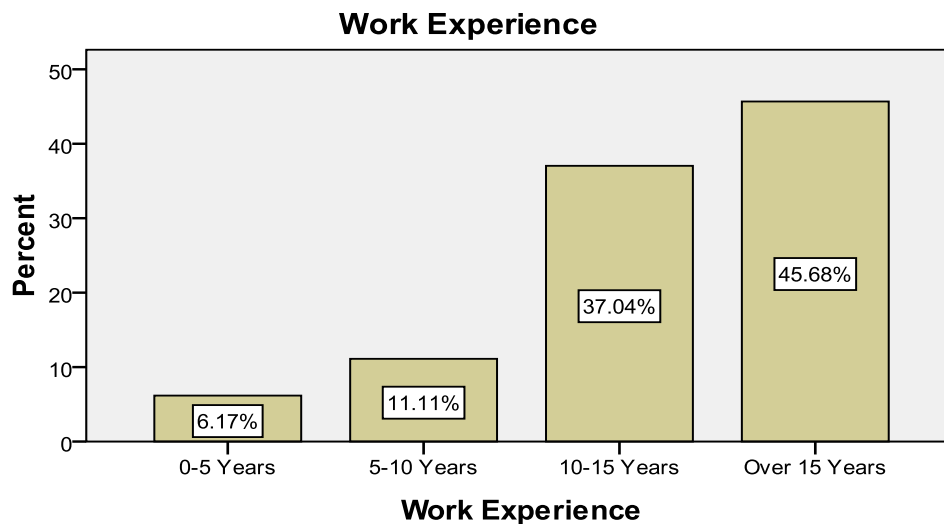
Work Experience

Figure 1.1: Work Experience of Study Respondents in the Ministries

Also, it was important to determine the academic qualifications of the staff responsible for the records management function in these two ministries. Hence, the study sought to find out academic qualifications of the central registry staff. As indicated in Table 4.4, it was established that the highest academic qualification for the 48.3% of the central registry staff was O-level qualification without any training in records management. On the other hand, 24.1% had certificate qualification while 20.7% had diploma qualification in records management. Only 6.9% of the registry staff had undergraduate qualification in records management. This implied that these government ministries have a large percentage of their records management officers with no professional training in records management. These findings concurred with the findings by the KNADS (2013) which highlighted inadequate skills and knowledge in records management of the registry

officers as one of the challenges facing records management programs in public institutions.

Table 4.4: Highest Formal Educational Qualifications for the Central Registry Staff

Highest Formal Education and Qualifications		
	Frequency	Percent
O Level Certificate	14	48.3
Certificate	7	24.1
Diploma	6	20.7
Degree	2	6.9
Total	29	100.0

4.3 Investigation on the State of Records Management Programs

The study aimed at assessing the state of records management programs in the selected government ministries. This was with a view to developing a monitoring and evaluation framework geared towards improving the quality of records management programs. To attain this, it was imperative for the study to investigate the state of records management programs in the selected government ministries. Accordingly, the study segmented its respondents into two; heads of departments, deputies of departments in charge of units and sections and; the central registry staff. This segmentation was based on the fact that heads of departments and their deputies are action officers in these ministries while central registry staff ware responsible for the management of the records. Thus, their perspective on the state of records management programs in the ministries was likely to

be different. To begin with, the study sought to establish how heads of departments, units and sections rated records management in their ministries. As indicated in figure 4.2, only 7.7% of the action officers rated records management in the ministry as good, 50.0% of them rated as average, 25.0% rated as below average while 17.3% rated as poor. This showed that records management programs in these ministries did not satisfy the needs of action officers as only 7.7% felt that records management programs were good in these ministries. These findings concurred with the findings of the report by the KNADS (KNADS, 2013) which deduced that records management programs in most public sector organizations do not meet user requirements.
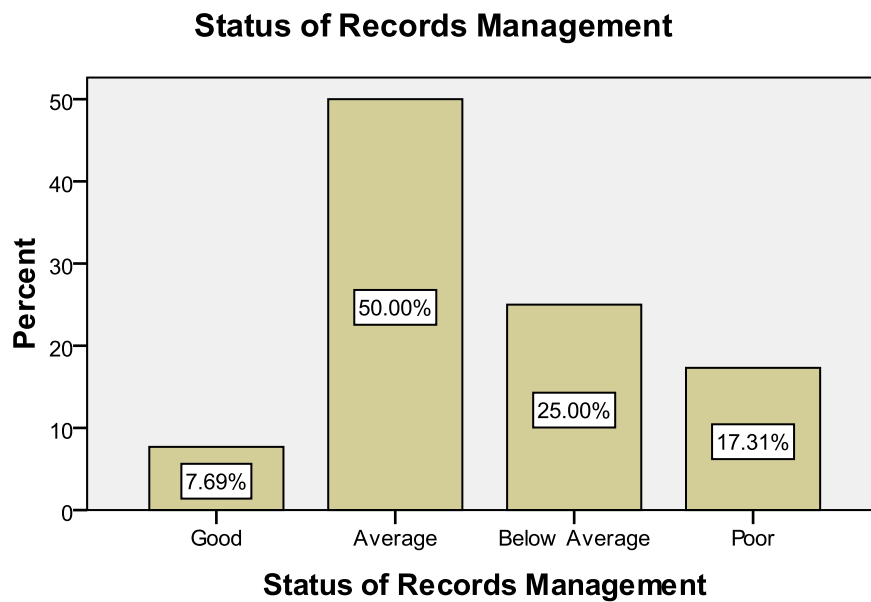
Figure 4.2: Status of Records Management in the two Ministries

To be able to determine if records management programs met their intended needs, the study sought to establish if action officers in these ministries easily accessed current and archived records. When this question was posed to the heads of departments, the results were as illustrated in Table 4.5. As indicated in the table, 3.8% of the action officers noted that they easily accessed the records when in need, 67.3% felt that they accessed them occasionally while 28.8% felt that they rarely accessed them. Thus, it was evident that a majority of action officers continued to experience difficulties when they require records for decision making purposes.

Table 4.5: Retrievability of Records in the Ministries

Retrievability of Records in the Ministry		
	Frequency	Percent
Always	2	3.8
Occasionally	35	67.3
Rarely	15	28.8
Total	52	100.0

Moreover, the study sought to understand some of the underpinning challenges of records management in the ministries. When the study asked the heads of departments the challenges affecting records management programs, the results were as illustrated in figure 4.3. Accordingly, 40.4% of the heads of departments indicated that records management programs had less qualified staff to manage the program, 15.4% pointed out that there were cases of missing files in the ministries. On the other hand, 17.3% of the heads of departments noted that there was low morale of records management staff which

affected overall recordkeeping in the ministries. In addition, 21.2% pointed out that there were delays in the retrieval of records. This in turn affected the efficiency of records management. Lastly, 5.8% of the heads of departments believed that understaffing of records officers in the ministries was one of the challenges that negatively affected records management programs in the ministries.

Some of these challenges were also mentioned by both the Director of the KNADS and the Secretary to the technical committee for records management at the Kenya Bureau of Standards. The Director of KNADS notes that "the government ministries lack adequate qualified personnel to manage records". In aconcurring with this position, the Secretary to the technical committee on records management at the Kenya Bureau of Standards explained that "the majority of the people working as registry officers lack requisite training in the field of records management". According to the position held by the two, insufficient qualified staff in records management was a reason to infective records management programs in the ministries. In addition, the KNADS director went further to point out that:

> The government had not prioritized records management in the ministries. The allocated annual financial budget to the function was always minimal to enable ministries to institute necessary strategies for efficient and effective management of records. Again, non-implementation of a records management scheme of service is an impediment to an effective records management in the ministries since staff are not demoralised (KNADS Director).

These challenges concur with the findings of KNADS (2013) that alluded to similar challenges as the reasons behind the failure of recordkeeping practices in the Kenyan public service.
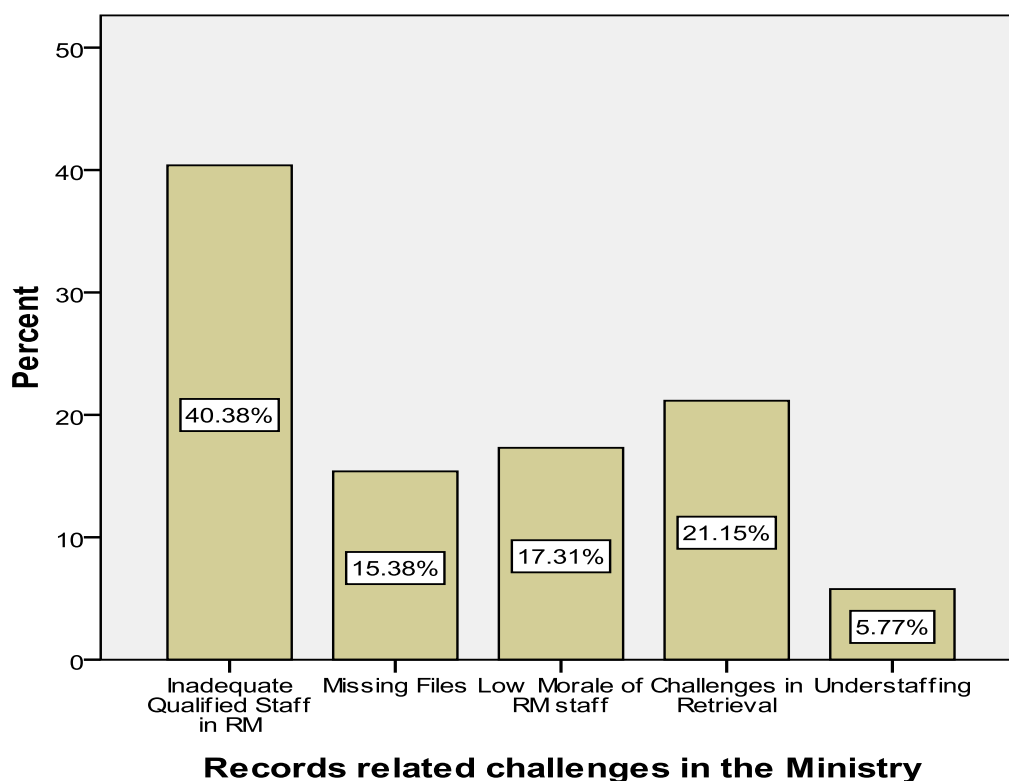
Figure 4.3: Challenges Facing Records Management in the Ministries

With regard to the challenges facing records management programs in the selected ministries, the study sought to establish how these ministries dealt with them. In response, the heads of departments representing 26.9% as shown on Table 4.6, that the ministries were undertaking automation of their records management programs. On the other hand, 3.8% of the respondents pointed out that their ministries are advancing their tracking tools to enhance retrievability of records. In addition, 34.6% of the heads of

departments indicated that their ministries were investing in capacity building programs for records management staff as part of the strategy to deal with records management challenges. Besides, 7.7% of the heads of departments noted that the allocation of adequate storage space was being made by the ministries as a way of addressing some of the records management challenges. Lastly, 26.9% of the heads of departments pointed out that the ministries were implementing quality management standards as a way of solving records related challenges.

Table 4.6: How Records Management Challenges are being Addressed in the Ministries

How RM challenges are being addressed		
	Frequency	Percent
Automation	14	26.9
Tracking Tools	2	3.8
Capacity Building	18	34.6
Allocation of enough storage space	4	7.7
Implementing quality management standard	14	26.9
Total	52	100.0

Similarly, the records management staff were asked to comment on the challenges affecting records management in these ministries. As such, the results are as illustrated in Table 4.7. From the figures, 93.1% of the central registry staff affirmed that there existed a well-structured records management program. The remaining 6.9% indicated that the ministries lacked a well-structured records management program.

Table 4.7: Whether the Ministries have a Well-Structured RM Program

Whether the Ministries have a well-structured RM Program		
	Frequency	Percent
Yes	27	93.1
No	2	6.9
Total	29	100.0

In an effort to understand the state of records management programs in these government ministries, it was important for the study to establish if the ministries had a documented policy and records management procedures. When this question was posed to registry officers working in the central registries, the results were as illustrated in Table 4.8. 75.9% of the registry officers in the ministries pointed out that there were records management policies supporting recordkeeping while only 24.1% noted that there were no such policies in the government ministries. However, the Director of the KNADS affirmed that government ministries had records management policies and standard operating procedures. He said that the Kenya National Archives and Documentation Service had helped to develop such policies and procedures. The secretary to the technical committee on records management at the Kenya Bureau of Standards also noted that the majority of the government ministries had records management policies and procedures.

Table 4.8: Whether RM Program is Supported by RM Policies

Whether the RM program is supported by RM Policies		
	Frequency	Percent
Yes	22	75.9
No	7	24.1
Total	29	100.0

Significantly, good records management practices require support of standard operating procedures. In line with this, the study sought to determine if records management programs in the targeted government ministries were supported by such procedures. Thus, when the question was posed to registry officers, the results were as demonstrated in Table 4.9. The results indicated that there existed records management procedures that supported records management programs in government ministries as 82.8% asserted to this while only 17.2% noted that there were no such procedures.

Table 4.9: Whether RM Programs in Ministries are Supported by RM Procedures

RM programs in ministries are supported by RM Procedures		
	Frequency	Percent
Yes	24	82.8
No	5	17.2
Total	29	100.0

To continuously improve the capacity of registry officers, it is important that an organization should have a training program for its records management staff. Hence, the study sought to determine whether the government ministries had a training program for their registry staff. The results indicated that there existed records training programs in government ministries. All respondents (100.0%) affirmed the existence of the programs. This is an important strategy as it helps to improve competencies of records management staff in these ministries. Also, both the Director of the KNADS and the Secretary to the technical committee on records management at the Kenya Bureau of Standards affirmed that the government had a training program for its registry officers who lacked the

requisite qualifications in records management. According to the Director of KNADS, such staff were sponsored by the government to pursue professional training right from certificate to degree level in order to boost capacity of people working in the central registries.

Additionally, for good records management to be realized in the organization, it is imperative that there exist adequate and appropriate facilities dedicated to records management. This helps to ensure that records are preserved in the required environmental conditions that prolong their lifespan. Thus, when the question was posed to registry officers working in the central registries of these government ministries, the results were as indicated in Figure 4.4. With respect to this, 34.5% of the registry officers believed that the ministries had adequate and appropriate facilities for records management. On the other hand, 65.5% of the respondents believed that government ministries did not have adequate and appropriate facilities for records management. From the interview conducted with the Director of the KNADS and the Secretary of the technical committee on records management at the Kenya Bureau of Standards, it was unanimously agreed that the government ministries lack adequate and appropriate facilities. The two senior officers pointed out that some ministries kept their records on the floor. This exposed records to environmental conditions that accelerated their deterioration. Thus, it can be deduced that government ministries do not have adequate and appropriate facilities for records management and these undermines efficiency and effectiveness of records management programs.

Whether ministries have adequate and appropriate facilities for RM
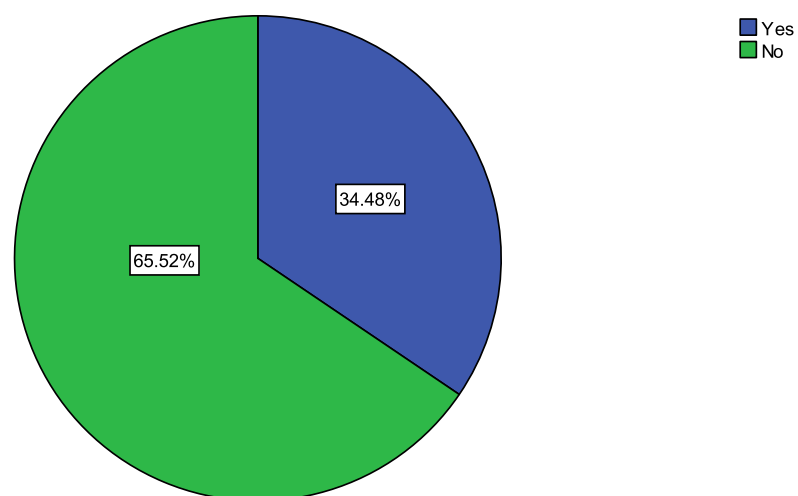
Figure 4.4: Whether Ministries have Adequate and Appropriate Facilities for RM

Furthermore, good records management practices require the availability of effective measures that guard records against unauthorized access, alteration and destruction. In view of this, the study posed a question to registry officers to determine the level of effectiveness of the measures in place in protecting records against unwarranted access, alteration and destruction. Thus, Table 4.10 illustrates the effectiveness of these measures from the central registries of the two ministries. The results indicated that the measures did not fully serve their intended purpose as only 20.7% of the respondents affirmed that measures were mostly effective. 48.3% of the respondents believed that these measures were partially effective while 31.0% noted that they were not effective. Therefore, it can be deduced that records in these ministries are exposed to unauthorized access, alteration and destruction. This affected their authenticity and fixity.

Table 4.10: Effectiveness of Measures in guarding against Unauthorized Access, Alteration and Destruction

Effectiveness of measures in guarding against unauthorized access, alteration and destruction		
	Frequency	Percent
Mostly Effective	6	20.7
Partially Effective	14	48.3
Not Effective	9	31.0
Total	29	100.0

Again, good records management practices require that the program should be effective in tracking the movement of files in the organization. With respect to this, the study sought to determine if the existing recordkeeping programs of the two ministries were capable of tracking files. As illustrated in Table 4.11, only 27.6% of the respondents believed that the programs were mostly capable of tracking files in these ministries, 31.0% of the registry officers noted that they were capable while 41.4% of the officers pointed out that the programs were slightly capable of tracking files in the two ministries. Consequently, the results implied that the movement of files in the ministries could not be fully tracked and that these resulted in security and retrievability challenges.

Table 4.11: Record Keeping Programs Capability in Tracking Files in the Ministries

Recordkeeping Programs capability in tracking files in the ministries		
	Frequency	Percent
Mostly Capable	8	27.6
Capable	9	31.0

Slightly Capable	12	41.4
Total	29	100.0

Additionally, implementation of any records management program is likely to be faced with numerous challenges. Therefore, the study sought to determine some of these challenges facing the two ministries from the perspective of registry officers. Accordingly, Table 4.12 indicates the weaknesses of the records management programs in the two ministries. The results (31.0% of respondents) indicated that inadequate storage facilities were the biggest impediment to implementation of records management programs in the two ministries. This problem is compounded with the less space allocated to the registry as was revealed by 24.1% of respondents. Slow records retrieval was also highlighted by 20.7 of the registry officers as one of the weaknesses of these programs. Besides, low morale of records management staff was mentioned by 17.2% of the registry officers as another weakness of the programs. Lastly, 6.9% of the registry officers noted that unqualified staff working in the registries in these ministries constituted a weakness of the records management programs in government ministries.

Table 4.12: Weaknesses of the RM Programs in Government Ministries

Weaknesses of the RM Programs in government ministries		
	Frequency	Percent
Unqualified staff	2	6.9
Inadequate Registry Space	7	24.1
Inadequate Storage Facilities	9	31.0
Low Morale of RM Staff	5	17.2
Slow Retrieval of Records	6	20.7
Total	29	100.0

In relation to the existing weaknesses relating to the records management programs in the government ministries, it was important to establish how such weaknesses were being addressed. As such, the study posed a question to registry officers in the central registries of the two ministries as to how they were dealing with these challenges. Graph 4.4 illustrates measures that have been undertaken by the two ministries in dealing with these weaknesses. As indicated in the table, it was established that the two ministries were undertaking a number measures in addressing recordkeeping related challenges. Based on this, 24.1% of the registry officers affirmed that capacity building was being advanced while 17.2% alluded that the ministries were allocating more resources to records management programs. On the other hand, 10.3% of the records officers noted that awareness programs on recordkeeping practices were being carried out. In addition, automation was mentioned by 41.4% of the registry officers as a measure that had been adopted in addressing these challenges. Lastly, 6.9% of the registry officers pointed out that records management staff were being provided with motivational factors such as provision of opportunities for professional development such as seminars, workshops among others.
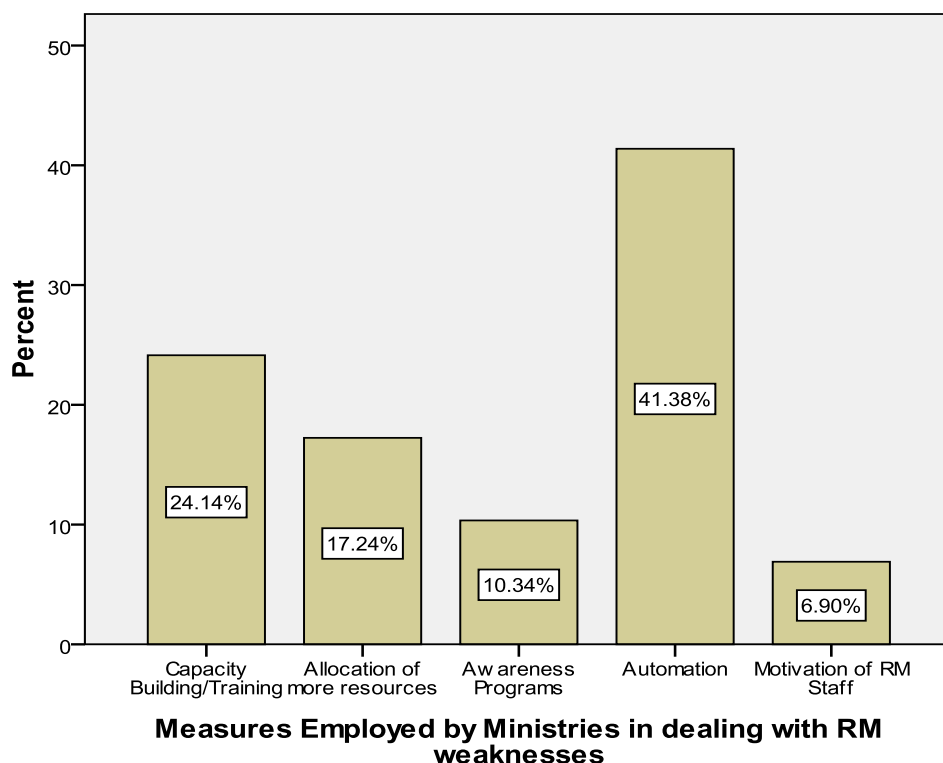
Figure 4.5: Measures Employed by Ministries in Dealing with RM Weaknesses

4.4 Integration of Records Management as Part Of Business Processes

Notably, it was important to assess the integration of records management as part of business processes. With respect to this, the study sought to determine if recordkeeping responsibilities were included in Staff Performance Agreements. Hence, Tables 4.12 and 4.13 illustrated the results obtained from both the central registry staff and the heads of departments. As shown in tables, it was determined that recordkeeping responsibilities are only included in the performance agreements of the records management staff. A percentage of 75.9% of the central registry staff noted that such responsibilities were always included, 17.2% noted that they were occasionally included while only 6.9% pointed out that they were rarely included. On the other hand, according to the heads of

departments, recordkeeping responsibilities are not prioritized in the performance agreements of staff as 71.2% affirmed that such are rarely included. Only 9.6% of the heads of departments noted that recordkeeping responsibilities are occasionally included in staff performance agreements while 19.2% affirmed that such responsibilities were never included. This implied that recordkeeping responsibilities were only given to records management staff, but not to other staff in the government ministries. However, from the interview conducted to the Director of the KNADS and the Secretary of the technical committee on records management at the Kenya Bureau of Standards, concerning recordkeeping responsibilities in the government ministries, they all concurred that such responsibilities should be included in each staff performance agreement. In the words of the KNADS director:

> All employees in the organization create and use records, hence they should be responsible to ensure that such records were well managed. However, such responsibilities should be reinforced among the registry staff as the custodians of the records and also among senior management as they are the central users of records (KNADS Director).

The assertion by the Director, KNADS concurred with the position of Wamukoya (2000) who noted that recordkeeping is a collaborative responsibility which should be assigned to all employees in the organization.

Table 4.12: Integration of Record Keeping Responsibilities in Staff Performance Agreements (Registry Staff Perspective)

Recordkeeping responsibilities are included in performance agreements		
	Frequency	Percent
Always	22	75.9
Occasionally	5	17.2
Rarely	2	6.9
Total	29	100.0

Table 4.13: Integration of Record Keeping Responsibilities in Staff Performance Agreements (HODs Perspective)

Recordkeeping responsibilities are included in performance agreements		
	Frequency	Percent
Occasionally	5	9.6
Rarely	37	71.2
Never	10	19.2
Total	52	100.0

In addition, in monitoring and evaluation of records management programs, it is important for an organization to make recordkeeping one of its key performance indicators. In that case, the study posed a question to its respondents to establish if effective records management practices were being undertaken as one of the key performance indicators in the government ministries. The results were as illustrated in Tables 4.14 and 4.15. From the registry staff perspective, 6.9% of the respondents noted that effective recordkeeping was occasionally made one of the key performance indicators. On the other hand, 20.7% of the central registry staff alluded that record keeping was rarely made one of the key performance indicators while 72.4% of the respondents affirmed that record keeping had not been made one of the key performance

indicators in the government ministries. Additionally, from the heads of departments'

perspective, 11.5% of them pointed out that effective recordkeeping was occasionally

made one of the key performance indicators while 50.0% mentioned that it was rarely

included as part of key performance indicators. On the other hand, 38.5% noted that

effective recordkeeping was never included as part of key performance indicators in

government ministries. From the two perspectives, it can be affirmed that effective

recordkeeping was not part of key performance indicators in government ministries. This

was contrary to what IRMT (1999) held that effective records management should be one

of the key performance indicators in an organization that values records management.

With respect to this, when the Director of the KNADS and the Secretary of the technical

committee on records management at the Kenya Bureau of Standards were asked on what

should be some of the key performance indicators for records management programs in

government ministries, they mentioned compliance to the records management legal

framework such as the Public Archives and Documentation Service Act (Cap 19). Others

mentioned were the records management policies and procedures as well as retrievability,

traceability and security of records.

Table 4.14: Effective Recordkeeping is one of the KPI in the Ministries (Registry Staff perspective)

Effective RK is one of KPI in the ministries		
	Frequency	Percent
Occasionally	2	6.9
Rarely	6	20.7
Never	21	72.4
Total	29	100.0

Table 4. 15: Effective Recordkeeping is one of the KPI in the Ministries (HODs perspective)

Effective RK is one of KPI in the ministries		
	Frequency	Percent
Occasionally	6	11.5
Rarely	26	50.0
Never	20	38.5
Total	52	100.0

Significantly, responsibilities in capturing records should be assigned to respective operational units. This helps to ensure that every business activity is documented thus helping in developing traceability of business processes. In line with this, the study sought to determine from both the central registry staff and the Heads of Departments if these responsibilities were assigned to respective operational units. The findings obtained from the central registry staff were as indicated on Table 4.16. As illustrated in the table, 69.0% of the central registry staff indicated that operational units were always assigned records management responsibilities and that they were involved in records capturing responsibilities. In addition, 20.7% of the respondents noted that the operational units were occasionally assigned records capturing responsibilities. Only 10.3% of the central registry staff alluded that the operational units were rarely involved in these responsibilities. On the other hand, respondents from the segment of the heads of departments were as shown in Table 4.17. From the perspectives of the heads of departments, 84.6% affirmed that operational units were always assigned records capturing responsibilities while 15.4% of them pointed out that they were occasionally

involved. Thus, it was deduced that that operational units in government ministries were involved in the records capturing responsibilities.

Table 4.16: Operational Units are Assigned Records Capturing Responsibilities (Registry Staff Perspective)

Operational units are assigned records capturing responsibilities		
	Frequency	Percent
Always	20	69.0
Occasionally	6	20.7
Rarely	3	10.3
Total	29	100.0

Table 4.17: Operational Units are Assigned Records Capturing Responsibilities (HODs Perspective)

Operational units are assigned records capturing responsibilities		
	Frequency	Percent
Always	44	84.6
Occasionally	8	15.4
Total	52	100.0

Moreover, recordkeeping requirements are supposed to be developed based on the organizational business processes. For that case, the study sought to find out if recordkeeping requirements in the government ministries are developed based on assessed ministries' business activities. Thus, Tables 4.18 and 4.19 illustrate whether ministries' recordkeeping requirements were based on their assessed business activities. As indicated in the tables, 20.7% of the central registry staff indicated that recordkeeping

requirements were always developed based on the assessed business activities of the ministries compared to 7.7% of the heads of department. On the other hand, 62.1% of the central registry staff noted that development of the recordkeeping requirements was occasionally based on assessed business activities compared to 50.0% of the heads of departments. However, 17.2 and 42.3% of the central registry staff and the heads of departments respectively alluded that recordkeeping requirements of the ministries are rarely developed based on the assessed business activities. Thus, it can be affirmed that recordkeeping requirements in the two ministries were developed occasionally based on assessed business activities. However, in some instances, some recordkeeping requirements were developed without consideration of business activities of these ministries. This was contrary to what Jones (2003) asserted that recordkeeping requirements should always be developed based on the organizational business processes as a requirement of aligning business process with records management.

Table 4.18: RK Requirements are Assessed Based on Business Activities (Registry Staff Perspective)

RK requirements are assessed based on business activities		
	Frequency	Percent
Always	6	20.7
Occasionally	18	62.1
Rarely	5	17.2
Total	29	100.0

Table 4.19: RK Requirements are Assessed Based on Business Activities (HODs Perspective)

RK requirements are assessed based on business activities		
	Frequency	Percent
Always	4	7.7
Occasionally	26	50.0
Rarely	22	42.3
Total	52	100.0

4.5 Investigation on whether Functional Audits also included Records Management Programs

The study sought to find out whether records management programs in the selected ministries were audited along with other functional areas such as finance and human resource. This was important since audit is a key function of monitoring and evaluation processes. Figure 4.6 and table 4.20 illustrate functional areas which were audited in government ministries from the central registry staff and heads of departments' respectively.

As shown in the tables, it was established that the records management function was not included among functions that were audited while finance, human resource, procurement and ICT were determined at 58.6, 27.6, 10.3, 3.4% respectively of central registry staff. The same views were also held by the heads of departments as they noted finance, human resource, procurement and ICT to be functions that were audited at 53.8, 28.8, 13.5 and 3.8% respectively. It can thus be deduced that records management function in

government ministries is not audited which makes monitoring and evaluation a challenge. Also, the Director of the KNADS and the secretary of the technical committee on records management at the Kenya Bureau of Standards affirmed in their interview that finance, human resource and procurement were the functions which were audited in government ministries. The findings also did not concur with the position of Bearman (2004) who pointed out that critical organizational functions are supposed to be audited regularly to guard against adverse impacts that may result from their mismanagement. Bearman noted that such functions include records management.
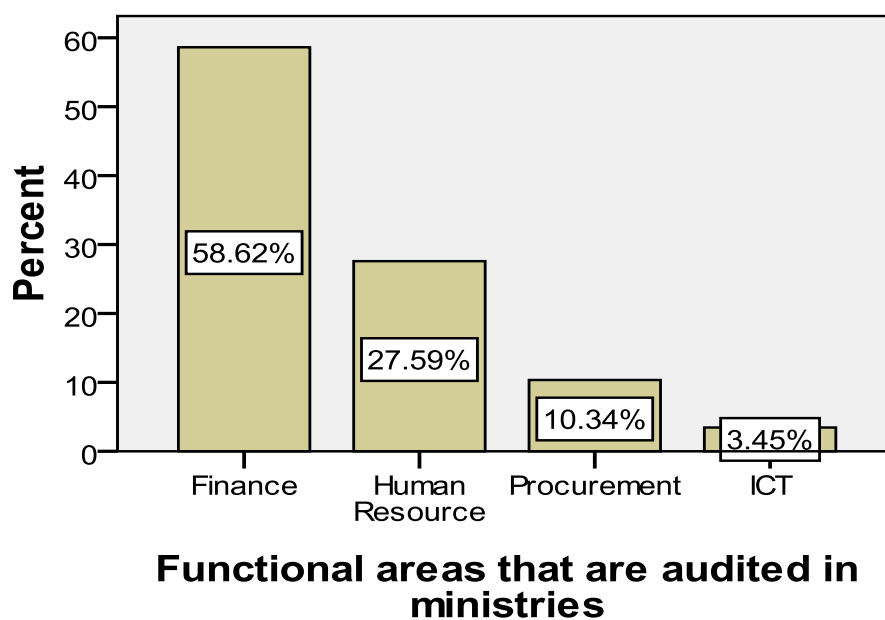
Figure 4.6: Functional Areas that are Audited in Government Ministries (Registry Staff Perspective)

Table 4.20: Functional Areas that are Audited in Government Ministries (HODs Staff Perspective)

Functional areas that are audited in ministries		
	Frequency	Percent
Finance	28	53.8
Human Resource	15	28.8
Procurement	7	13.5
ICT	2	3.8
Total	52	100.0

Besides, the auditing function relies on the documentation of processes. For that matter, it was important to establish the extent to which records have facilitated the auditing function. Accordingly, Tables 4.21 and 4.22 indicate the results from both the central registry staff and the heads of departments respectively. From the results indicated in table 4.28, it was evident that central registry staff believed that records contributed immensely to the auditing process as 6.9, 72.4, 20.7%s of these staff pointed that they had facilitated to a very great extent, great extent and moderate extent respectively. On the other hand, the heads of departments pointed out that records had not facilitated auditing function as expected as only 1.9 and 3.8% noted that they had facilitated auditing to a very great extent and to great extent respectively. On the other hand, 57.7% of the heads of departments noted that records had only facilitated this to a moderate extent, 32.7% of them believed that they had contributed to a less extent while 3.8% believing that the records had not helped in the auditing process. Again, from the interview conducted with the Director of KNADS and the secretary of the technical

committee on records management, they held a similar position that auditing functions in government ministries had in most cases been hampered by ineffective records since documentation of some processes was never provided. Therefore, it can be deduced that records management staff have not monitored and evaluated their functions as there is a disconnect between what they believe to be the contribution of records to the auditing function and the satisfaction level of user departments.

Table 4.21: Extent Records have Facilitated Audits of Functions (Registry Staff Perspective)

The extent records have facilitated audits of functions		
	Frequency	Percent
Very Great Extent	2	6.9
Great Extent	21	72.4
Moderate Extent	6	20.7
Total	29	100.0

Table 4.22: Records have Facilitated Audits of Functions (HODs Staff Perspective)

Extent to which RM facilitate audits of the functions		
	Frequency	Percent
Very Great Extent	1	1.9
Great Extent	2	3.8
Moderate Extent	30	57.7
Less Extent	17	32.7
Not at all	2	3.8
Total	52	100.0

4.6 Mechanisms and Tools used in Conducting Records Management Audits and or Evaluations

Additionally, the study sought to understand the mechanisms and tools used in conducting records management audits and/ or evaluations in these ministries. The mechanisms are referred to as best practice standards and include ISO 15489 which is a records management standard. The central registry staff were therefore asked first and foremost whether they were aware of the ISO 15489. Thus, Table 4.23 illustrates the level of awareness of ISO 15489 of the registry staff of the two ministries. It was established that 86.21% of the central registry staff of the two ministries were not aware of the standard as only 13.79% of them were aware of the standard. This can be attributed to the inadequate professional training of the registry officers.

Table 4.23: Level of Awareness of ISO 15489 of the Registry Staff of the two Ministries

Awareness of ISO 15489 by Registry Staff		
	Frequency	Percent
Yes	4	13.8
No	25	86.2
Total	29	100.0

Secondly, a question was asked on whether, these ministries had incorporated ISO 15489 in their records management programs. As such, the study sought to know from both the central registry staff and the heads of departments if these ministries had already incorporated the standard. The findings as indicated in Chart 4.2 and 4.24 showed that the standard had not been incorporated in the records management functions of these

ministries as 13.8% of the registry staff who had indicated in Chart 4.2 of being aware of the standard affirmed that it had not been incorporated in the ministries as indicated in table 4.24. On the other hand, 100.0% of the heads of departments as illustrated in Table 4.24 affirmed that the standard had not been incorporated in the records management function of the ministries. In addition, the Director of KNADS and the secretary to the technical committee on records management of the KEBS affirmed that these two government ministries had not incorporated ISO 15489 in their records management. This indicated that there were inadequate tools that can be used in the monitoring exercise in the area of records management in these ministries. These findings do not concur with Fanning (2002) who noted that there should be standards and legal framework to govern records monitoring and evaluation process.
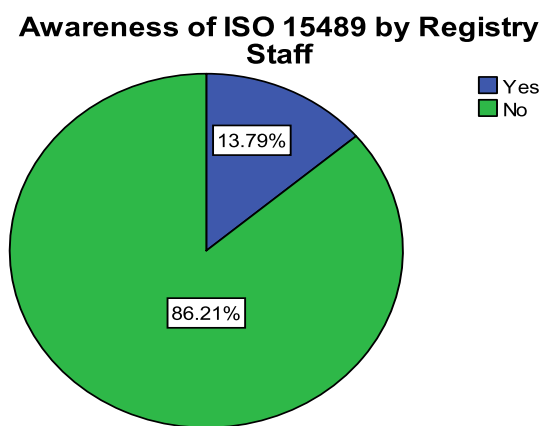
Figure 4.7: Whether ISO 15489 has been Incorporated in RM Program (CR Staff Perspective)

Table 4.24: Whether ISO 15489 has been incorporated in RM Program (HODs Perspective)

Whether ISO 15489 is incorporated in RM Program			
		Frequency	Percent
Valid	No	52	100.0

Besides, another requirement among the best practices is the application of a standard records classification scheme. Hence, the study sought to establish from the central registry staff if the selected government ministries have a standard records management scheme. As indicated in Table 4.25, 100.0% of the respondents indicated that the ministries used standard records management classification schemes. Also, both the Director of KNADS and the secretary of the technical committee on records management of the KEBS affirmed in their interviews that these ministries had standard records management classification schemes which guided them in the classification of their records.

Table 4.25: Application of Standard Records Management Classification Scheme

Application of standard records management classification scheme			
		Frequency	Percent
Valid	Yes	29	100.0

Again, best practices in records management require that classification a scheme should be developed based on the business processes of an organization. In that case, the study sought to determine from the central registry staff if the records classification schemes used by the government ministries were derived from the analysis of their business

activities. As illustrated in Table 4.26, 75.9% of the respondents noted that the schemes were derived from analysis of business activities of these ministries while only 24.1% opined that this was not the case. This indicates that despite the schemes having been developed after analysis of business activities, there existed some elements of the schemes which were developed without putting into consideration business activities of the ministries.

Table 4.26: Classification Scheme is derived from Analysis of Business Activities

Classification Scheme is derived from analysis of business activities			
		Frequency	Percent
Valid	Yes	22	75.9
	No	7	24.1
	Total	29	100.0

In addition, a good records management program calls for adherence to retention and disposal procedures. For that matter, the study sought to establish from the central registry staff if there were documented procedures for disposal of records in these ministries. As illustrated in Table 4.27, it was affirmed by 89.7% of the respondents that there were documented procedures for disposal of records in the ministries with only 10.3% with assertion that there were no such procedures. It can thus be said that there exist such procedures in government ministries but there have been insufficient awareness of the same. This was also confirmed by the Director of KNADS and the secretary to the technical committee on records management of the KEBS in their interview as they affirmed that such schedules have been developed for every ministry.

Table 4.27: Presence of Documented Procedures for Records Disposal

Presence of documented procedures for records disposal		
	Frequency	Percent
Yes	26	89.7
No	3	10.3
Total	29	100.0

With regard to the presence of documented procedures for records disposal, it was important to understand if the procedures were being followed by these ministries. Therefore, the study sought to establish if these ministries dispose their records based on the guidelines contained in the retention and disposal schedules. As indicated in Table 4.28, it was evident that government ministries do not use adopted disposal schedules as 55.2% of the respondents pointed out that these schedules were rarely used, 34.5% stated that they were never used while only 10.3% indicated that the schedules were occasionally used. Besides, both the Director of the KNADS and the secretary of the technical committee on records management at the KEBS pointed out in their interviews that these disposal schedules existed but they were rarely implemented.

Table 4.28: Records Disposal done under Authorized Disposal Schedules

Records disposal done under authorized disposal schedules		
	Frequency	Percent
Occasionally	3	10.3
Rarely	16	55.2
Never	10	34.5
Total	29	100.0

4.7 Standards and Best Practices used to Benchmark in Records Management

Development of a monitoring and evaluation framework for records management in the selected government ministries required understanding of the tools which are used in conducting records management audits and or evaluations. With respect to this, it was important for the study to establish if there were policies or legislations that provide for audits and evaluation of records management programs in the selected ministries. Hence, as illustrated in Tables 4.29 and 4.30, it was determined by 79.3, 80.8% of the central registry and heads of departments respectively that there existed a policy or legislation that supports audit and evaluation of the records management function. Only 20.7, 19.2% of the central registry and heads of departments respectively noted that there were no policies or legislation. From the interview with the Director of the KNADS and the secretary to the technical committee on records management of the KEBS, it was noted that the Public Archives and Documentation Service Act (Cap 19) provided for monitoring and evaluation of records management programs in government ministries.

Table 4.29: Presence of Policy/Legislation that Supports Audit and Evaluation of RM

Presence of a policy/legislation that supports Audits and Evaluation of RM		
	Frequency	Percent
Yes	23	79.3
No	6	20.7
Total	29	100.0

Table 4.30: Presence of Policy/Legislation that Supports Audit and Evaluation of RM

Presence of a policy/legislation that supports Audits and Evaluation of RM		
	Frequency	Percent
Yes	42	80.8
No	10	19.2
Total	52	100.0

With regard to the presence of policies and legislations in records management, the study sought to determine specific policies and legislations that were used in auditing and evaluation of the records management function. Thus, as shown in table 4.31, the central registry staff identified records management policies, standard operating procedures, Public Archives and Documentation Service Act (Cap 19), performance contracting and file retention and disposal schedules at 20.7, 17.2, 41.4, 6.9, and 13.8% respectively as existing policies, guidelines and legislations that guided audits and evaluation of records management of government ministries. Also, as illustrated in figure 4.8, heads of departments identified records management policies, standard operating procedures, Public Archives and Documentation Service Act (Cap 19), performance contracting and file retention and disposal schedules at 23.1, 11.5, 48.1, 7.7 and 9.6%s respectively.

Table 4.31: Legislations/Policies/Guidelines used in Auditing and Evaluation of RM (CR Perspective)

Legislations/Policies that are used in auditing and evaluation of RM		
	Frequency	Percent
RM policies	6	20.7
RM Standard Operating Procedures	5	17.2
Public Archives and Documentation Service Act Cap 19	12	41.4
Performance Contracting	2	6.9
File Retention and Disposal Schedules	4	13.8
Total	29	100.0
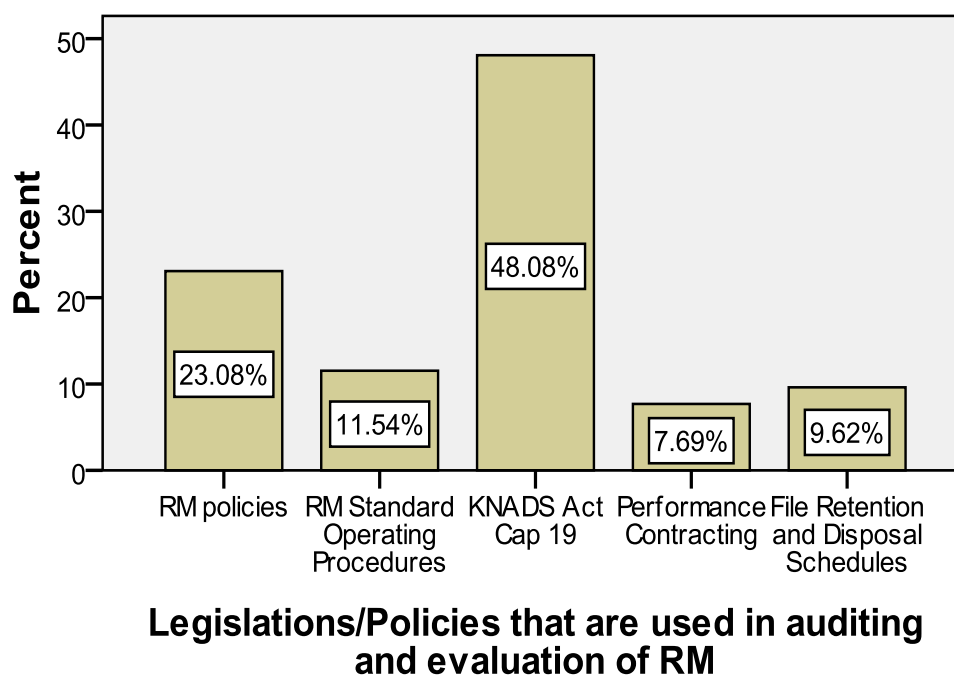
Figure 4.8: Legislations/Policies/Guidelines used in Auditing and Evaluation of RM (HODs Perspective

With the presence of policies, guidelines and legislations for records management, it was important for the study to determine whether audits and evaluation of records management functions in these ministries were undertaken. Thus, when the study posed a question as to how regularly audits and evaluations were undertaken, the outcomes were as indicated in table 4.32 and 4.33. It was determined that despite having policies, guidelines and legislations on records management, audits and evaluations were rarely undertaken as it was affirmed by 69.0 and 76.9%s of central registry staff and heads of departments respectively. On the other hand, 31.0 and 23.1%s of central registry staff and heads of departments respectively noted that audits and evaluations were never undertaken. This was also supported by the Director of the KNADS and the secretary to the technical committee on records management of the KEBS from their interviews. The officials pointed out that although such monitoring and evaluations were supposed to be undertaken; they were rarely done due to resource constraints facing the KNADS.

Table 4.32: How Regularly Audits and Evaluations of RM in the Ministry (CR staff Perspectives)

How regularly audits and evaluations of RM in the ministry		
	Frequency	Percent
Rarely	20	69.0
Never	9	31.0
Total	29	100.0

Table 4.33: How Regularly Audits and Evaluations of RM in the Ministry (HODs Perspectives)

How regularly audits and evaluations of RM in the ministry		
	Frequency	Percent
Rarely	40	76.9
Never	12	23.1
Total	52	100.0

With audits and evaluations being rarely conducted in government ministries, it was important for the study to establish challenges experienced in auditing and evaluations of records management programs. According to central registry staff as indicated in Table 4.34, lack of top management support, inadequate specialized staff , poor cooperation among registry staff and ineffective records management systems were determined to be challenges facing these ministries. The results indicated that challenges affecting auditing and evaluation of records programs in the government ministries were more associated with the management. On their part, the heads of departments believed that such challenges were associated with inefficiencies in records management programs. However, according to interviews that were conducted with the Director of the KNADS and the secretary of the technical committee in records management at the KEBS, it emerged that one of the major challenges undermining auditing and monitoring of the records management programs in government ministries was the under-funding of the KNADS by the central government. According to the secretary to the technical committee, "this constrained the operations of the KNADS in terms of having sufficient

human capital and the financial capital to facilitate the auditing and evaluation processes at the ministries".

Table 4.34: Challenges Experienced in Auditing and Evaluation of RM in the Ministry (CR staff Perspective)

Challenges experienced in auditing and evaluation of RM in the ministry		
	Frequency	Percent
Lack of top management support	15	51.7
Inadequate specialized staff	6	20.7
Poor cooperation among staff	3	10.3
Ineffective RM systems	5	17.2
Total	29	100.0

Table 4.35: Challenges Experienced in Auditing and Evaluation of RM in the Ministry (HODs Perspective)

Challenges experienced in auditing and evaluation of RM in the ministry		
	Frequency	Percent
Lack of top management support	6	11.5
Inadequate specialized staff	15	28.8
Poor cooperation among staff	14	26.9
Ineffective RM systems	17	32.7
Total	52	100.0

Having established that there were a number of challenges undermining monitoring and evaluation programmes, it was important to establish how they were being addressed by these ministries. Accordingly, as indicated in Table 4.36, it was determined that there

were a number of strategies that the government ministries were employing in addressing

the mentioned challenges. These strategies included providing additional records

management staff, training records management staff, institution of records management

committees, acquisition of specialized modern records management equipment and

automation of records management programs at 23.5, 37.0, 9.9, 13.6 and 16.0%

respectively. On the part of the Director of the KNADS and the secretary to the technical

committee on records management at the KEBS, it was determined from the interviews

that the Public Archives and Documentation Service Act (Cap 19) was being reviewed in

order to curb its weaknesses and to ensure that the KNADS was allocated sufficient

resources from the exchequer.

Table 4.36: How Challenges are Addressed in the Ministries

How challenges are addressed in the ministry		
	Frequency	Percent
Additional registry staff	19	23.5
Training of RM staff	30	37.0
RM Committee	8	9.9
Acquisition of specialized modern RM equipment	11	13.6
Automation	13	16.0
Total	81	100.0

Again, the study sought to determine improvements that can be done towards monitoring

and evaluation of records management programs in the government ministries. This was

important as it could help improve mechanisms being used by these ministries. As such,

as illustrated in Table 4.37, it was established that capacity building, awareness programs,

user feedback assessments, adoption of quality objectives, continuous improvements of

records management procedures were found to be useful strategies as they were rated at 30.9, 16.0, 13.6, 17.3, 11.1%s respectively. With respect to the improvements to the monitoring and evaluation of records management programs, the Director of the KNADS noted in the interview that such a function needed to be reinforced in the review of the Public Archives and Documentation Service Act (Cap 19) to legitimize annual audits of recordkeeping activities in ministries. In addition, the Director and the secretary of the technical committee on records management at the KEBS noted that government ministries needed to set up records management committees to be responsible for regular monitoring and evaluation of recordkeeping practices in the ministries.

Table 4.37: Improvements to Auditing and Evaluation of RM in the Ministries

Improvements to auditing and evaluation of RM in the ministries		
	Frequency	Percent
Capacity Building	25	30.9
Awareness Programs	13	16.0
User Feedback	11	13.6
Adoption of quality objectives	14	17.3
Continuous Improvement of RM procedures	9	11.1
Continuous Improvement of RM procedures	9	11.1
Total	81	100.0

4.8 Chapter Summary

This chapter presented, analyzed and interpreted the findings of the study in line with its objectives. Data for the study was collected using questionnaires as the main data collection tools while interviews were used as supplementary tools. The major finding of

the study were that the selected government ministries had ineffective records management programs that were not satisfying user needs; records management program were constrained by a number of challenges which included inadequate capacity, resources, non-implementation of legal and policy framework and non-adherence to standards and guidelines. In addition, records management programs were not audited like other functions such as finance, human resources, procurement and ICT. Again, auditing process of such functions was hindered by inadequate documentations. A number of strategies were suggested to improve the state of records management in these ministries. These included building capacity, allocation of enough resources, implementation of legal and policy framework and adherence to standards and guidelines.

CHAPTER FIVE

SUMMARY OF FINDINGS, CONCLUSION AND RECOMMENDATIONS

5.1 Introduction

The chapter presents a summary of the findings based on the six objectives of the study. It also presents a conclusion and recommendations of the study as well as suggestions for further research. The aim of this study was to assess the state of records management programs in selected government ministries with a view to developing a monitoring and evaluation framework geared towards improving the quality of records management programs in order to enhance service delivery. Hence, the chapter provides a monitoring and evaluation framework that, if adopted; it will help improve the quality of records management in the ministries.

5.2 Summary of Study Findings

Below is a summary of research findings based on the research objectives.

5.2.1 State of Records Management Programs in the Ministries

The study established that the state of records management in the selected ministries was not satisfactory. The following were observed:

- Records management programs in these ministries do not satisfy the needs of action officers as they do not always get the required records for their actions.

- There were cases of missing files in the ministries which affected the reliability of records management programs.

- Records in the ministries were exposed to unauthorized access, alteration and destruction which hampered their authenticity and fixity.

- The poor state of records management programs was caused by a number of challenges in the ministries which included inadequate qualified staff, low morale of records management staff, records retrieval challenges, minimal annual budgets for records management, inadequate and inappropriate facilities, and non-implementation of a records management scheme of service which demoralized qualified personnel from joining the service.

- However, the study noted that the selected government ministries were undertaking a number of strategies to overcome the aforementioned challenges. These included automation of records management programs, capacity building, allocation of enough storage space and implementation of quality management standards.

- There were some positive elements of records management in the selected government ministries. For instance, the ministries had documented records management policies and procedures and they had training programs for their records management staff that aimed at improving their capacities.

5.2.2 Integration of Records Management as Part of Business Processes

In establishing integration of records management as part of business processes in selected government ministries, the study came up with a number of findings as follows:-

- Recordkeeping responsibilities were only given to records management staff but not to other employees.

- Effective recordkeeping was not part of key performance indicators in the selected government ministries.

- Operational units in the selected government ministries were involved in capturing and monitoring records relating to their responsibilities.

- Recordkeeping systems in the affected ministries were developed based on the business activities. However, it was noted that in some instances, they were developed without considering these business activities.

5.2.3 Investigation on Whether Functional Audits also Extended To Records Management Programs

In determining whether functional audits were extended to records management programs in the selected ministries, the study established that:-

- Records management function was not included among functions that were audited while finance, human resource, procurement and ICT were regularly monitored through audits.

- Audits of auditable functions were hampered by ineffective records as some documentation of processes was never provided.

5.2.4 Mechanisms and Tools used in Conducting Records Management Audits and or Evaluations

On establishing the mechanisms and tools used in conducting records management audits and/ or evaluations in selected government ministries, the study established that:-

- The records management standard ISO 15489 was not incorporated as part of records management functions.

- Records management policies, procedures and disposal schedules existed but they were rarely implemented and adhered to.

- The ministries had standard records management classification schemes which guided in the classification of records.

- The records classification schemes were developed partly based on business activities of the ministries.

- Records retention and disposal schedules existed but they were rarely implemented and adhered to.

5.2.5 Standards and Best Practices used to Benchmark Records Management

On the standards and best practices used to benchmark records management programs in the selected ministries, the study established that:

- The ministries had records management policies and procedures that were rarely implemented;

- Government ministries were governed by Public Archives and Documentation Service Act Cap 19. The Act was often used to support audit and evaluation;

- In spite of the existence of various tools, monitoring and evaluations of records management activities was rarely done due to resource constraints facing the KNADS;

- Capacity building, awareness programs, user feedback assessments, adoption of quality objectives and continuous improvement of records management

procedures were found to be useful strategies to improve records management programs in the ministries;

- There was need to review the Public Archives and Documentation Service Act Cap 19 in order to incorporate a component of Records Management audit;

- That government ministries should set up records management committees that should be responsible for regular monitoring and/ or evaluation of recordkeeping function;

5.3 Conclusion

The study as part of its objectives, sought to determine the state of records management programs in the selected government ministries. Based on the findings of the study, it was concluded that there was poor state of records management in these ministries. This was based on the fact that the programs were not satisfying user needs as in most cases, the required records were not always provided. In addition, there were cases of missing files, unauthorized access, alteration and destruction of records which hampered their integrity, reliability, authenticity and fixity.

This finding concurs with the position held by Wamukoya (2000) as he noted that records management programs in the developing countries such as Kenya have been characterized by inconsistencies such as misfiling, loss of files, unauthorized access among others that go against codes of best practices in records management. Still, the World Bank (2004) asserts that in many transitional countries, record keeping systems are incapable of coping with the growing accumulation of poorly managed manual

records which makes their usability to be a problem. However, a good records management program should be able to provide records whenever they are required at the right time and to the right person to facilitate decision making process.

In assessing the integration of records management as part of business processes of the selected ministries, the study concluded that records management was partially integrated with other business processes. This was ascribed to the fact that effective recordkeeping was not part of key performance indicators in the ministries. Also, recordkeeping systems were developed partially based on assessed business activities while in some instance, the systems were developed in total disregard of business activities. This contributed to mismatch between records management and business activities that made records management programs unsatisfactory to their users. This finding concurred with the position held by Kennedy and Schauder (1998) who noted that problems in records management in many organizations are largely contributed by mismatch between business activities and the systems used in the management of these records.

On whether functional audits also extended to records management programs, the study concluded that the programs were not among those audited. However, other functions such as finance, human resources, procurement and ICT were regularly monitored through audits. Significantly, it was concluded that although some functions were audited, they were hampered by ineffective records due to poor documentations of certain processes. This again pointed to the poor state of records management programs that were unreliable. The finding agrees with the position held by the Auditor General (2012) as he attributed to inadequacies in financial audits on lack of clear mechanisms for

records management programs in government ministries and departments. This, according to the Auditor General's office, has contributed to accountability problems since public spending cannot be properly ascertained in most MDAs.

Additionally, on mechanisms and tools used in conducting records management audits and or evaluations, the study concluded that such tools were ineffective as some critical tools were missing. For instance, ISO 15489 that could help in monitoring and evaluation process of records had not been adopted by the ministries. Other tools such as records management policies, procedures and disposal schedules existed but were rarely implemented. Hence, it was concluded that there were no standard mechanisms followed in records management in these ministries, thus making monitoring and evaluation of the function impossible. The finding agrees with the position held by Jones (2003) who affirmed that standards, legislations and policies provide a measurable benchmark for monitoring and evaluating records management practices based on proven best practices. Thus, non-observance of these tools contributes to the poor state of recordkeeping systems in most organizations.

Again, on best practices used to benchmark records management in the selected government ministries, it was concluded that although the ministries were governed by Public Archives and Documentation Service Act Cap 19, this regulation was rarely implemented and followed by the ministries. Non implementation of the Act was attributed to a number of challenges which included resource constraints facing the Kenya National Archives and Documentation Service, a government department responsible for monitoring of records management programs in government ministries. In

line with this, World Bank (2004) noted that most transitional countries have legislations governing records management, but implementation of such laws were limited by financial and leadership problems facing such countries.

In view of these, there was a need to develop measures and strategies that will help in strengthening records management while enhancing monitoring and evaluation of these programs in the selected government ministries.

5.4 Recommendations

With respect to the findings of the study, the study proposed a number of recommendations that if adopted and implemented by these ministries, will help to improve the state of records management in the selected government ministries. The study recommends:

5.4.1 Development of Human Resource Capacity

One key finding of the study was that records were poorly managed in the ministries which was caused by lack of adequate qualified staff in records management field, low morale and retrieval challenges. In view of this, the study recommends that the ministries should adopt numerous strategies which include; to identify and recruit staff with the required skills and knowledge, undertake training of existing staff with competencies and skills in records management and conduct current awareness programs to ensure that all staff in the ministries are well informed of records management programs for them to appreciate and help in their implementation.

5.4.2 Implement a Scheme of Service for Records Management Staff

The study established that records management staff in government ministries did not have a proper scheme of service despite such a scheme having been developed by the Department of Personnel Management in 2012. This has been a demotivating factor to these staff as they lack career progression. Hence, the study recommends that the Public Service Commission of Kenya should implement this scheme for it to attract and retain more qualified records management professionals in the public service.

5.4.3 Sufficient Budgetary Allocations

The study found out that not a single ministry had a budgetary allocation for records management function. In view of this, the study recommended that The National Treasury should allocate more funds to the records management functions in government ministries that will be adequate to support development, adoption and implementation of systems and strategies that support sound records management. With enough budgetary allocations, the ministries will be able to acquire sufficient facilities and implement improvement strategies such as automation for improvement of the records management programs.

5.4.4 Assignment of Records Management Responsibilities

The findings indicated that records management in other departments was not taken as a core activity as records were not seen as a core resource like finances and human resource. This provided challenges in documenting processes performed by other departments, which resulted to transparency and accountability problems. Hence, the

study recommended that recordkeeping responsibilities should be assigned to all staff to ensure that records relating to their work processes are well captured. This will help in ensuring that records are captured in the ministry's recordkeeping systems rather than personal systems such as personal emails.

5.4.5 Adoption of Records Management as one of the Key Performance Indicators

The study established that effective records management was not part of key performance indicators in the selected ministries. Thus, the study recommends that effective records management should be adopted as a key performance indicator. This should be implemented as part of the strategies in strengthening the integration of records management programs as part of business processes in the ministries. According to Jones (2003), recordkeeping is a collaborative function that should be part of the targets of all staff in the organization. This will help to ensure that they are actively involved in documenting their work processes which helps to promote transparency and accountability. Based on this backdrop, the study recommends that the Public Service Commission should adopt effective recordkeeping as part of performance targets in the public service to help promote records management programs in these ministries and to help anchor these programs as part of business processes.

5.4.6 Adoption and Implementation of Records Management Standards

The study established that none of the ministries were adhering to records management best practices and standards. Records management is guided by ISO 15489. With respect to the monitoring function in records, Archives of Australia (2002) affirmed that ISO

15489 can be used since it covers all processes of records management and that it also tackles the regulatory aspects. Hence, it is important that these ministries adopt such standards of best practice and ensure their implementation. In addition, the study established that these ministries had developed records management policies, procedures and retention and disposition schedules that were never implemented. In view of this, the study recommends implementation of these instruments.

5.4.7 Regular Records Management Audits

The study found out that records management function was not included among functions that were audited while finance, human resource, procurement and ICT were regularly monitored through audits. In addition, despite having assisted most of the ministries in developing records management programs, policies, procedures and disposal and retention schedules, KNADS rarely carried out monitoring to ensure that these tools were implemented as required. Thus, the study recommended that KNADS should be actively involved in records management in the government ministries through regular monitoring of their records management functions.

5.4.8 Constitution of Records Management Committees for Internal Monitoring

As part of enhancing best practices, the study recommends formation and institutionalization of records management committees by each ministry. Countries such as South African have adopted records management committees whose mandate are to advise on overall records management in their respective public sector organizations (National Archives and Records Service of South Africa, 2006). According to the

National Archives and Records Service of South Africa, these committees help to ensure that records management programs adhere to the adopted policies, procedures and available legal framework. In view of this, the study recommends that records management committees should be formed and made operational in government ministries. The committees should then help in monitoring implementation of records management policies, procedures and Public Archives and Documentation Service Act Cap 19 which were not fully observed as determined by the study.

5.5 Proposed Framework for Monitoring and Evaluation of Records Management in the Selected Government Ministries

One of the specific objectives of the study was to develop an audit, monitoring and evaluation framework for records management programs to be applied in the selected government ministries for enhancement of service delivery. The study proposed a framework that, if adopted and implemented, will help promote records management in government ministries. The proposed framework is provided in figure 5.1 below.

Proposed Monitoring and Evaluation Framework for Records Management in the Selected Government Ministries

PHASE ONE   **PHASE TWO**   **PHASE THREE**

Recordkeeping Performance Assessment	Assessment of RM Environment	RM Improvement Program
Step1: Set Performance Objectives/Targets	Assess Legal & Policy Framework	Reviewing Legal & Policy Framework
Step 2: Develop Performance Measures based on: • Efficiency • Effectiveness • Economy	Assess Capacity Assess Standards & Guidelines Assess RM Systems	Developing human resource capacity Reviewing Standards & Guidelines Improving Resources
Step3: Collect Data Step 4: Analyze Data	Report on the RM Environment & its Improvement Strategies	Improving RM Systems
Step 5: Report Results		

Figure 5.1: Proposed Monitoring and Evaluation Framework for Records Management in Selected Government Ministries

Source: Adopted and modified from State Records Authority of New South Wales (2003) on Monitoring Recordkeeping Performance

5.5.1 Explanation of the Monitoring and Evaluation Framework

The proposed framework is aimed at improving records management programs in government ministries by ensuring that the programs are monitored and evaluated to ensure that continual improvement strategies are put in place. This framework is broadly categorized into three key phases, namely; recordkeeping performance assessment, assessment of records management environment and records management improvement program. The first phase was adopted from the State Records Authority of New South Wales (2003) on Monitoring Recordkeeping Performance while the second and the third phases were informed by the findings of the study.

Phase 1: Recordkeeping Performance Assessment

Monitoring and evaluation of records should be incorporated into the regular activities of the records management program in any organization. The general objectives of this exercise should be aligned with the objectives of the records management program which should be set at the start of each planning cycle. There may be times when special monitoring may be undertaken to address critical failures of the recordkeeping program. However, under normal operations, recordkeeping performance assessments should be undertaken annually for continual improvements. In conducting this assessment, there are five (5) steps that have to be undertaken. The first step is setting performance targets which should be followed by the development of performance measures that should help to determine if set targets are being attained. Thereafter, data should be collected, analyzed and a report generated on the status of recordkeeping performance. These steps are explained below.

Step1: Setting Performance Targets

This is the first step where clear performance targets must be defined and must be related to the records management objectives. Examples of the performance targets may be:

i. To ensure that all staff are aware of the organization's policy on records management;

ii. To ensure that records are protected and secured from unauthorized alteration, access or deletion;

iii. To implement strategies that ensure all records users access records when required;

iv. To ensure that records are captured and managed into official recordkeeping systems;

After setting performance targets, the second step is to develop performance measures.

Step 2: Developing Performance Measures

Performance measures are the benchmarks that are used to determine whether the targets are being met or not. Importantly, the measures developed at this step should be related to the targets set earlier. These measures can be used to determine the effectiveness; efficiency or economy (3 E's) of the records management program as illustrated in Table 5.1.

Table 5.1: Sample of a Performance Measure Checklist on 3E's

Type of Performance Measure	Specific Measures
Effectiveness	o Audit inquiries relating to recordkeeping are met satisfactorily o Satisfied records users
Efficiency	o Number of records related complaints o Speed of records retrieval o Inquiries accomplished within X minutes
Economy	o Cost per file created o Cost per record retrieved o Cost per file managed

Step 3: Collecting Data

Data collection is guided by questions which are formed based on the performance targets and measures set earlier at the beginning of the monitoring cycle. The method of data collection should be relevant to the kind of information to be collected. Some of the methods that can be employed include file audits, observation, interviews, focus groups and surveys among others.

Step 4: Analyzing Data

The collected data is supposed to be analyzed by checking the results against performance targets. Also, the current performance is supposed to be reviewed against the previous years in order to monitor trends in the records management program. The results are supposed to indicate the strengths and weaknesses of the programs and how the gaps can be fixed.

Step 5: Reporting Results

In reporting results, strategies intended to address the gaps and the causes of problems that were identified in the process are developed and factored in the report. These strategies may be considered in the long term planning or may be implemented as 'quick wins' depending on the gaps or problems being addressed. The information on performance improvements are supposed to be reported to the management in order to be considered in future planning and review.

Phase 2: Assessment of Records Management Environment

The second phase of the framework entails assessment of the records management environment. Recordkeeping performance assessment may establish that the records management program is performing unsatisfactory, hence, the need for an assessment of the entire records management environment for improvement of the program. In this exercise, strengths, weaknesses, threats and opportunities of the program are established. Some of the areas assessed include the legal and policy framework; standards and guidelines governing records management in the organization. In addition, records management human capacity, systems and related records management resources are also determined. Based on the results of the assessment, improvement strategies are designed through a planning process that are meant for improvement of the state of records management in the organization.

Phase 3: Records Management Improvement Program

The third phase involves implementation of strategies that are contained in the records management and improvement strategies report generated in Phase One; Step 5. Improvement program may entail restructuring of records management systems in the effort

of sealing identified gaps. This may include adopting and implementing electronic records management system, implementing new records management standards and guidelines, operationalization of legal and policy framework and building records management capacity which are taken as key pillars of the process. Notably, phase three aims to improve the state of records management in the organization and therefore, it should bring all stakeholders on board. Imperatively, change management strategies need to be put in place to reduce resistance from different players. Lastly, the process needs to be repeated from phase one to phase three in a regular interval for continual improvement.

5.6 Suggestions for Further Research

The study established that records management programs in these ministries were not satisfying user needs. This was partly contributed by the fact that the ministries had no mechanisms in place to measure effectiveness of their programs. In view of this, the study suggested further research to be conducted on the Key Performance Indicators (KPIs) in the Implementation of Records Management Programs. This will help to develop KPIs that will help in the monitoring and evaluation of the records management in determining whether the intended outcomes are being attained.

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APPENDICES

APPENDIX I: LETTER OF TRANSMITTAL

Dear Respondent,

RE: REQUEST TO COLLECT DATA FOR M.PHIL. THESIS

I am a post graduate student at Moi University in my final year of study. As part of the requirement for the award of the degree of Master of Philosophy in Information Sciences, I'm undertaking a research on '**Developing a monitoring and evaluation framework for records management programs for selected government ministries in Kenya'**.

In this regard, I'm kindly requesting for your support in terms of time, and by responding to the attached questionnaire. Your accuracy and candid response will be critical in the attainment of the objectives of the research.

It will not be necessary to write your name on this questionnaire, all information received will be treated in strict confidence. In addition, the findings of the study will surely be used for academic research purposes and to enhance knowledge in the field of records management.

Thank you for your valuable time on this.

Yours faithfully,

VINCENT MBEMBE TABUCHE – IS/MPHIL/021/12

Moi University

APPENDIX II: QUESTIONNAIRE FOR THE CENTRAL REGISTRY STAFF

Introduction

Dear respondent,

My name is **Vincent Tabuche, a** student at **Moi University-Nairobi Campus** School of Information Sciences, pursuing a Master of Philosophy Degree in Information Sciences (Records and Archives Management). As part of the requirements for this degree, I am undertaking a research project titled, "Developing a Monitoring and Evaluation Framework for Records Management in Selected Government Ministries in Kenya".

The aim of this study is to assess the state of records management programs in the selected government ministries with a view to developing a monitoring and evaluation framework geared towards improving the quality of records management programs in order to enhance service delivery.

I kindly request you to fill this questionnaire to assist me attain the aim of this research. All the information provided will be accorded the confidentiality it deserves and will only be used for the purpose of this research.

SECTION A: GENERAL INFORMATION

1. Ministry: ………………………………………………………………
2. Department : ………………………………………………………..
3. Designation: ………………………………………………………..
4. Total work experience in the ministry:

0-5 yrs	[ ]	5-10 yrs	[ ]
10-15	[ ]	Over 15 yrs	[ ]

5. Highest formal education and qualification:

Certificate/ Diploma	[ ]	Undergraduate	[ ]
Masters	[ ]	Doctorate	[ ]

Other (Specify)……………………..........

SECTION B: STATE OF RECORDS MANAGEMENT IN THE GOVERNMENT MINISTRIES

1. Does the ministry have a well-structured/coordinated records management program?

   ☐ Yes   ☐ No

2. Is the records management program supported by:-

    a. A documented policy statement?   ☐ Yes ☐ No

    b. Documented user procedures or guidelines?   ☐ Yes ☐ No

3. Does the ministry have a training program for records management staff?

    ☐ Yes ☐ No

4. Does the ministry have adequate and appropriate facilities dedicated specifically for records management?

    ☐ Yes ☐ No

5. Are measures in place to protect records and recordkeeping systems from unauthorized access, alteration and destruction effective? Please rate by ticking (√) in the table below.

	Protected against unauthorized access, alteration and destruction
Fully effective	☐
Mostly effective	☐
Partially effective	☐
Not effective	☐
Not applicable	☐

6. Is the ministry's recordkeeping program effective in tracking records/files in the ministry? Please rate by ticking (√) in the table below.

	System ability to track records/files
Fully Capable	☐
Mostly capable	☐
Capable	☐
Slightly capable	☐
Not capable	☐

7. What could you consider as some of the weaknesses of this records management program?

    1. ……………………………………………………………

    2. ……………………………………………………………

    3. ……………………………………………………………

8. How does the ministry deal with these challenges?

    1. ……………………………………………………………

    2. ……………………………………………………………....

    3. ……………………………………………………………

Section C: Records Management as part of business processes in the ministry

No	Statement	Tick appropriately			
		Always	Occasionally	Rarely	Never
1	Recordkeeping responsibilities are included in staff performance agreements				
2	Effective recordkeeping is taken as one of the Key Performance Indicators in the organization				
3	Responsibilities to capture records is assigned to respective operational units				
4	Recordkeeping requirements are assessed based on the ministry's business activities				

Section D: Audits and Records Management programs

1. In which functional areas are audits carried out in the ministry?

   ☐ Finance   ☐ ICT

   ☐ Human resource   ☐ Records management

   ☐ Procurement   others (specify):
   ………………………………………………………

2. To what extend has records facilitated audits of these functions

   ☐ Very Great Extent   ☐ Great Extent

   ☐ Moderate Extent   ☐ Less Extent

   ☐ Not at all

Section E: standards and best practices used in records management in the ministry

1. Are you aware of ISO 15489?

   ☐   Yes   ☐   No

2. If yes in question 1, has the ministry incorporated it in its Records Management program?

☐ Yes ☐ No

3. Does the ministry have a standard records classification scheme?

☐ Yes ☐ No

4. If yes in question 3 above is this scheme derived from analysis of business activities? ☐ Yes ☐ No
5. Are there documented procedures for disposal of records in the ministry?

☐ Yes ☐ No

6. If yes in question 5 above, does the ministry undertake disposal activity under authorized disposal schedules? Please rate by ticking (√) in the table below.

Always	☐
Occasionally	☐
Rarely	☐
Never	☐

SECTION F: Tools used in conducting records management audits and or evaluations

1. Is there a policy or legislation that provides for audits and evaluation of records management programs?

☐ Yes ☐ No

2. If yes in question 1 above, what are these legislations/policies that are used in auditing and or evaluation of records management programs in the ministry?
   1. …………………………………………………………….
   2. …………………………………………………………….
   3. …………………………………………………………….
   4. …………………………………………………………….

3. If yes in question 1 above, how regularly do audits and evaluation of records management programs undertaken

Always	☐
Occasionally	☐
Rarely	☐
Never	☐

4. What are the challenges experienced in auditing and or evaluations of records management programs in the ministry?

    1. ………………………………………………………….
    2. …………………………………………………………
    3. …………………………………………………………
    4. …………………………………………………………

5. Incase there are challenges, how are they addressed in the ministry?

    1. ………………………………………………………….
    2. …………………………………………………………
    3. …………………………………………………………
    4. …………………………………………………………

6. What improvements can you suggest to the auditing and evaluation of records management in the ministry?

    1. ....
    2. ....
    3. ....

APPENDIX III: QUESTIONNAIRE FOR THE HEADS AND THEIR DEPUTIES OF DEPARTMENTS/UNITS/SECTIONS

Introduction

Dear respondent,

My name is **Vincent Tabuche, a** student at **Moi University-Nairobi Campus** School of Information Sciences, pursuing a Master of Philosophy Degree in Information Sciences (Records and Archives Management). As part of the requirements for this degree, I am undertaking a research project titled, "Developing a Monitoring and Evaluation Framework for Records Management in Selected Government Ministries in Kenya".

The aim of this study is to assess the state of records management programs in the selected government ministries with a view to developing a monitoring and evaluation framework geared towards improving the quality of records management programs in order to enhance service delivery.

I kindly request you to fill this questionnaire to assist me attain the aim of this research. All the information provided will be accorded the confidentiality it deserves and will only be used for the purpose of this research.

SECTION A: GENERAL INFORMATION

1. Ministry: ……………………………………………………………
2. Department : ………………………………………………………..
3. Designation: ………………………………………………………..
4. Total work experience in the ministry:

0-5 yrs	[ ]	5-10 yrs	[ ]
10-15	[ ]	Over 15 yrs	[ ]

Section B: Investigating state of records management in the government ministries

1. How would you rate records management in the ministry?

Excellent	☐
Very Good	☐
Good	☐
Average	☐
Below Average	☐
Poor	☐

2. Do the officers in ministry always get the records they need?

Always	☐
Occasionally	☐
Rarely	☐
Never	☐

3. What are some of the records related challenges encountered in the ministry?

    1. ……………………………………………………

    2. ……………………………………………………

    3. ……………………………………………………

4. How does the ministry deal with these challenges?

    1. ……………………………………………………

    2. ……………………………………………………....

    3. ……………………………………………………

Section C: Assessing Integration of Records Management as part of business processes in the ministry

No	Statement	Tick appropriately			
		Always	Occasionally	Rarely	Never
1	Recordkeeping responsibilities are included in staff performance agreements				
2	Effective recordkeeping is taken as one of the Key Performance Indicators in the organization				
3	Responsibilities to capture records is assigned to respective operational units				
4	Recordkeeping requirements are assessed based on the ministry's business activities				

Section D: Investigating whether audits carried out in other areas in the ministry also extends to Records Management programs

1. In which functional areas are audits carried out in the ministry?

☐ Finance   ☐ ICT

☐ Human resource   ☐ Records management

☐ Procurement   Others (Specify) ……………………………………….

2. To what extend do records facilitate audits of the functions?

☐ Very Great Extent ☐ Great Extent

☐ Moderate Extent   ☐ Less Extent

☐ Not at all

Section E: Establishing standards and best practices used in records management in the ministry

5. Has the ministry incorporated ISO 15489 on Records Management into its recordkeeping practices?
☐ Yes ☐ No

3. Is this standard known to all functional departments of the ministry?

☐ Yes ☐ No

4. To what extent has the standards been adhered to in the ministry?

Always	☐
Occasionally	☐
Rarely	☐
Never	☐

5. How can observance of this standard be improved in records management in the ministry?

1…………………………………………………………………………………

2…………………………………………………………………………………

3…………………………………………………………………………………

SECTION F: Mechanisms and tools used in conducting records management audits and or evaluations in the ministry

1. Is there a policy or legislation that provides for audits and evaluation of records management programs?

   ☐ Yes ☐ No

2. If yes in question 1 above, what are these legislations/policies that are used in auditing and or evaluation of records management programs in the ministry?
   1. ……………………………………………………………
   2. ……………………………………………………………
   3. ……………………………………………………………
   4. ……………………………………………………………

3. If yes in question 1 above, how regularly do audits and evaluation of records management programs undertaken

Always	☐
Occasionally	☐
Rarely	☐
Never	☐

4. What are the challenges experienced in auditing and or evaluations of records management programs in the ministry?
   1. …………………………………………………………
   2. ……………………………………………………………
   3. …………………………………………………………
   4. ……………………………………………………………

5. Incase there are challenges, how are they addressed in the ministry?

   1. …………………………………………………………….
   2. ……………………………………………………………
   3. ……………………………………………………………
   4. ……………………………………………………………

5. What improvements can you suggest to the auditing and evaluation of records management in the ministry?

   1. ....
   2. ....
   3. ....
   4. …………………………………………………………...

APPENDIX IV: INTERVIEW SCHEDULE FOR THE KNADS DIRECTOR AND SECTRETARY TO SUB-COMMITTEE ISO/TC 46/SC 11

Introduction

Dear respondent,

My name is **Vincent Tabuche, a** student at **Moi University-Nairobi Campus** School of Information Sciences, pursuing a Master of Philosophy Degree in Information Sciences (Records and Archives Management). As part of the requirements for this degree, I am undertaking a research project titled, "Developing a Monitoring and Evaluation Framework for Records Management in Selected Government Ministries in Kenya".

The aim of this study is to assess the state of records management programs in the selected government ministries with a view to developing a monitoring and evaluation framework geared towards improving the quality of records management programs in order to enhance service delivery.

I kindly request you to fill this questionnaire to assist me attain the aim of this research. All the information provided will be accorded the confidentiality it deserves and will only be used for the purpose of this research.

SECTION A: STATE OF RECORDS MANAGEMENT IN THE GOVERNMENT MINISTRIES

1. Do government ministries' records management programs have

   a. Records management policies?
   b. Documented records management procedures, manuals?

2. Do government ministries have a training program in records managers?
3. Do ministries have adequate and appropriate facilities dedicated specifically for records management?
4. What are some of the strengths of the records management programs in government ministries?
5. What do you consider to be the weaknesses of records management programs in government ministries?
6. How do the government ministries deal with these challenges?

SECTION B: RECORDS MANAGEMENT AND BUSINESS PROCESSES

1. How should recordkeeping responsibilities be implemented in records management programs in the government ministries?

2. What should be some of the key performance indicators for records management programs in the government ministries?
3. How should the requirements for records disposal in the government ministries be implemented and adhered to?

SECTION C: AUDITS RECORDS MANAGEMENT PROGRAMS IN GOVERNMENT MINISTRIES

1. In which functional areas are audits carried out in the government ministries?
2. To what extend has records facilitated audits of these functions in the government ministries?

SECTION D: STANDARDS AND BEST PRACTICES USED IN RECORDS MANAGEMENT IN THE GOVERNMENT MINISTRIES

1. Has the government ministries incorporated ISO 15489 in their Records Management programs?
2. Do these ministries have standardized records classification schemes?
3. Are there documented procedures for disposal of records in the government ministries?
4. Do these ministries undertake disposal activities under authorized disposal schedules?

SECTION E: MECHANISMS AND TOOLS USED IN CONDUCTING RECORDS MANAGEMENT AUDITS AND EVALUATIONS IN THE GOVERNMENT MINISTRIES

1. Is there a policy or legislation that provides for audits and evaluation of records management programs in government ministries?
2. If yes, what are these legislations/policies that are used in auditing and or evaluation of records management programs in the ministry?
3. How regularly do audits and evaluation of records management programs undertaken in government ministries?
4. What are the challenges experienced in auditing and or evaluations of records management programs in government ministries?
5. Incase of challenges, how are they addressed in these ministries?
6. What improvements can you suggest to the auditing and evaluation of records management in government ministries?

APPENDIX V: RESEARCH PERMIT

NATIONAL COMMISSION FOR SCIENCE, TECHNOLOGY AND INNOVATION

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Fax:+254-20-318245,318249
Email: secretary@nacosti.go.ke
Website: www.nacosti.go.ke
When replying please quote

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

Ref: No.

Date:
15th May, 2014

NACOSTI/P/14/8717/1187

Mbembe Vincent Tabuche
Moi University
P.O. Box 3900-30100
ELDORET.

RE: RESEARCH AUTHORIZATION

Following your application for authority to carry out research on " *Developing a monitoring and evaluation framework for records management in selected Government Ministries* " I am pleased to inform you that you have been authorized to undertake research in **Nairobi County** for a period ending **31st December, 2014.**

You are advised to report to the **Principal Secretaries of the selected Government Ministries,** the County Commissioner and the County Director of Education, Nairobi County before embarking on the research project.

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

DR. M. K. RUGUTT, Phd, HSC.
FOR: SECRETARY/CEO

Copy to:

Principal Secretary;
Ministry of East African Affairs, Commerce and Tourism

Principal Secretary;
Ministry of Labour, Social Security and Services

National Commission for Science, Technology and Innovation is ISO 9001:2008 Certified

CONDITIONS

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

REPUBLIC OF KENYA

NACOSTI

National Commission for Science, Technology and Innovation

RESEARCH CLEARANCE PERMIT

Serial No. A 1882

CONDITIONS: see back page

THIS IS TO CERTIFY THAT:
MR. MBEMBE VINCENT TABUCHE
of MOI UNIVERSITY, 8-00200 Nairobi, has
been permitted to conduct research in
Nairobi County

on the topic: *DEVELOPING A*
MONITORING AND EVALUATION
FRAMEWORK FOR RECORDS
MANAGEMENT IN SELECTED
GOVERNMENT MINISTRIES

for the period ending:
31st December, 2014

PERMIT No : NACOSTI/P/14/8717/1187
Date Of Issue: 15th May, 2014
Fee Received : KSH. 1000.00

Applicant's
Signature

Secretary
National Commission for Science,
Technology & Innovation