MANAGEMENT OF RECORDS IN SUPPORT OF SERVICE DELIVERY AT UASIN - GISHU COUNTY GOVERNMENT IN KENYA

BY

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DECLARATION

DECLARATION BY THE CANDIDATE

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DEDICATION

I dedicate this work to my wife Ludia Maina, daughters; Naomi, Marion, Brenda and sons; Emmanuel and Ibrahim without whom none of this would have been possible.

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ABSTRACT

Public service delivery by County Governments is increasingly being recognized as a pillar of development and public engagement with citizens in Kenya. Good records management practices ensure that County Governments are efficient and accountable. The County governments have been riddled with malpractices thanks to graft and unprofessional practices that can directly be associated with deficient records management systems. The aim of the study was to examine the status of records management and its contributions to service delivery at Uasin-Gishu County government with a view of identifying the challenges and proposing an appropriate framework to enhance the management of records. The objectives were to; investigate how records are management at Uasin-Gishu county and the effect on service delivery; examine how records management contribute towards the accomplishment of services ;establish the relationship for service delivery integration of ICT's in the various County operations and services; identify the challenges faced by Uasin-Gishu County in the management of records and service delivery; and to propose an appropriate framework that aligns records management with service delivery. The study was based on the records continuum model and the Service Canada Model used by the Canadian Government. Qualitative research approach was used in the study using a case study design. The study population was one hundred and twelve respondents purposively drawn based on work experience in records management and service delivery of various departments of Uasin-Gishu County headquarters. Key findings were that Uasin-Gishu County headquarters generated a lot of paper based records: the state of records management at the County headquarters was poor while service delivery practices were of low standards. The study concluded that the poor state of records management had contributed to poor service delivery making the County Government inefficient in delivery services to the citizens. The study recommended that Uasin-Gishu County should adopt a comprehensive records management and service delivery model similar to the one proposed by the study to aid in achieving better records management and service delivery strategies.

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LIST OF ABBREVIATIONS

CAP   CHAPTER

ADM	ADMINISTRATION
CDF	CONSTITUENCY DEVELOPMENT FUND
CD-ROM	COMPACT DISK READ ONLY MEMORY
DIRKS	DESIGNING AND IMPLEMENTING RECORDKEEPING SYSTEMS
DVD	DISK VIDEO DISPAY
ERDMS	ELECTRONIC RECORDS DOCUMENT MANAGEMENT SYSTEM
EDU	EDUCATION
FOI	FREEDOM OF INFORMATION
HM	HER MAJESTY
ICA	INTERNATIONAL COUNCIL ON ARCHIVES
ICT	INFORMATION AND COMMUNICATION TECHNOLOGY
ISD	INFORMATION AND SERVICES DELIVERY
IFMIS	INTERGRATED FINANCE MANAGEMENT AND INFORMATION SYSTEM
IRMT	INTERGRATED RECORDS MANAGEMENT TECHNOLOGY

ISO   INTERNATIONAL STANDARDS ORGANIZATION

KN& DS   KENYA NATIONAL AND DOCUMENTATION

SERVICES

LAN   LOCAL AREA NETWORK

LASDAP   LOCAL AUTHORITY SERVICE DEVELOPMENT

LATF   LOCAL AUTHORITY TRANSFER FUND

LDC   LEAST DEVELOPED COUNTRIES

UNDP   UNITED NATIONS DEVELOPMENT PROGRAM

CHAPTER ONE

1.0 INTRODUCTION

This chapter gives background information to the study and describes Uasin-Gishu County where the study was conducted. It gives an overview of records management and service delivery concepts. Further, it highlights brief discussion of records management and service delivery at Uasin-Gishu headquarters. The chapter as well gives the statement of the problem that necessitated the need for the research, aim and objectives, research questions, assumptions, significance, scope and limitations of the study. Key terms used in the study are also defined.

1.1 RECORDS AND RECORDS MANAGEMENT

Records are an important resource and are used by public service agents like governments to make informed decisions based on facts they carry and hence have relevance to political and socio economic activities for a people (Kemoni 2007). According to Smith (2016), records are essential to the business of all organizations. They are used to support the delivery of services by documenting policies and statutes, services provided, who does what and how much it costs. They also support administration by providing information for the direction, control, decision making and coordination of businesses. They also document rights and responsibilities, legal documentation, evidence of work of public authorities and are useful for future research. Cox and Wallace (2002) corroborate this by stating that accountability and transparency can only be possible through the presence of information. Records contain information created, received and maintained as evidence by an organization or person in pursuance of legal obligations or in the transaction of business (ISO

15489). Cox (2001) states that the records have been wrapped up with standards and other forms of activities they are used in. He asserts that all forms of definitions that include information, data, structure, origination or end user potential have transformed the way records are viewed and therefore a potential of losing sight of what records really are. He settles on a definition of records as extensions of the human memory, purposefully created to record information, document transactions, communicate thoughts, substantiate claims, advance explanations, offer justifications and provide lasting evidence of events.

Governments are therefore accountable to meet legal, regulatory, fiscal audits of all kinds to provide information on their tasks. Shepherd (2006) considers records as an essential element in accountability of government, in maintenance of transparent democracies in the provision of information access to citizens and the effective information and execution of policies

1.2 RECORDS MANAGEMENT

Records management is defined differently by various authors. This makes the term records management dynamic in nature since no singly accepted definition exists (Yusof and Chell 2005). Ngulube (2001) defines records management as creative, organization, storage, retrieval, distribution, retirement and final disposition of records irrespective of their forms and media. These are just a nip of the definitions given by various authors, but for the purpose of this study, Shepherd and West (2003),ISO 15489-2001 definition is adopted which states that records management as an activity responsible for efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including process for capturing and maintaining evidence of information about business activities like setting policies and

standards, assigning responsibilities, and authoritative, procedures and guidelines; services relating to records management, use of records; implementing and administering of specialized systems for records management and integration of records management into business systems and processes.

1.3 RECORDS MANAGEMENT AND PUBLIC SERVICE DELIVERY

The importance of public service delivery in achieving aspirations of Kenyans is underlined by prominent clauses in the Kenya Constitution 2010 in articles 35 and 116(2). It is also featured in the laws of Kenya, the County Government Act, and 2012 article 96(1) which demands that every Kenyan Citizen shall have access to information held by any County Government or any state agency. The County Government Act number 17 0f 2012 section 87 also provides that citizen participation in County governments should be annexed on timely access of information, data, documents and any other information relevant or related to policy and implementation. Further, Article 11(2) states that a County shall deliver services while observing the principles of equity, efficiency, accessibility, non-discriminatory, transparency, accountability, sharing of data and information and subsidiary. Kenya recognizes the values of service delivery as spelled out in the Constitution 2010 chapter 13 which details how service delivery is to be provided by the national and the county governments. Chief among these are high standards of professional ethics, efficiency, effective and economical utilization of resources

Records management provides the means and support efficiency in service delivery in various ways. These are policies, procedures, standards and regulations that guides in service delivery. Wamukoya (2000) asserts that effective records management underpins accountability, the rule of law, guidance to public servants and on what to

do efficiently and effectively in a transparent manner. He adds that records represent a major source of information and are almost the only verifiable data that can serve as evidence of decisions, actions and transactions in the public service. He further states that records form a body of information that is created, received, and maintained by an organization or person in pursuance of legal obligation or transaction. Records, he adds, are not only meant for use by the organization but also regulatory bodies, lawyers, historians or auditors who want information on what happens in an organization. To emphasize on its importance again, Megill (2005) points at the need to instil standards in records management for the sake of business and insists that records should be managed to meet current and future business needs.

1.4 DEVOLUTION OF LOCAL GOVERNMENTS

Devolution is a form of decentralization. Decentralization is about transferring of selected functions from a central authority to the lowest government structure. Devolution is the ceding (legal act giving) of power from a lower unit of government, giving it the state powers of revenue collection and expenditure among others (Cheema and Rondinelli 2007). The government has severally asserted that development could not be achieved without strong local government involvement. Cohen (1993), states that the centralized nature of governance led to a large bureaucracy with a dominant role in decision making on development issues regarding national planning. These decisions were made and implemented with the resulting effect of other areas being favoured while others remain undeveloped. This resulted in lopsided development of the country with some regions becoming more developed than others.

There have been a number of efforts to change this development model in a way that took development closer to the people through decentralization. Efforts like the Constituency Development Fund (CDF) inspired a motivation to the need to redress the imbalances caused by prior development models (Kenya Government 2003). This and other reasons motivated the decisions to have devolved units of governments during the referendum of 27th August 2010 of the new constitution.

In the Kenyan case, the then Centralized System Government headquartered in the capital city of Nairobi was to transfer power to the created Counties listed on the first schedule of Constitution of Kenya 2010. Each of these Counties was to form the County Governments which included the County Assemblies and County Executives with State powers of legislature and law making with executive powers to implementing laws and policies respectively.

Constitution of Kenya (2010), chapter eleven, established a total of 47 counties, each with a government. County governments consist of County Assemblies and County Executives. The County Assembly constitutes members elected from each ward in a county. The county governor is the head of the county executive. Voters in counties elect their governors directly. The governor then appoints other members of the County Executive Committees, with the approval of the County Assembly. County governments are in charge of agriculture, health services, public amenities, county trade development and regulations, and county planning and development among other services. Some of the provisions of the new Constitution of Kenya are yet to take effect. Parliament was to enact legislation within first five years to support its full implementation. The devolved governments and the Senate were some of the institutions that were started after the general elections of 4th March 2013.

1.4.1 The Kenya County Governments' Devolved Structure

The Constitution of Kenya 2010 spells out the principles of devolution which include democratic principles and the separation of powers. County Governments are to be provided with reliable resources and revenue to enable their operations in delivery of services effectively. Kenyans, however, are still struggling to understand devolution and its meaning.

1.4.2 Objectives of Devolved Government

As spelled out in the Constitution of Kenya (2010) these are the objectives of the devolved governments in Kenya, namely to:

- Promote democratic and accountable exercise of power.

- Uphold national unity by recognizing state diversity.

- Give/empower citizens in self-governance and to enhance the participation of the people in the exercise of their power in making decisions affecting them.

- Recognize the involvement of communities to manage their unique and own affairs and to further their development.

- Protect and enhance the interests and rights of all groups including minorities and marginalized groups.

- Improve social and economic development and the provision of appropriate, easily accessible services every part of Kenya.

- Ensure equal distribution of national and local resources throughout Kenya.

- Facilitate a decentralized system of state organs, their functions and services, from the capital city of Kenya.

- Enhance checks and balances and the separation of powers.

1.4.3 Management of Urban areas and Cities

The Constitution of Kenya (2010) identifies the management of urban areas and the cities The defunct Municipal Council of Eldoret in Uasin-Gishu County was to have structures and functions of urban areas and cities as provided for in the urban areas and cities act. Urban area or cities will have boards with chairpersons and vice/chairpersons responsible to governors. The managers of all urban areas are to be appointed by the governors.

1.5   BACKGROUND TO UASIN GISHU COUNTY AND ELDORET TOWN

During the early 1900s, settlers who immigrated from England, Scotland, South Africa and Zimbabwe, settled in Uasin-Gishu to farm. In 1912, the town of Eldoret was established in the midst of the farms to serve as an administration centre.

Just as any of the forty seven counties in Kenya, Uasin-Gishu government is organized in departments each headed by an executive appointed by the governor and approved by the county assembly. The departments are namely:

1. Roads, transport, energy and public works.

2. Education, culture, Youth affairs, sports and social services.

3. Agriculture, livestock and fisheries.

4. Cooperative and enterprise development.

5. Devolution, administration and public service management.

6. Information communication technology, trade and industrialization.

7. Lands, housing, physical planning and urban development.

8. Water, environment, natural resources, tourism and wildlife management.

9. Health services.

10. Finance and economic planning

The County has a legislative branch that is headed by the speaker of the County Assembly. The Uasin-Gishu County Assembly is housed at the headquarters of the defunct Wareng County Council on Uganda road in Eldoret town. This premise constitutes an assembly chamber that houses the County Assembly Service Board, County committee's secretariats and officers who deal with matters of the County legislature.

According to the Uasin-Gishu County development profile (2013), Uasin-Gishu is located within the former Rift Valley Province. It extends between longitudes 34 degrees 59 degrees East and latitudes 0 degrees 03 South and 0 degrees 55' North. It covers a total area of 3345.2 km square. The county is divided into three zones namely the upper highland, upper midlands and lower highlands. The population was estimated to be 849,179 during the 2009 population and housing census and was projected to increase to 1,002,153 in 2012 (Uasin-Gishu County development profile, 2013).

As per the defunct Eldoret Municipal Website, Eldoret is located about 300km North West of Nairobi on the Trans – African Highway and 65km north of the Equator. Currently, it is the fifth largest town in Kenya. Being the administrative centre of Uasin-Gishu County, it is a major business hub in Western Kenya and particularly the North – Rift Valley region. The elevation of Eldoret varies from 2100 meters above sea level to 2700 metres, with an average temperature of 27 degrees centigrade and rainfall of 1,124mm per annum.

The official town site of Eldoret started in 1910 with a post office on what was known to the white settlers as Mile 64. This was because at that time, it was 64 km from the

newly built Uganda Railway railhead at Kibigori. The post office was later developed to include a market office serving the community in the area. In 1912, 64 was declared a township having an area of 11.2 square km (1121ha). When the Governor of Kenya established an administrative centre, the Post Office was renamed Eldoret in 1912. The name "Eldoret" is based on the 'eldore 'which in Maasai means "stony river" because the bed of the Sosiani river that flows through Eldoret. This river is very stony. The white settlers decided to name it Eldoret to make it easier for them to pronounce it. At the start of the colonial era, the area was occupied by the Nandi, before that the Maasai resided here and who were preceded by the extinct Sirikwa community.

The town developed slowly until 1924 when the Kenya- Uganda Railways extension from Kibigori towards Uganda reached Eldoret – starting a new era of prosperity and growth. In 1928, a piped water supply from the Sosiani River was installed. By 1933, Eldoret had an electricity generator plant, a small airport and low – rental housing.

In 1956, the current Town Hall was built, and in 1958; Eldoret was elevated to Municipal Council status, with Mr JEW Beard being elected the first Mayor in 1959. Thereafter, the town was presented with its Charter and mace by the Governor of Kenya. In 1963, when Kenya gained independence, Eldoret was one of the first towns to elect an African Mayor, Councillor A. N. Oloo.

Uasin-Gishu County straddles six constituencies – Soy, Turbo, Kapsaret, Kesses, Ainabkoi and Moiben which also form the Sub Counties of Uasin-Gishu County, is serviced by the Nairobi – Uganda Highways, the Kenya – Uganda Railway and the Eldoret International Airport. It is the most important industrial and commercial centre in the North Rift Valley.

The main economic activities in the County include agriculture (in particular maize & wheat) and horticulture (flowers, French   beans, snow peas, and passion fruit farming). The town is also home to heavy industries like textiles, food processing, steel mills, timber and paper manufacturing. In addition, Eldoret has numerous light and major industries and vibrant, fast growing commercial activities such as banking, telecommunication and hospitality.

Uasin-Gishu is a major educational hub boasting of Moi University, University of Eldoret, campuses of many local universities, Moi Teaching & Referral Hospital, Moi University College of Health Sciences (Kenya's second medical school), Eldoret Polytechnic and several tertiary and middle level colleges.

1.5.1 Records Management at Uasin-Gishu County Headquarters

Records management is a fundamental activity in any public administration. Records play a big role in ensuring accountability, transparency, decision making as well as governance. Records document compliance with laws, rules and procedures.

County Governments can only justify actions with reference to records which hold elements like past performance or establish aims and goals. Service, quality and performance of tasks that give measurable results are an increasingly important responsibility and these aspirations depend on records that are accessible and usable. Many countries around the world are unable to provide good services because of poor records management practices (Woods 2000). This is true for countries, especially the developing and the least developed countries (LDC's) which are hampered by little financial and administrative resources and where records and archive managers lack training or professional development opportunities. Records on policy formulation, implementation and monitoring as well as records for managing key personnel and

financial resources are either inadequate, lacking or have serious gaps. This situation makes it hard to carry out economic and administrative reform programs hence hampering efficiency, accountability and service provision to citizens. Moreover, the decline and in some cases total collapse of records management systems makes it totally impossible to determine responsibility for actions and to hold individuals accountable. According to Motsaathebe and Mnjama (2009), relevant and accurate public records are essential to preserving the rule of law and demonstration of fair, equal and consistent treatment of citizens. Records empower citizens to hold officials accountable or to insist on prosecution of corruption and fraud. The public suffers when inadequate information systems affect the delivery of service programs. All aspects of public services like health, education land and judicial rights depend on well-kept and well managed records. The effectiveness and efficiency of public services in County governments depend upon the availability and access to information held in records. Poor records management adversely affects the broad scope of public services reforms that are currently taking place in many African countries, including Kenya.

The Kenya National Archives and Documentation Service Department (KN&DS) established by the Public Archives and Documentation Service (CAP 19) of laws of Kenya provides records management advise on services to public offices and institutions in the whole Country. The hallmark of this service is conducting of detailed surveys for government departments, ministries, parastatals and county governments and advising them on all matters to do with records management. These include classification, indexing, security, storage, retrieval, intellectual control and legal disposal procedures for ephemeral records.

Mnjama (2003) asserts in a study conducted by Githaka (1996) that the Kenyan public institutions were riddled with records management problems due to lack of effective advice by the KN&DS on proper management of archives and records. It is argued by Githaka (1996) that quality and quantity of staff, brain drain, inadequate funding and apathy from top government officials form major constrains that hamper development of archival and records services in Kenya. The poor state of records is listed by Mnjama (2003) as:

- failure by senior management to establish acceptable records management goals and practices;

- failure to employ competent and qualified staff in the area of archives and records management;

- failure to provide proper storage equipment, thus leading registry staff to lose morale and motivation;

- failure to promote training in archives and records management;

- failure to provide financial and administrative support to those involved in registry work;

- failure to provide close supervision for those engaged in registry work;

- failure to implement recommendations in the management of records; and

- lack of emphasis on the introduction ICTs as a means of solving information management problems at the expense of developing paper-based records management systems.

The Kenya Anti-Corruption Commission (2008) on the other hand gave a damning report that indicated that the defunct Kenyan local authorities were riddled with poor financial management and records management. It stated that the then Nairobi City Council did not adhere to procurement regulations and there were a lot of irregularities in its housing department and mismanagement of the Local Authority Service Delivery Action Plan and the Local Authorities Transfer Fund (LATF).

The defunct Eldoret Municipal Council offices were made the headquarters of the Uasin-Gishu County. The County headquarters in Eldoret were, besides accommodating the previous services of the defunct municipal council, also took care of the services of the defunct Wareng County and Burnt Forest Town Councils which were local authorities in the County based on the old constitution. It also includes ministerial duties assigned to the County Governments by the National Government like tourism, health and roads.

The County headquarters has two separate registries, the major one referred to as the Central Registry that deals with varied records and one that is specific for human resource records. The registries are manned by a total of twenty five staff members. The Central Registry uses a simple classification scheme that denotes the file ownership based on an acronym of the matter. Examples include ADM for administration and EDU for Education.

Most of the records kept by the Central Registry are land records. These land records are drawn from the former Eldoret municipality and the arrangement is based on a map of the entire Eldoret metropolis. The records contain Land Registration details (L. R. Numbers), copy of ownership details i. e. title deeds, search, and any literature

on the particular land. The records are kept on the open shelves as well as in cabinets. The following excerpts were captured from records officers;

*'land records were in excess of twenty thousand files (20000) by May 2013 and continued to pile up. The files are extremely old and it has led to tedious process of retrieval of the records'*R2

*'The Human Resource Registry bore files that dealt with the staff of the executive branch of the County Government. As of October 2014 the staff files were approximated three thousand three hundred (3300) which is a reflection of the total number of all staff employed by the County Government. The Human Resource Registry had also records on budgets; staff hiring and allied reports'.*R9

The defunct Eldoret Municipal Council had also a few records in the custody of the County Secretary. These included strategic plans and records classified as confidential. The Finance Department had records on the payroll, payments of wages, staff allowances and records on statutory deductions, budgets and other auxiliary financial reports. One records manager stated;

'the defunct Municipal council ran a registry system with records that catered for the following services:

1. Education: Pre-primary, primary and secondary schools both public and private

2. Administration: Communication from heads of departments, local government ministry,

3. Business registration: annual licensing of business premises, licensing of special functions, certification of business premises, vehicle parking/ stages reports,

4. Land: land ownership details, copies of title deeds, sale agreements, Eldoret Municipality trust land, leases,

5. Finance: Local Authority Service Delivery Action Plan (LASDAP), LATF (Local authority trust fund), tax reports, budget reports donations

6. Town planning: roads, cemeteries, residential houses, sewerage, markets, and allied records

Social: water supply, social halls, fire fighting

7. Environment: Environmental reports, tree planting, solid waste management reports,

Engineer: road/housing construction, private premise inspection reports among others

These registries are expected to accommodate records of the defunct Warengand Burnt Forest Town Councils which now form part of the widerUasin-Gishu County.

The County Government offices under the County Chief Officers had records for daily activities and communication from departments, the County Assembly and much more in their file cabinets. The clerical staff is the ones who man the use and maintain these records'.R1

1.5.2 County Governments' Service Delivery

According to the Constitution of Kenya 2010, functions of County Governments in part 2 (4th schedule, article 185 (2), 186 (1) and 187 (2) The functions are:

1. Agriculture

2. County health services

3. Control of air pollution, noise pollution, other public nuisances and outdoor advertising.

4. Cultural activities, public entertainment and public amenities

5. County transport

6. Animal control and welfare

7. Trade development and regulations

8. County planning and development

9. Pre-primary education, village polytechnics, home craft centres and childcare facilities.

10. Implementation of specific national government policies on natural resources and environmental conservation

11. County public works and services

12. Fire station services and disaster management.

13. Control of drugs and pornography

14. Coordinating and ensuring participation of communities and locations in governance at the local level and assisting communities and locations to develop the administrative capacity for the effective exercise of the functions and powers and participation in governance at the local level.

1.6 STATEMENT OF THE PROBLEM

The main function of the Kenya County Governments is to improve the livelihoods of citizens through involvement in the provision of basic socio-economic and other services. This therefore means County Government activity affects livelihoods of its residents. Their importance cannot therefore be over emphasized. The defunct Kenyan local governments whose role was taken over by the present County governments were ranked second in the Transparency International 2008 report on the bribery index. These local authorities had reputations of very poor recordkeeping which badly affected the institution's ability to make financial and managerial decisions on the basis of accurate information. These resulted in inefficiency and inability to meet their stated objectives. With the introduction of County Governments following the promulgation of the Kenyan Constitution 2010, the anecdotal evidence shows that has not changed much. Citizens continue to complain of poor services rendered by the County Governments in spite of the revenues they get from the National Government, donor funds and taxes collected in the form of rates and other charges. In the same vein, the Auditor General's Report of 2015 painted a grim picture on financial impropriety of Uasin-Gishu County Government. This ranged from poorly reconciled financial deficits, unbalanced exchequer financial releases and County incomplete records on bank borrowing among other numerous failures. Their performance or lack of it therefore impacts directly on services to the people. Many services such as education, health and social services are delivered at the County level and these affect the poor and the vulnerable. For this reason accountability and increased oversight are needed in order to provide improved service delivery. Because of poor recordkeeping, effective service delivery at Uasin-Gishu County Government still faces major

challenges in such as collection of taxes, land rates, approval of building plans, accounting, collection of parking fees, and land allocations. Poor recordkeeping has also affected the management of County revenues and money received from the National Government amongst others. A spot check at the County headquarters revealed that extremely old files were in use and tedious methods were used in retrieval of files and records. This paints a picture of poor records management at the County this inhibit service delivery. This study therefore sought to identify gaps in records management at Uasin-Gishu County and recommend a suitable framework for effective management of records at the County.

1.7 AIM AND OBJECTIVES OF THE STUDY

1.7.1 Aim of the study

The aim of the study was to examine the status of records management and its contributions to service delivery at Uasin-Gishu County government with a view of identifying the challenges and proposing an appropriate framework to enhance the management of records.

1.7.2 Objectives of the study

The specific objectives of the study were to:

1. Investigate how records are management at Uasin-Gishu county and the effect on service delivery.

2. Examine how records management contribute towards the accomplishment of services.

3. Establish the relationship for service delivery integration of ICT's in the various County operations and services.

4. Identify the challenges faced by Uasin-Gishu County in the management of records and service delivery.

5. Propose an appropriate framework that aligns records management with service delivery.

1.8 RESEARCH QUESTIONS

1. How are records managed at the Uasin-Gishu County and with what effect on service delivery?

2. What are the contributions of records towards service delivery at Uasin-Gishu County Government?

3. How has ICT been integrated in service delivery and records management at Uasin-Gishu County headquarters?

4. What are the challenges affecting Uasin-Gishu County headquarters in regard to management of records and service delivery?

5. What strategies can be adopted to improve records management in order to improve service delivery at Uasin-Gishu County?

1.9 ASSUMPTION OF THE STUDY

Uasin-Gishu County had not effectively utilized records management in provision of quality services because it did not appreciate records management as a tool to support it.

1.10 SIGNIFICANCE OF THE STUDY

The following were identified as the significance of the study:

1.10.1 Practical

The findings of this research will shed light on the challenges which Uasin-Gishu County headquarters faces in records management and factors associated with its status. The information will assist the County Governments to improve records management as well as service provision.

1.10.2 Policy

The study has put forth recommendations which are appropriate in the management of records as a strategy to improve service delivery at the Uasin-Gishu County headquarters. If undertaken, it will improve services provided by the County Government.

1.10.3 Theoretical

The research findings form a basis for further research on areas of public service delivery and records management.

1.11 SCOPE AND LIMITATIONS OF THE STUDY

1.11.1 Scope

The study primarily focuses on the various departments of Uasin-Gishu County headquarters. Associate bodies of the County Government in charge of other areas and services outside the headquarters will be excluded as they are deemed part of the Uasin-Gishu County already represented.

1.11.2 Limitations of the study

The study focuses on records management and service delivery. County Governments are deemed sensitive because of the prevalence of corruption. As a result any mention of records tends to make County Government officials reluctant to release any information to members of the public.

1.12 DEFINITION OF TERMS

1.12.1 Local government: The online Business Dictionary (2018), defines local government as an administrative body for a small geographic area, such as a city, town, county, or state. A local government will typically only have control over their specific geographical region, and cannot pass or enforce laws that will affect a wider area. Local governments can elect officials, enact taxes, and do many other things that a national government would do, just on a smaller scale.

1.12.2 County government: According to Britannica, E. (2008).a County Government is a governing institution which has authority over a sub national territorially defined area; in federal systems, a sub state territorially defined area. County government's authority springs from its elected basis, a factor which also facilitates considerable variation in its behaviour both between and within countries.

County government refers collectively to administrative authorities as defined in the constitution. The term is used to contrast with offices at nation-state level, which are referred to as the national. "County government," generally acts like the authorities under the Constitution of Kenyan chapter eleven which are empowered and delegated by legislation or directed by the national level of government.

Each country has some kind of local governments which could differ amongst them. In Kenya these are referred to as County governments

1.12.3 Record: ISO 15489: 2001 defines records as 'information created, received and maintained as evidence and information by an organization or persons in pursuance of legal obligations or in the transaction of business. International Council of Archives (ICA) committee on electronic records defines record as ' a recorded information produced or received in the initiation, conduct or completion of an institutional of individual activity and that comprises content, context and structure sufficient to provide evidence of that activity'

1.12.4 Records Management: There is no universally accepted definition of the term "records management". This is an indication that the discipline of records management is dynamic (Yusof and Chell 1999). Records management is the discipline and organizational function of managing records to meet operational business needs, accountability requirements and community expectations (Taylor 1996). The ISO 15489 Standard on Records Management (International Organization for Standardization 2001) defines records management as the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including the processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records.

1.12.5 Public Service: According to Merriam Webster dictionary (2002), public services are those services provided by governments (county, municipal, or larger-scale) to the public. The need for services that no individual can or will pay for, but that benefit all by their presence, is one of the justifications for taxation. Examples of

such services are sewage, trash disposal and street cleaning. On a larger scale, public education and public health services (in countries that have them) are also public services. Public service delivery is the implementation of those services and making sure they reach those people and places they're intended to.

CHAPTER TWO

LITERATURE REVIEW

2.0 INTRODUCTION

Literature review helps in understanding the history of the subject area along with comprehending the significance of work already in existence in the field of study. Its main purpose is to provide a perspective on subject development, its establishment and assistance of acquiring the vocabulary of the field. It helps the researcher to gain an understanding of interrelationship between the subject considered and other areas of the study. It leads a researcher into understanding of the subject and facilitates a researcher with a guideline that advances knowledge in the field of study.

A literature review helps in acquisition of knowledge in the field and what has been done in the field, how it has been researched and the key issues therein. An example is when one demands to understand the main theories in the subject area and how they are applied and developed as well as the main criticism that have been made on the work or topic (Hart 1998).

Hart (1998), adds that it include distinguishing what has been done and what is to be done; discover of important variables relevant to the topic; synthesizing and gaining a new perspective; identifying relationships between ideas and practice; rationalizing the significance of the problem; enhancing knowledge and acquisition of subject vocabulary; understanding the structures of subjects; relating ideas and theory to applications; identifying the main methodologies and research techniques that have been used; placing the research in a historical context to really know familiarity with art developments.

The literature review section discusses the theoretical models employed in the study providing the description, comparisons and why it is relevant to the study. It explains its application, and its triangulation. It also discusses major concepts in records management and its application in records management.

2.1 THEORETICAL FRAMEWORK

A theoretical framework is a collection of interrelated ideas based on theories. It is a comprehensive prepositions derived from and supported by data or evidence (Kombo 2006). It is a discussion of related theories attempting to predict a phenomenon. Zeidler and Nichols (2009), opines that the framework may actually be a theory but this is attempting to test the validity of an existing theory. The author adds that a theoretical framework answers two basic questions:

- What is the problem?
- What is your approach to a visible solution?

The answer to these two questions comes from a thorough review of literature and theoretical framework which is drawn from literature review.

Theories and models provide the foundation for any study in the context. In the context, a number of models were exploited to help synthesize the research problem and also to help find answers to the problem. The models include the following: The Records life Cycle concept and the records continuum model for records management and the Service Canada for service delivery.

2.1.1 The Records Life Cycle Concept

The records life cycle has its origins in the United States of America (USA) in the 1930's. The proponents of this model were the National Archives of USA and it owes its existence to the overwhelming volume of records produced by organizations that were threatening to get out of hand. Yusof and Chell (2005), reiterate that records life-cycle concept was regarded as a theory which provided the framework for the operation of a records management programme. The theory was further developed by Theodore Schellenberg and has been the guiding theory for global records management profession. Xiaomi (2003), opine that the life cycle model uses a birth analogy to describe records as passing through a series of stages, it provides a fragmented framework for recordkeeping in artificially dividing the mission of records and archives management; in dismantling the responsibilities of records managers and archivists into divided roles; in limited ways of thinking in terms of custody by narrowed selection criteria; in viewing records as tangible physical objects in a paper world and static environments. Upward (2000) corroborated the sentiments by stating that that the records life cycle model created a distinction between the roles played by Records Managers and Archivists while archivists only intervenes when records become inactive and archives.

2.1.2 The Records Continuum Model

Swan, Cunningham and Robertson (2002) states that the Australian Standard 4390 defines records continuum as a consistent and systematic comprehensive managerial process. This definition suggests integration for documents, records, and archives management.

The earliest view of the continuum concept came from Ian Maclean in the 1950s who was an Australian archivist. He said records managers were the true archivists, and that archival science should include also studying the characteristics of recorded information, recordkeeping systems, and their classification processes. This promoted the search for continuity between archives and records management.

The "Continuum" concept was not widely used in Australia until Canadian archivist Atherton (1985) made it explicit at the 1985 annual Association of Canadian Archivists conference. Atherton (1985), adds that all stages of records are interrelated, meaning a continuum that includes both records managers and archivists, to varying degrees, in the on-going management of recorded information. Atherton (1985), again states that the lifecycle stages that records supposedly underwent were in fact a series of recurring and reverberating activities within both archives and records management. The underlying unifying or linking factor in the continuum was the service function to the records' creators and all users. Atherton's view pointed out the weaknesses of separating records management and archives administration under the lifecycle model.

The records continuum model was formulated in the 1990s by Australian archival theorist Frank Upward based on four principles:

1. A concept of "record" inclusive of records of continuing value (archives) stresses the use of records for transactional, evidentiary, and memory purposes, and unifies approaches to recordkeeping and archiving irrespective of, whether records are kept for a split second or a millennium.

2. A focus on records as logical rather than physical entities, regardless of whether they are in paper or electronic form.

3. Integration of recordkeeping with business processes and societal processes

4. Archival science as the foundation for organizing knowledge about recordkeeping. Such knowledge is revisable but can be structured and explored in terms of the operation of principles for action in the past, the present, and the future.

McKemmish (1998) opines that "The model provides a graphical tool for framing issues about the relationship between records managers and archivists, past, present, and future, and for thinking strategically about working collaboratively and building partnerships with other stakeholders."

Kennedy and Schauder (1998), explain the four dimensions that Upward (2000) used in his concept of the continuum model as follows:

1. At level one, the model identifies accountability acts and creates reliable evidence of such acts by capturing records of related/supporting transactions. Records of business activities are created as part of business communication processes within the organization (e.g., through e-mail, document management software, or other software applications).

2. At level two, recordkeeping systems manage "families" of transactions and records series documenting processes at the work-unit or single-function scope of complexity. Records that have been created or received in an organization are tagged with metadata, including how they link to other records.

3. At level three, a seamless recordkeeping scheme embraces the multiple systems and families of records that serve the entire documentary needs (i.e., business, regulatory, and; cultural/educational/historical) of a single juridical entity. Records become part

of a formal system of storage and retrieval that constitutes the organization's corporate memory.

4. At level four, a collaborative recordkeeping establishment under the guidance of a suitably empowered public recordkeeping authority serves the needs of the total society, its constituent functions, and the entities that carry them out. The recordkeeping establishment serves the documentary needs of many entities within its jurisdiction and ensures the accountability and the cultural memory of the society as a whole. Records required for purposes of societal accountability (e.g., by corporate law) or other forms of collective memory become part of wider archival systems that comprise records from a range of organizations.

Flynn (2001) explains that the records continuum model is significant because it broadens the interpretation of records and recordkeeping systems offered by the lifecycle model. Such broadening is helpful, given the variety of contexts in which archivists and records managers operate and in which archives and records are used. It also reminds us that records (including archives) are created and maintained for use as a result of business and administrative functions and processes, rather than as ends in themselves. It also emphasizes cooperation beyond the walls of repositories, especially between the closely related, if occasionally estranged, professions of archives administration and records management--a cooperation that is more important than ever in the contemporary climate of outsourcing and cross-sectored working.

2.1.3 Comparison between the lifecycle and continuum models

The best-practice mechanisms behind the records continuum model may be explored by comparing the records continuum model and the lifecycle model. The records continuum model differs from the lifecycle model in:

- origins of the model

- elements of records definition

- major concerns in records management

- records movement patterns

- recordkeeping perspectives

- recordkeeping process

- criteria for selecting archives

- time of appraisal

- role of recordkeeping managers

- undertaking records management tasks

The juxtaposition of the records continuum and lifecycle models shows that the records continuum model's advantages outweigh the lifecycle models, particularly in electronic records management.

In this context, records continuum's primary focus is the multiple purposes of records. It aims for the development of recordkeeping systems that capture, manage, and maintain records with sound evidential characteristics for as long as the records are of value to the organization, any successor, or society. It promotes the integration of recordkeeping into the organizations' business systems and processes.

According to An (2003), the best-practice mechanism behind the records continuum model uses an integrated approach for managing records and archives. Records

managers and archivists are brought together under an integrated recordkeeping framework with the same goal: to guarantee the reliability, authenticity, and completeness of records. The framework provides common understanding, consistent standards, unified best-practice criteria, and interdisciplinary approaches and collaborations in recordkeeping and archiving processes for both paper and digital worlds. It provides sustainable recordkeeping to connect the past to the present and the present to the future. It can coherently exist in a broader dynamic, changeable context that can be influenced by legal, political, administrative, social, commercial, technological, cultural, and historical variables across time and space. The integrated recordkeeping framework serves the following principles:

- facilitates provenance

- underpins accountability

- constitutes memory

- constructs identity

- provides authoritative sources of value-added information

The continuum's purpose-oriented, systems approach to records management fundamentally changes the role of recordkeeping. Instead of being reactive, managing records after they have been created, recordkeeping becomes proactive. In partnership with other stakeholders, identifying records of an organization's activities that need to be retained, then implementing business systems designed with built-in recordkeeping capability ensures capturing records of evidential quality as they are created. Built-in capture and assessment mean that records of value are created in the first place whenever electronic systems are used for business transactions. This depends on appropriate metadata to ensure that they are accurate, complete, reliable, and usable. These records have the necessary attributes of content, context, and structure so as to

act as evidence of business activity. It emanates from knowing from the onset which electronic records must be kept for the longer term means such records can be migrated across systems as hardware and software upgrades occur.

The lifecycle model uses a birth-to-death analogy to describe records as passing through a series of stages. It provides a fragmented framework for recordkeeping by:

- artificially dividing the mission of records and archives management
- dismantling the responsibilities of records managers and archivists into divided roles
- limiting ways of thinking about custody through narrow selection criteria
- viewing records as tangible physical objects in a paper world and static environment

The lifecycle model regards electronic records as different media similar to film, recordings, and microfiche that only need special handling requirements. Viewing a record as a physical entity with distinct and separate phases of usage is difficult with electronic records, as the nature and volatility of these records negates this approach. Electronic records must be located where the hardware and software systems that provide their "living" environment are located, thus defying the lifecycle model's traditional repository and custodial orientation. This is the actual location of the systems that store records is irrelevant in terms of accessibility and use in the networked world.

The mechanisms of best practice behind the records continuum model are ideal for integrating records and archives management because the records continuum focuses on

- similarities rather than differences

- qualities and quantities rather than quantities alone

- positive and cohesive ways of thinking rather than disparate or passive ways

- integrated policy making rather than fragmented frameworks

- integrated control of policy implementation rather than separate control

- integrated rather than disparate approaches to problem solving

- meeting customers' needs through collaboration rather than by duplication and overlap

These arguments highlight the records continuum model's importance as a best-practice model for managing electronic records when the aim is to improve responsiveness, increase efficiency, and satisfy users' requirements.

2.1.4 A Best-Practice Framework for Managing Electronic Records

The records continuum model approach of integration can be viewed as a best-practice framework for managing records within a broader context of archival science to connect the past to the present and the present to the future, particularly for electronic records. The best-practice framework consists of three components:

1. Integrated frameworks that provide levels of integration for best practice

2. Integrated approaches that provide positive ways of thinking about archival concepts

3. Integrated control that provides a set of unified criteria for measuring models and methods

An Integrated Framework

An integrated framework sees the management of records as an archival business geared toward customer-satisfaction, service, cost-effective management, and best value. It should be customer-driven and integrated into records management through

work processes. It also should produce quality information. Five levels of integration should be built into the management of recordkeeping processes:

1. Common culture--common understandings and expectations among creators, users, custodians, and administrators on the values and functionality of documents, records, and archives.

2. Common standards--consistent terminology and procedures to make the records continuum routine easier to maintain and interface with throughout the recordkeeping process

3. Information sharing--use of best-practice criteria, policies, and standards in the business management processes

4. Coordination--negotiation and exchange of records management policies permitting separate, but interdependent, management to respond to each other's needs and limitations

5. Collaboration--partnerships of creators, users, custodians, and administrators in implementing integrated frameworks and policies, as well as in accountability for society

An Integrated Approach

The goal of an integrated approach is to develop collaborative ways of thinking in order to guarantee a reliable, authentic, and integrated memory for the organization and society, provide consistent and sustainable recordkeeping services to meet societal needs, and promote professional commitments and value-added contributions for best practice. Such an integrated approach should employ three tools of integration as a basis for dealing with electronic and digital issues:

1. Client-led marketing strategy: the needs of creators and users are priorities for the recordkeeping service's mission and such needs should be met effectively.

2. Post-modern archival thinking: considers archiving a key feature of society's communication processes in shaping reality rather than just documenting it; it views archivists as co-creators of knowledge, culture, and society rather than just passive recipients, merely guarding and retrieving records and knowledge created entirely by others.

In his presentation, "Post-Modern Archives: the Changing Intellectual Place of Archives", Nesmith (2007), says that studying archives is a vital aspect in the pursuit of human understanding. The study of archives is no longer just for archivists who want to be effective on the job, valuable as that is. It is for creators who want to be accountable to society and for users who want to receive the best value of archives service as well. Post-modern archival thinking should result in front-end control and the integrated control of records and archives management, and it should enable a collaborative approach for recordkeeping across borders, institutions, and disciplines.

Records continuum regime model: the internationally recommended records-continuum best-practice model applied as an approach for managing documents, records, and archives. Such a model employs an interdisciplinary approach to develop integrated frameworks and integrated control through documents management, records and archives management, and business management throughout the records' life to ensure their accuracy, authenticity, reliability, and integrity.

2.1.5 An Integrated Control

The records continuum regime model is an integrated control, meaning that the control of product, process, and service should be integrated into the management processes of recordkeeping. Integrated control is a means for bringing together the contribution of each participant with something to offer. It is a means of increasing total contribution and completeness of records delivery, improving collaboration

among creators, users, archival administrators, and custodians for better quality of service. Integrated control provides criteria for measuring three aspects of best practice: product control, recordkeeping management process control, and client-oriented service control.

Product control measures the quality and quantity of a records and archives management program's output. Indicators for quality are accuracy, authenticity, and reliability; indicators of quantity are completeness and integrity.

Process control uses integrated frameworks to measure the process of records and archives management. Indicators are effectiveness, economy, and efficiency.

Service control measures the delivery of service by the sustainability and consistency of service to the satisfaction of the clients. The indicators are records' availability, accessibility, and readability.

The evolution of the records continuum concept shows records management and archives management moving toward integration. The advantages of the records continuum model over the lifecycle model demonstrate that the mechanism behind the continuum's best practice is an ideal of integration for the management of documents, records, and archives. The idea of integration can be developed toward a best-practice framework for records and archives management. Integrated approaches, integrated control, and integrated framework are components of a best-practice framework and should provide positive ways of thinking, integrated requirements, and unified criteria leading toward best practice. Best practice can be measured by client-satisfaction service, cost-effective management process, and best-value records.

Figure 1:   **Records Continuum Model**
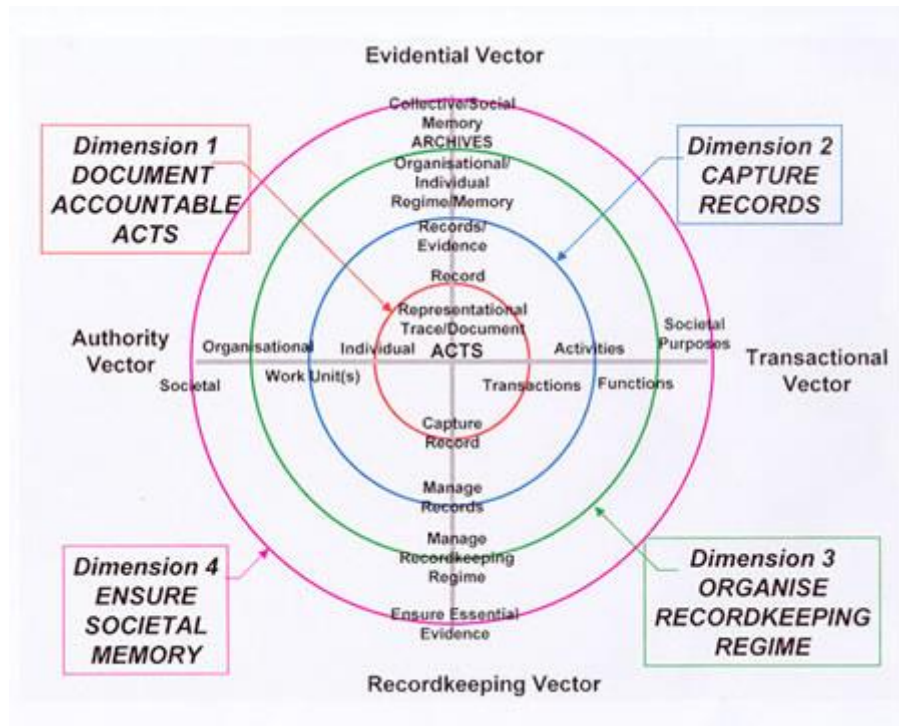
Source: Frank Upward, Senior Lecturer Monash University

2.1.6 Relevance of the Records Continuum Model to this Study

In a set up like the one of Uasin-Gishu County Government headquarters, recordkeeping system is primarily paper with many large volumes of documents. The Uasin-Gishu County Government is in the process of converting these paper services into digital formats. The records need to be properly organized right from the time of creation to archiving. The records continuum model therefore is a purpose oriented system that is perfect in the records management and fully describes the role of record keepers in the recordkeeping profession and does not bank on reactive and proactive stages that are defined in the life cycle model. The records continuum model describes

the processes for managing records (paper as well as digital) from the point of creation to disposal. The records continuum model is thus suitable for Uasin-Gishu County Government headquarters, which is a model organization that is embarking on digitization of its records management in creation, use and disposal. The records continuum model emphasizes on integration of records keeping in service delivery. This study investigated the contribution of records management to service delivery at the Uasin-Gishu Government headquarters. The records continuum model therefore is ideal since it includes integration of recordkeeping into organizations' service delivery systems. The Uasin-Gishu County Government could utilize records continuum model with frameworks between its recordkeeping staff to facilitate proper creation of records with appropriate information, the right formats, organization and content to the relevant users.

The records continuum model therefore is ideal for Uasin-Gishu County Government headquarters where service delivery systems rely on sound records management to achieve success.

The model will guide on how best Uasin-Gishu County could organize its records. Its application could put an impetus of professionalism that identifies valuable records on a continuous model explained by the records continuum mode. It will reap from the benefits of having all staff dealing with recordkeeping working together as a professional unit from the time of records creation to disposal. The records continuum model will also instil service requirements as an intertwined approach thus capturing the vital aspects of the two. It will also ensure electronic records management is taken care of thus proper management of both digital and paper records. The model will play a pivotal role ideal records management in support of service delivery.

2.1.7 Service Canada Delivery Model

The researcher used the Service Canada Delivery model to inform the study. This was triangulated with the records continuum model. The Service Canada model is a Canadian service delivery model that came into use in 2005. It is a comprehensive model that promotes excellence in service provision.

2.1.8 Elements of the Service Canada

Service Canada provides Canadians with a single point of access to a wide range of government services and benefits. It is committed to improving services for Canadians by working with partners to provide access to the full range of government services and benefits that Canadians want and need through the Internet, by telephone, in person or by mail.

The Service Canada model was a result of more than a decade of research and planning aimed at improving service to citizens. Its origins date back as far as 1995 when the Government of Canada website went online – a site for which Service Canada is now responsible. The site was included in a 1999 service improvement strategy that also involved in-person access centres across the country and a one-stop telephone call centre (1 800 O CANADA). The two other central elements of this strategy were Government On-Line (using information technology to provide high-level service to citizens) and the Service Improvement Initiative (focused on improving citizen/client satisfaction).

Service Canada was about taking on the service activities of the Country'sDepartment of Human Resource Development and to provide services on behalf of twelve other departments and agencies. Service Canada gradually took on additional services from

other departments. In May 2005, the Government approved the overall strategy for Service Canada's implementation, and the organization's doors were officially opened on September 14, 2005. In February 2006, shortly after a change of government, Service Canada was merged into a new Department of Human Resources and Social Development.

Flumian (2010), adds that Service Canada responds to greatly increased citizen demands for simple and seamless access to government information and services through a single-window delivery mechanism (one-stop shop). The traditional approach to service delivery in the Government of Canada had been to provide service through many departments, each with its distinct programs and delivery channels. The result was centralization of different levels of services for both citizens and businesses and a complex and fragmented array of programs and services. The Citizens first national surveys showed that Canadians wanted the delivery of government services to be organized from the perspective of citizens, not governments, and they wanted these services delivered seamlessly across delivery channels and across governments. The challenge to Service Canada was to provide high-quality and efficient services to Canadians through a citizen-centred, multi-jurisdictional and multi-channel delivery system. Part of this challenge was to tailor service delivery to meet the specific needs of such groups of citizens as youth and seniors.

All of these measures were in keeping with Service Canada's transformation objectives and were pursued within the broader context of the modernizing of government movement in Canada.

Thus, Service Canada became a one stop service delivery network. It is a partnership of various governmental departments, agencies and levels of governments that offered services to citizens in an easy point of access to a wide range of services through the internet, on phone, in person or by mail, whether at service Canada centres or outreach sites.

Flumian (2010), adds that over the past decade, the pursuit of citizen-centred service, combined with rapid advances in information and communication technologies, had stimulated innovative approaches to the organizational design of governments' service delivery systems. Service delivery organizations in Canada and elsewhere took a variety of organizational forms, thereby providing a range of models for adoptions. Service Canada offered Canadians a new model for the delivery of government services. It brought together a wide range of government programs and services from across departments and other levels of governments to provide citizens with integrated, easy-to-access, personalized service.

Successful (Information and Services Delivery) initiatives can take a variety of organizational forms with an array of governance arrangements. While some of the ISD challenges are not faced by all countries, many of the challenges (e.g. privacy and security issues) are of a generic nature. Many of the solutions to ISD challenges are also of general application, including those utilized by Service Canada — the innovative use of partnerships, adequate funding, guaranteed privacy and security and effective human resource management. The case of this ISD in the Kenyan scene could be an adaptation of this aligning it with the National government and its affiliate service providers, the County Governments structures and blending it with various services offered by each County and other relevant public institutions.

Figure 2: Service Canada Public Service Delivery Model.
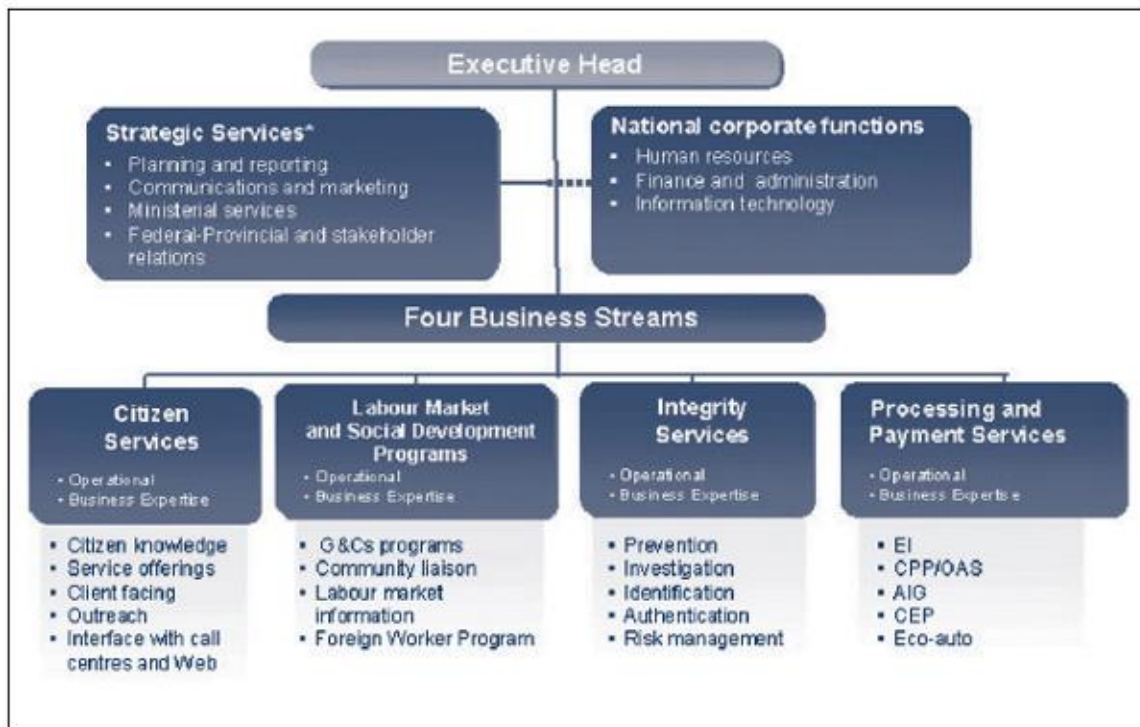
2.1.9 Application of the Service Canada Model to the Study

Service Canada was found to be adequately applicable to the current research study
and was therefore selected to address the service delivery aspect of the study. The
justification for selection of the model is explained below;

Service Canada was designed to address government services to the Canadian public.
It is based on two major service divisions namely; strategic and national corporate
functions. Strategic represents individual entity that provides distinct services. The
model is further split into four major sub themes of i.e. citizen's services; labour

market and social development; integrity and processing and payment services and each of these represents a core function that is linked to service provision. Thus, Service Canada is not specific to any industry or sector and can be adopted for use by governments such as Uasin-Gishu County. The model can be successfully applied to government organisations internationally, unlike the other models which mainly apply to individual or the private sector.

Service Canada was chosen because it demonstrated the ability to aid in the achievement of the aim and objectives laid down by this study. The model provided guidance in the identification of services and identified threats and opportunities, assessment of the state of service delivery, identification of services in view of the core functions of the County Government and a development of a framework to improve service delivery. All these are incorporated in the objectives of this study.

Service Canada emphasizes the need for service delivery with governments overall objectives, focus and direction, operating practices and internal systems. In a nutshell, the model advocates for the alignment of the service delivery process with the governments' service delivery processes and operations of the County government. Therefore, the model provided guidance on the method of aligning and integrating service delivery within the functions of a government like the Uasin-Gishu County.

Service Canada model with its varied applications will utilize both paper and electronic records in service provision. It will lower the cost of communication and management of records since it operates on ICT platforms. The public will enjoy the benefits of speed in service delivery, accuracy and minimal manual processes which are slower.

Service Canada Model however lacks the records management component which is a major driving force that is required to be properly managed within governments. This study has attempted to address this shortcoming by introducing the aspect of alignment of records management with service delivery with government operations and has put forth a model to guide in this process.

2.1.10 Triangulation of the Records Continuum and Service Canada Models

The purpose of triangulation in qualitative research is to increase the credibility and validity of the results. This study was based on both the Records Continuum Model and the Service Canada model. Triangulation of these two theories was necessary given triangulation is the combination of methodologies in the study of the same phenomenon. It is the use of multiple theories in tandem to study an organizational phenomenon. It mixes theories, methods, and multiple data sources to strengthen the credibility and applicability of findings (Hoque, 2006).

The researcher has utilized two types of models to inform the study because the study is touching on two separate areas of knowledge but which are so interrelated and inseparable. The triangulation of the two models; Records Continuum and Service Canada was necessary because they helped in the identification of gaps which could be addressed to promote sound records management and ideal service provision. This triangulation will serve to fill the gaps occasioned by one theoretical framework and hence help in contribution to the reliability of the collected data. Triangulation has been applied as well in the data collection methods. The researcher utilized semi structured interviewing method and observation method. This was to assists the researcher collect data that might not had been sufficiently covered by either method.

2.2 RECORDS MANAGEMENT

Records management is a process of ensuring the proper creation, maintenance, use and disposal of records to achieve efficient, transparent and accountable governance Sound records management implies that records are managed in terms of an organizational records management program governed by an organizational records management policy. A sound records management program is advantageous because: a well-organized file plan enables an organization to find information easily. Records that are correctly filed and stored are easily accessible, and this facilitates transparency, accountability and democracy; the orderly and efficient flow of information enables the organization to perform its functions successfully and efficiently; authoritative and reliable records are created and maintained in an accessible, intelligent and usable manner to support the business and accountability requirements of the organization; efficiency and economy are ensured by eliminating unnecessary duplication of records; a retention and disposal program ensures that the organization maintains only those records it really needs for functional purposes; and controls are exercised to ensure that only authorized persons have access to the information, thus preventing information and/or the records themselves from being stolen or damaged. This ensures the protection of privacy and confidentiality, and prevents the inappropriate disclosure of information that could harm the organization or infringe the privacy rights of individuals.

Governmental bodies can only be effective and efficient if records management is considered a business process designed to support business objectives. Records are considered a resource and are utilized fully and cost effectively to realize business objectives. Each governmental body creates and maintains a culture which will promote effective and efficient records management to facilitate efficient and timely decision-making.

In government, and in a true democracy, accountability to the citizenry is a must for purposes of administration and governance. Records generated and used are a by-product of public administration which gives evidence of a function of governments. Records management community claims that records have to be preserved for accountability purposes, but rarely do they explore what accountability is and what role records play (Meijer 2001). A good government can arguably only be achievable when demonstration of high transparency is practiced, which in turn happens when trust is supported by authoritative and reliable records. Corporate governance and transparency are key goals in a global agenda and records management must uphold its practice to fulfil this role.

According Cape (2008), accountability is established through the mechanisms through which locally elected representatives can be accountable to the public and among other things the elections, public meetings and formal grievances procedures. The Community Law Centre (2008), notes two accountability approaches namely peer accountability which represents the accountability of the executive to the public and the administrative accountability which deals with the accountability of officials to the elected representatives and which can be established through institutional arrangement and rules specifically designed to make accountability work.

Arrangements in governance in the public service are closely scrutinized and sometimes criticized. A significant amount of government's failings attracts immense attention and these failings can taint the whole sector. County governments are major employers and a big amount of public spending ends up here. They are vitally important to taxpayers and citizens. County Governments play key roles in leading the communities as well as ensuring delivery of high quality services to them. Good

structures enable County Governments to pursue their visions effectively as well as underpinning their visions with mechanisms for control and management risks.

According to Meijer (2001), records management is not often regarded as essential component of good governance. This has generated an interest in exploring the truth by conducting a study on a chosen organization which is expected to have a good record keeping system and where it is expected to influence policies and procedures. The purpose of this study is to establish the potential relationship between records management and service delivery in order to facilitate the Counties to deliver the benefits of good records management.

2.3 MODERN COUNTY GOVERNMENTS

Decentralizing government is about transferring power from central government to local authorities and the communities and individuals they represent. Many governments want to achieve a position where strong, empowered local government is able to act in the best interests of its residents with the necessary support, not interference, from central or national government institutions on decisions driven by people and communities locally. It is geared to strengthening democratic accountability and holding elected officials to account, for example through referendums and greater transparency. Ahmad (2005) notes that in the past two decades, fundamental transformation in the structures of governments across the world has taken place. It is noted that countries which were highly centralized have now decentralized many services and sub-national governments are now responsible for the delivery of critical services. The County Governments or local governments in many jurisdictions account for a significant proportion of total public expenditure. In just two decades, local and regional authorities have emerged as the organizational

fulcrum on which much of the weight of development now falls. Gopal (2008), adds that the following could be considered ideal services that decentralization could deal with.

- Education
- Health Care, Population and Nutrition
- Infrastructure
- Safety Nets
- Irrigation, Water Supply, and Sanitation
- Natural Resource Management and the Environment

County Governments therefore play vital roles in representing the interests of their citizens, delivering and commissioning local services and promoting the 'Big Society' i.e. central/national governments will make localism real by delegating power to the lowest appropriate level. Today, County Governments remain key players in using new delegated powers and devolving powers further down to the grassroots wherever possible. County Governments also have a crucial role to play in ensuring that day-to-day services to their communities are efficient and effective and are offered based on good value for money, what people actually want and should be transparent. The County Governments must be commitment to employ qualified personnel in order to satisfy their communities.

2.4 THE ROLE OF RECORDS MANAGEMENT IN SUPPORTING SERVICE DELIVERY

The following sub themes that relate to records management and service delivery are discussed in this section of literature review. They include; Governance, human resource management, accountability, anti-corruption, entitlements, financial management, payroll management, private sector investments and electronic systems.

2.4.1 RECORDS MANAGEMENT AND GOVERNANCE

Governance is the process, the function and power of government. It is the exercise of the executive, legislative and judicial power for the public and state leadership by the political – elective and administrative – statutory organs/bodies. Good governance is depended on a set of norms and values based on democracy" (Mazebe and Sebina, 2003).

In today's world driven by open government, citizens are becoming more concerned about their roles in governance of their countries. Demands for transparency, openness and engagement with citizens is a requirement that modern governments must deal with as part of their governance covenant with the people. Records and evidence therein are the instruments by which governments promote a climate of trust and demonstration of overall commitments to good governance. According to Dikopoulou and Mihiotis, (2012), organizations should set and promote a policy for records management whose ultimate goal is the creation and management of authentic, reliable, complete and useable records capable to support business functions as long as required. Authentic records are those which do not lose their originating form, content, context and structure. Reliable records are those whose administration ensures that they keep on supporting the will statement, decision and action which created them. Complete are the records that have all the elements of their identity posed by the juridical framework of their creation, so that their values and functions can be applied.

Dikopoulou and Mihiotis (2012) consider the role of records management in governance as:

- Serving the right of access to information deriving from records and archives that all citizens and all businesses have in an organized society. As far as the public records are concerned this right usually is argued in the official legislative documents of a country such as its Constitution, the Public Administration Act, the Civil Code, the Penal Code, the FOI Act and the National Records Management Policy.

- Serving the administrative, operational and informational needs of all public agencies (executive, judicial and legislative ones). Organizations keep records as part of their business, to enable decisions to be made and actions to be taken and to protect their rights and assets, or to support accountability internally (proving performance) or externally (fulfilling legal, fiscal compliance with established rules, conducting audits and meeting society expectations), or for research and cultural purposes (capturing and understanding of corporate memory)

- Serving the research and educational needs of the scientific and academic society.

- Serving the social need of preserving and developing the collective memory and cultural heritage in national and international level.

Citizens are reliant upon the accuracy, timeliness, quality, quantity and relevance of information released to custodians in particular government. Except in repressive regimes, it is generally accepted that a free flow of information and dialogue benefits both government and society. Taiwo and Veronica (2011), advocates two way communications in program to eradicate poverty, create good governance and

delivery of human rights. They say transparency and accountability in administration

can reduce opportunities for corruption

2.4.2 RECORDS MANAGEMENT AND HUMAN RESOURCE MANAGEMENT

In many countries local governments' paper based personnel files are incomplete and difficult to access. The public sector reforms that are normally undertaken include significant staff reductions and most of local authorities are unable to find basic information needed in accomplishing such tasks. Issues of incorrect numbers of staff, wrong details of their grades, dates of appointments and qualifications reports are given out by these local governments. These governments are unable to improve incentive structure to its staff and lack of accurate and complete records is very rampant. The true picture of human resource in these County governments is generally unclear and does not support good services. Therefore reliable human resource records are necessary to meet the goals of local authorities. Cain and Thurston (1998) assert that records provide means of competency and accountability to the employer and employee. The ability to retrieve information about personnel is a key factor in a successful human resource management. Mutimba (2018), notes that the Kenyan public services have ignored far too long the aspect of proper staffing which has led to the detrimental of service provision and inefficiencies.

Computerization of personnel information purely depends on correct information on paper format but many times poor paper records have been used thus transferring mistakes to the newer systems.

2.4.2.1 Records Management verses Rights and Entitlements

The County Governments have obligations to protect the rights of citizens and improvement of citizen- government interactions. Records carry the rights and

entitlements of citizens and the ability of the governments to continue to respect these rights as entitlements. In an electronic environment, where information is held in fragile formats, this is more difficult to achieve than usually realized. Records management is key in underpinning strategic planning, decision making and operational activities. Records management in the context of human rights provides information by which governments and organizations can meet and discharge their obligations to citizens and communities. Smith (2007) opines that in delivery of services records management plays an important role in documenting policies. Smith (2007) adds the following are roles of records management in protecting human rights:

- Documenting rights and responsibilities – an organisation needs to provide evidence of the scope of its terms of reference, evidence of what it owns and evidence of its obligations;

- Legal documentation – many records comprise formal legal documents – regulations, local orders, etc – or formal documentation of the relationship between governments and people or institutions;

- Evidence of the work of public authorities – an organisation needs to document the decisions, actions and obligations that it undertakes to the general public and its staff, and in this way provide accountability measures ; and

- Future research – some of the records of organisations will be preserved and will form the contents of archival establishments, providing important historical information on political, social, economic and other issues that touches on its staff.

Records are therefore created or received in the conduct of business activities and provide evidence and information about those activities

2.4.3 RECORDS MANAGEMENT AND FINANCIAL MANAGEMENT

Barata, Piers and Routledge (2001), note that recordkeeping is a fundamental activity of any public administration and is essential for financial management. They further assert that records provide evidence on resource receipt, commitment expenditure, acquisition, and disposal of government liabilities. Certain financial records provide a basis for preparation of financial statements. Effective financial management systems provide decision makers and public sector managers with the means to ensure resources are matched to objectives, strengthen accountability, and minimize the risks of implementing unsustainable policies. Therefore financial management requires records as an input and an output.

Lack of accurate records of actual expenditure impairs the process of preparation of meaningful budgets. Poor record keeping affects the entire accounting function with the result that reporting and auditing become virtually impossible. Without accurate records it is hard to detect fraud and debt management is difficult to undertake because records of borrowing may be held by different government offices. Prudent financial management relies upon more efficient use of information and only when sound financial records management is practiced. Therefore good records management is an essential foundation for prudent financial management.

2.4.3.1 Records Management and Payroll Management

The issue of 'ghost workers' is a norm in many public organizations globally. These are non-existent employees who draw salaries which are taken up by other people. The personnel records should be a primary source of evidence that an individual actually exists, the grade is appropriate to salary received and any additional benefits are appropriate and duly authorized.

According to Lambert (2005), payroll development is anchored on good records management that captures all personnel activities pegged with dates of appointments to work inputs and instructions that confirms employee details. Johnston and Bowen (2005) in support of Electronic Document Records Management Systems (ERDMS) state that EDRMS is an information system that includes recordkeeping functionality and a management of documents with information value among other benefits. They add that the benefits include; fast completion of tasks with less effort and improved tasks outcomes. The management of the payroll noted here includes the ability to view pay slips as records and subsequently faster access to data stored databases

However, lack of complete personnel records promotes corruption and misuse of public funds, a problem that is rampant in public organizations. Entries on the payroll databases cannot be checked against an authorized source of information to ensure an individual's existence and that payments are correctly authorized. Head counts and questionnaires provide mild solutions but a good records management system is an essential aspect of a long term solution.

2.4.3.2 Records Management and Accountability

Cox and Wallace (2002), states that records are not mute observers and recordings of activities. Records, rather, often actively constitute an activity in them and are frequently struggled over as subjects of many formations. Accountability is critical to a responsible government. The foundation of accountability is a well-run records management program. Records allow employees to account to their managers on matters concerning their decisions and actions. Well managed records ensure integrity and authenticity through time. Good records management permit managers to account to their heads of government departments/sections and thus help heads to account to elected officials like the members of County Assemblies in a County

government who represent the society. Abuodha (2011), while stressing on the need of accountability in the Kenyan local governments then states that, accountability and oversight mechanisms are exercised within the framework of the Local Government Act, Cap 265 of the Laws of Kenya. This is the principal statute governing the system of local government in the country. It is however critical to note that in Kenya, the interaction between the three key players (county assembly members, appointed officials and citizens) in the Counties and service delivery is characterized by weak legislative and democratic structures, poor resource base; low technical capacity, ignorance of the law governing the operations of County governments, low institutional credibility; public apathy towards taxation and a multiplicity of parallel local service providers. A government, particularly in a truly democratic country, is accountable to its people for its administration and governance. Public records, which are the by-products of public organizations, provide evidence of the governance of the country. Meijer (2001) argues that the records management community claims that records have to be preserved for accountability purposes, but they rarely explore what accountability is and what role records play. In addition, the contribution of records management to good governance and accountability is not recognized by other professions and top management.

2.4.3.3 Records Management and Anti-Corruption

Control of financial records is a tool that can contribute to the campaigns against fraud. Deliberate loss of control of financial records thus leads to loss of revenue that impedes fiscal planning. It makes it difficult and impossible at times to preserve an audit trail of decisions, actions and transactions. The consequences are matters to do with procurement of goods and works. Records management is a deterrent to fraud and corruption. Palmer (2000) opines that a good records system is a deterrent effect

which is preventive, cost-effective alternative to prosecution. The existence of a record system provides an instrument for deterring malfeasance and exposing corruption and fraud. A good records management system gives controls on access to records, tracks the movement of records through organization and provides reliable and authentic audit trails which demonstrate unambiguous link between an authorization, an individual's actions and a date. Records also provide evidence on abuse and misuse of resources. It identifies lack of compliance with financial matters and laws and regulations. Without well managed records anti-corruption strategies are crippled. Records could also facilitate corruption. A notable example of corruption practices at the defunct Eldoret Municipal Council was a story that appeared on the Star newspaper of 25th June 2011 where it was reported that the Kenya Anti-Corruption Commission detectives unearthed a fake land document printing syndicate. Amongst the suspects included civic leaders and the Council staff. This racket involved the use of a lost official seal which was used to generate fake stamps. This led to a great loss of money to the Municipal Council and members of the public. This is an example of how corruption was embedded in the council and how records were used to facilitate the same.

2.5   RECORDS MANAGEMENT AND PRIVATE SECTOR INVESTMENTS

Wamukoya and Mutula (2005) state that chronic government recordkeeping could lead to adverse private sector investments. Overseas firms might hesitate to invest in a country if courts fail to handle civic cases efficiently. Large scale infrastructure investment might be delayed if government land registries cannot provide complete and definitive statements of titles to property. Poor recordkeeping could also result in lowering of standards of services offered to business. Examples are registration of

business, issues of licensing and matters necessary for companies to pursue their businesses.

Poor records management can adversely affect private sector investments. Large scale infrastructural investments such as the housing sector may be delayed or might incur significant additional costs if land registries do not provide complete and definable statements of title to properties.

2.6 ICT AND RECORDS MANAGEMENT ELECTRONIC SYSTEMS INTEGRATION TO RECORDS MANAGEMENT AND SERVICE DELIVERY

Information and communication technologies (ICT) have provided the opportunity for governments throughout the world to improve the delivery of information and services to citizens and businesses, to streamline public sector functions, and to increase participation in government. In some instances, this is just a matter of providing electronic access to existing information. In others, electronic services, such as land searches or submission of tax returns, are being delivered on-line. Electronic government has the potential to transcend constraints imposed by distance and increase the speed of service delivery. However, it also poses a number of challenges for accountability, the rule of law and the maintenance of organizational memory.

Duranti (2010) state that electronic records management demands proper creation, maintenance of reliable records to ensure its preservation and access over time. It is therefore worthy developing strategies that adopt professionalism and standards capable of meeting the challenge presented by creation and maintenance of reliable records and preservation of authentic records. Maseh (2016), notes that the slow pace at which ideal electronic systems are adopted to spruce up records management in

Africa has hampered service delivery and this has a negative side effect on the proper utilization of the resources.

As more citizen/state interactions occur in electronic form, it is vital to ensure that electronic systems support evidentiary record keeping. Citizens will expect that their rights are as well protected and documented in an electronic environment just like in a paper-based system. This can only be achieved if the records generated through electronic government that are carefully managed through systems providing constant intellectual and physical control. The aim must be to preserve the combination of content, context, and structure which give electronic meaning over time, to protect the fragile media from degradation, and to ensure efficient access

2.7 RISK MANAGEMENT FACTOR IN RECORDS MANAGEMENT

Risk is considered as a chance of situations of wrong or good things happening. Risks influence an individual decisions and behaviour. Public and private organizations need to identify risks in order to reduce uncertainty and achievement of economic operations and sustainability of organizations. Future events and outcomes have the potential to affect the organizations objectives. Risk goes hand in hand with the existence of a particular process and transaction. In records management certain records will remain active for very long time and are considered archives thus are exposed to risks as well. FOI laws in modern jurisdictions demands user access rights to records and for the County Governments; this means a giving guarantees while ensuring safety and durability of records. These strategies should be embedded in the government's policies while ensuring risk management is upheld (HM Treasury 2004).

2.8 CHALLENGES OF MANAGING RECORDS IN COUNTY

GOVERNMENTS

Ngulube and Tafor (2006), opines that records are geared towards improving organizational competence and fostering greater professional development of those civil service administrators in charge of records and information. They stresses the need to build upon and develop existing structures, in particular the national archive administrations, empowering them and their staff to take a major role in planning and managing government information and record systems, which are increasingly becoming electronic. It also stressed on the importance of archives in making governments accountable and in guaranteeing individual rights in the long-term.

Governmental staff agencies need to manage information resources on varied formats that include desktops, files and computer systems which they interact with. This demands determinations such as the information resources regarded as records and the amount of information legally known as records.

Very few County Governments and other governmental agencies have adopted uniform implementation of records management tasks and even devoted staff on full time basis on records management work. The task of records management has been driven to 'other meanings' rather than the systematic control, management and use of information and knowledge of the local authorities. Since budgets have been tightened and with more application of technologies such as e-mails, electronic applications, web portals and databases, this has happened without proper guidance of professional records managers.

The following are notable challenges facing every public agency as far as records creation and usage is concerned;

Ringera (2007) noted in his report on the defunct Nairobi City Council that corrupt practices heavily depended on records that played a crucial role in the manifestation of corrupt practices therein. Major weaknesses were noted with respect to records management such as lack of a comprehensive Records Management policy to guide the creation, storage, maintenance and retrieval of records. It contributed to the loss of the Nairobi City Council assets and resulted in endless disputes because of lack of documented evidence of transactions. It stated that the lack of proper management of vital records such as title deeds, contract documents, development plans, drawings, human resource and general administration records. This means developing an environment ideal for corruption. The report concluded that an efficient Records Management system is vital for the fight against corruption apart from providing basic support for transactions and institutional memory for planning.

The use of records is notable in the human endeavour and is necessary in various business and other human activities. Moss (2005), notes that record keeping is an essential element in the administration of government. Records management has evolved from the ancient world to present times. The coming of computers in the middle of the twentieth century affected the role of records management underpinning effective administration due to the mass production of records and the vulnerable nature of electronic records generated. It is imperative for organizations to have reliable record keeping procedures and systems to sustain issues like censorship and retention policies, intelligence, security and intellectual property purposes (Cox, 2006).

Governmental bodies should recognize their responsibility to the public by implementing and maintaining sound records. To ensure that records management

receives the attention it deserves, it should be a strategic objective in the governmental body's strategic and business plans. Heads of governmental bodies should also ensure that they budget for the records management function and that the necessary financial, human and technological resources are allocated to support the records management function.

2.8.1 Symptoms of Poor Records Management

According to Mnjama (2003) the situation of records management in Kenyan public organizations is riddled with major problems such as;

- Lack of accountable records management goals

- Incompetent and unqualified staff in records management and archives

- Poor storage facilities

- Lack of training in records management and archives

- Lack of financial and administrative support in records management

- Low emphasize on introduction of ICT's at expense of paper based records management systems

The implications of this are:

- Loss of control over creation and use of records

- Loss of control over access to records.

- Fragmentation of official records

- Existence of different versions of the same information or duplication of records

- Loss of contextual information such as the original and date of creation

- Ease of manipulation of electronic records

- Difficulties in retrieval of records

- Misuse of records such as unauthorized access or alteration of records

2.9 SUMMARY

Service delivery is key in public governance. Records management is an equally vital tool in the running of public bodies since it forms the base for the effective implementation of all services provided by good public services. This chapter has provided the theoretical framework upon which the study was based. It has also reviewed related literature on records management and service delivery.

CHAPTER THREE

RESEARCH METHODOLOGY

3.0 INTRODUCTION

This chapter discusses the research methodology, research scope, research design, study population, sampling methods and procedure for data collection, reliability, validity, ethical issues and data presentation analysis. Crofty (1998), defines methodology as a strategy, plan of actions, a process or design lying behind the choice of particular methods linking the choice and use of methods of desired outcomes.

3.1 RESEARCH APPROACH

Research methods scholars have identified three major research approaches; Qualitative, quantitative and mixed methods (Creswell, 2003; Yin 2003). The current research adopted a qualitative approach. It focused on processes and verbal descriptions. It seeks the insight of the topic in the study rather than generalization. The advantage of a qualitative approach is that it provides rich data about real life situations and is able to make sense of behaviour in context (Creswell and Creswell 2017).

Qualitative approach method used sought to identify the services the County Government offered like health, land, roads, tourism, investments, financial, human resources management and others and the perceptions of the respondents on how records management assisted in provision of these services. It also aimed at determining the availability of these services, appropriateness of records management practices if they were compatible with other services given to the clientele and user friendliness. It aimed as well to determine strengths and weaknesses that affected the services which were attached to records management at the County headquarters. It

also sought to know the level of integration of records management and services offered within and without the County headquarters.

Qualitative data collection techniques such as semi structured interviews were employed to find out more about the views of staff members concerning many aspects of records management and service delivery strategies at the County headquarters.

3.2 RESEARCH DESIGN

A research design is a research plan of action. A case study approach was adopted based on its suitability in explanatory, descriptive and exploratory features. This is supported by Patton (2002) who considers the ability of a case study which seeks to describe a unit in detail, context and holistically. It also permits utilization of multiple sources and techniques in data collection and analysis

3.2.1 Case study

This study used single case study design of Uasin-Gishu County headquarters. A case study as a research strategy is used in many situations to contribute to our knowledge of individual group, organizational, social, political and related phenomena. Yin (2003) opines that case study is an empirical inquiry that investigates a contemporary phenomenon within its life context especially when boundaries between phenomenon and real life context are not clearly evident. Case study research should be considered as a research strategy which includes specific approaches to data collection and data analysis.

This case study was chosen to examine records management and service delivery at Uasin-Gishu County headquarters as a function and its impact on service delivery strategies of the County Government. This information assisted in developing a

framework that brought the two tasks together into the County government operations. This case was also chosen to examine records management and service delivery at Uasin-Gishu County headquarters and to determine the state of records management, the gaps and what could be done to establish the reasons for existing situations and suggested possible measures to improve the current situation.

The positive side of the case study is that it boasts of in-depth treatment of a subject area. This provides details about practices and processes being studied to bring understanding in relation to a particular historical context (Gilbert 2001). The aim of the study was to link records management and services provided by the County Government like land rates payments, tax collection, roads construction and repairs, health and many more. The case study here was most appropriate as a research strategy as it probed deeper into the extent of application of records management at Uasin-Gishu County headquarters. Yin (2003), states that a case study approach allows an investigator to maintain a holistic and meaningful characteristic of real life events. The results of the study can be applied in similar organizations.

3.3 STUDY POPULATION

Cooper (2006) notes that population is the total collection of elements about which researchers wish to make inference on. It is a group to which the study can be generalized (Gay and Airasian 2000). The Chief Officers are the heads of departments who work directly under the County Chief Executive Officers. The Chief Officers are the County Accounting Officers in their respective departments and are involved in the day to day running of their activities. The Action Officers are heads of sections and are mandated to supervise staff under them while they report to the Chief

Officers. The records officers are in charge of county records and are based in the registries. The clerical officers run day to day record matters at the County offices.

The study population comprised one hundred and twelve (112) respondents who included representatives of the ten (10) Chief Officers of Uasin-Gishu County, twenty two action officers (22), twenty five (25) records officers and fifty five (55) clerical officers.

The study population was draw from the following offices/departments:

1.   Office of the governor

2.   Office of the deputy governor

3.   Office of the county secretary

4.   Department of public service management

5.   Department of medical services

6.   Department of trade industrialization, tourism and wildlife management

7.   Department of finance and economic planning

8.   Department of information and communication technology

9.   Department of public service board

These departments were chosen based on the higher number of staff based at the headquarters. The office of the governor and the deputy represented the top management of the County Government while the rest had defined records systems that were operational. The County Officers from the selected departments also

provided services across the entire County Government and it can therefore be deemed that the whole County Government headquarters was represented.

3.4 STUDY POPULATION

Due to the relatively small number of the respondents that were involved in the study, the census approach was adopted. Fraenkel and Warren (1993) states that census is the total enumeration of the study population. This method is used when the target population is small. In this case we had ten Chief Officers, twenty two Action Officers, twenty five records officers and fifty five Clerical Officers. All the respondents were to be interviewed. The researcher however reached saturation levels after interviewing 51 respondents and data analysis was done based on their responses. This is where the researcher obtained similar responses from the interviewees and no new data was being collected.

The respondents consisted of fifty one individuals (51) who were drawn from all the four cadres. A total of six (6) Chief Officers, ten (10) Action Officers, fifteen (15) Records Officers and twenty (20) Clerical Officers participated in the study. They formed forty five point five (45.5%) of the study population.

Table 1 : Distribution of Respondents as Per Departments/Offices.

Office/Department	Chief Officers' Representatives	Action Officers	Records Officers	Clerical Officers	Total Resps	%
Governor	0	1	-	2	3	5.8
Deputy governor	0	1	-	1	2	3.9
County secretary	1	1	-	2	4	7.8
Public service management	1	2	15	3	21	41.1
Medical service	1	1	-	4	6	11.7
Trade industrialization, tourism and wildlife mgt	0	1	-	1	2	3.9
Finance and economic planning	1	1	-	3	5	9.8
Information and communication technology	1	1	-	2	4	7.8
County public service board	1	1	-	2	4	7.8
TOTAL	**6**	**10**	**15**	**20**	**51**	**99.6**

The departments/offices that are shown on the table above are housed at the County headquarters and were all involved in the study. The table also indicates that the department of public service management was chiefly represented in the study compared to the other departments. The reason this was the case is because all the records staff fall under this department and all of them were targeted for the study. It

is also the department with the highest number of staff at the county headquarters. Medical service department was second with 11.7% of the staff participating in the study. Finance had 9.8% of the participants. County secretary office, department of information and communication and the county service departments had each 7.8% of the participants. The office of the governor had 5.8% while the office of the deputy governor had 3.9% alongside trade and industry department.

This also shows the saturation points for each category of respondents. The saturation point was determined after the interviews.

3.5 DATA COLLECTION METHODS

The researcher worked hand in hand with the Office of the County Secretary who designated an Action Officer who was not part of the study. This officer assisted to introduce the respondents and scheduled interviews as per plans.

Research methods are defined as techniques used for collection of data (Bryman 2008). Questionnaires, interviews, observation, tests, documentary reviews/analysis and focus groups are some of the methods used by researchers. These methods can individually be applied or used in combination depending on the objectives of the study. According to Cohen et al., (2004), the opinion on that instrument to be employed for the study is determined by the research.

The researcher used a combination of semi-structured face- to- face interviews(see appendix 1-4), and an observation checklist (see appendix 5) to collect data. These instruments helped the researcher to collect comprehensive data hence providing better results.

3.5.1 Interviews

An interview is a social interaction between two people. An interview is therefore subjected to all influences that occur in interpersonal communication. The researcher used semi-structured interviews in the Uasin-Gishu County headquarters staff interviews. The questions asked were derived from the objectives and research questions of the study (see appendices 1-4). Face to face interviews were done and in some instances, telephone interviews were used to clarify information previously given. The researcher took notes during the interviews to capture the information. Nassiuma (2000), states that it is one of the most widely used methods of data collection in the social sciences and represents communication between people for the purpose of obtaining or exchanging information on some subject. Semi structured interviewing is the main data collection method selected, which although time consuming, has worked well in other similar researches in the United Kingdom (Shepherd and Ennion 2007). It is a very good way of accessing people's perceptions, meanings, and definitions of situations and construction of reality.

3.5.2 Observation

According to Busha and Harter (1980), the term observation is used to refer to a close, usually visual-surveillance of a subject or object and that the information obtained, that is, the observation in the form of recorded data will then be related to more general propositions or theories. Observation is a method of recording conditions, events and activities through the non-inquisitional involvement of the researcher (Walliman 2015). The non-participant researcher takes a detached stance to the phenomenon and aims to be invisible either in fact or in effect. The advantage with observation is that it is a quick and efficient method of gaining preliminary knowledge or making preliminary assessment of a particular state or condition.

The researcher used non-partisan observation approach with the use of an observation checklist so as to remain focused on the study (see appendix 5). The observation method was chosen to assess the records management tools, the physical environment, storage facilities, storage areas and the state of records, the speed at which clientele were served, user friendliness and the use of ICT installations to serve users. Observation was done concurrently with interviews in order to complement it.

3.6 DATA COLLECTION PROCEDURES

The researcher obtained a research permit from the National Commission for Science and Technology accompanied with the letter from Uasin-Gishu County Director of Education. A letter of authorization was obtained from the County Secretary in order to increase confidence of the respondents to answer questions freely without fear. Interviews were booked days in advance. Interviews were done physically to the selected staff.

3.7 DATA PRESENTATION AND ANALYSIS

According to Burns and Williams (2000), the purpose of data analysis is to 'find meaning in the data, which is done by the systematic arrangement and presentation of information'. The researcher made use of the information to answer the research questions of the study. The data collected was analysed thematically in line with the objectives and research questions of the study. Tables were used to summarize some variables.

3.8 VALIDITY AND RELIABILITY

Validity is the degree to which results are obtained from analysis of data actually representing the phenomenon under study (Mugenda 2003). Nassiuma (2000), states that, validity of research outcome refers to the extent to which what is observed reflects what is expected. This is the manifestation of accuracy and authenticity of the methods applied and the potential for generalizations. In qualitative study validity is about credibility, neutrality or confirmability (Lincoln & Guba, 1985). The study achieved this by use of triangulation in data collection in the use of interviews and

observation methods. It used raw data, data reduction method products and process notes.

The researcher carried out a pilot study to test both validity and reliability. The pilot study enabled the researcher to find out if the selected questions were achieving answers as intended, if wording was clear and if all questions were interpreted the same way by respondents. After the pilot study, the research instruments were revised to reflect the changes. The pilot study included individuals who did not form the body of the final respondents. The fact that each person was answering identical questions on an interview increased reliability of responses. The use of multiple data collection methods (triangulation) increased credibility of the findings that were tied to the objectives to control any deviation from the problem.

3.9 ETHICAL CONSIDERATIONS

The researcher had a responsibility to the respondents, professionals and the institutions involved in the study. The researcher therefore endeavoured to abide by pertinent ethical issues presented by Patton (2002) which included;

- Obtaining the requisite research permit from the following; the National Commission for Science, Technology and Innovation, the Uasin-Gishu County Director of Education and from the County Secretary
- Obtaining informed consent from participants when they understood the purpose of the study.
- Observing confidentiality to provide protection by giving guarantees that the data was not to be released to anybody else.
- Reassured participants that they could reveal what they otherwise may not reveal to help the researcher understand their perspectives.

- Openness especially on how data collected was going to be used and who was going to access it.

- Treated all subjects fairly based on the principle of justice. During the course of the study, fairness was adhered to.

- Ensured the subjects' right to anonymity especially those who did not wish their identity to be known.

3.10 SUMMARY

In this chapter the discussion centred on study design research methodology, an account of data collection procedures, ethical considerations and the procedure for data presentation and analysis.

CHAPTER FOUR

DATA PRESENTATION, ANALYSIS AND INTERPRETATION

4.0 INTRODUCTION

This chapter present data analysis and interpretation of the study. Data was obtained from the field through interviews and observation.

4.1 RESPONSE RATE

A total of fifty one (51) respondents out of a study population of one hundred and twelve (112) participated in the study. This comprised 6 (six) Chief officers, ten(10)Action Officers, fifteen (15) records officers and twenty (20) clerical officers drawn from various sections/departments of the County government. Interview schedules were administered to all the respondents. The verbatim respondents are coded as C1, C2 etc to represent Chief Officers, A1, and A2 for Action Officers, R1, and R2 for Record Officers and L1, L2 etc for Clerical Officers.

4.2 RECORDS MANAGEMENT PRACTICES AT UASIN-GISHU COUNTY GOVERNMENT HEADQUARTERS

Objective one of the study was to investigate how records are managed and establishes the records management practices at Uasin-Gishu County Government.

To address the objective, different aspects were looked at including availability of records management policy, general records management practices, staffing of records management functions, and tools used in managing records as presented in the sections that follow.

4.2.1 Records Management Policy

In order to establish how records were being managed at the county, it was deemed necessary to first and foremost establish the existence of a records management policy. All the respondents were therefore asked to state whether there was a records management policy in place and their response is presented under different sections according to the different groups.

4.2.1.1Feedback from the Chief Officers

Question 9 on the Chief Officers' interview schedule (see appendix 1) required the respondents to state whether the County had a uniformly applied records management policy in place.

The Chief Officers responses were divided on the issue of policy as four indicated that there was one in place while two stated that there was none in place. This confirmed that the records management policy was not comprehensively understood by the Chief Officers and the few who knew of it could not really provide the details it captured. One of the chief officers had this to say;

'*We have procedures on particular records activities but there is no document that wholly encompass records activities' C2*

This confirms lack of policies that guide proper management of records and therefore, affect delivery of services at the County Government.

4.2.1.2 Feedback from Action Officers

The Action Officer's question was captured by item 10 of the action officer's interview schedule. Six action officers indicated that they knew of a records management draft policy while two stated that they were unsure of the policy that was

applied in the management of records at the County headquarters. Two respondents in this category said that there was none in existence. This confirmed the Action Officers were not fully aware of the records management policy in place. The following reply represents what the majority respondents said.

'There are sets of instructions that guide in records management practice but no policies on records management' A1

4.2.1.3 Feedback from the Records Officers

Question 10 of the interview schedule for records officer sought to find out whether the county had a records management policy (see appendix 3). Eight respondents of this cadre indicated that there was no policy that guided the management of all records at the County headquarters while five said there were guidelines on records management. Two said they were not aware if there was any records management policy that was applied in the management of the County records. Item 21 for record officers inquired whether there was adequate support in policies used in managing records of the County government. The majority of the respondents (nine) replied that there was little support while the rest said they did not know much on what the County administration did to uphold proper records management at the County headquarters. The following responses act as a summary to the views given.

'No we do not have any policy but specific guidelines on records management activities like classification and disposal of records' R1

Another one remarked;

'There are none as a comprehensive guideline but rather rules for particular records we have'R2

While another said;

There is little support that specifically addresses the records management function but the general county operations that could include records management' R4

4.2.1.4 Feedback from the Clerical Officers

The interview schedule for Clerical Officers on item 3 (a) (see appendix 4) required the respondents to state whether there was a records management policy in place at the County headquarters. The respondents were divided on the opinion whether one was in place or not. Only four stated that a records management policy was in place while eleven were of a contrary opinion evidenced by one respondent who said "*there is no policy entitled records management in place' L9*

The rest of the respondents were unsure of any records management policy that was used at the County headquarters.

4.2.2 Records Management General Practices, Procedures and Guidelines

All the Records Officers interviewed admitted that they did not have a comprehensive guideline on the records management practice in their department. They stated that these guiding documents were a variety of instructions showing how to undertake records management specific tasks like classification of records, communication from the Chief Officers and the Action Officers on records management activities and periodical instructions on how to manage the records. The other document identified by two respondents was the Public Archives and Documentation Service Act- CAP 19 Laws of Kenya.

To establish the general records management practices at the County, the records officers who were perceived to be directly involved with records management

practices were asked to state their activities on a daily basis. Their responses are summarized in the table below;

Table 2: Records Management Activities among the Records Officers (n=15).

Daily Activities	Frequency
Identification /opening new files	8
Classification of records	5
Records Scheduling	10
File movements to Chief officers/Action Officers	4
Training records Staff	2

When asked how they handled confidential records, ten records officers said that they were not aware of any confidential records practices. Only two respondents stated that they kept records of the Chief executives under a file cabinet in the central registry under lock and key.

For more insights into the records management practices, the records Officers were asked how vital records were managed. Their response was that they did not have any program for vital records.

Similarly, when asked how prepared they were for records related disasters, they all responded that they did not have any disaster management program

A question was asked on the management of electronic records and a majority indicated that most of their records were in paper form. They however acknowledged that e-mails were received but it was within the mandate of the County secretary who usually determined which e-mails to be preserved. They were then asked whether they

had documented guidelines to direct their activities. All the fifteen (100%) indicated that they did not have comprehensive guidelines. However, they all agreed that they received instructions from the Chief Officers on specific tasks such as classification, handling of communication among others. The respondents added that the Public Archives and Documentation Service Act CAP 19 provided further instructions on how records are handled.

4.2.3 Tools Used in the Management of Records at the County Headquarters

In order to establish the strategies applied to manage records at the County, Records Officers and Clerical Officers were asked which tools were used in the management of records.

Table 3 Records Management Tools Used at the County Headquarters (n=35).

Tool	Respondents citing Yes
Records Inventory	22
Records Tracking	25
Standard Operating Procedures	0
Classification Schemes	18
Records Preservation Program	9
Disposal Schedules	28
Disaster Preparedness & Recovery Program	0

The state of records management in the county goes in tandem with the knowledge of the technical staff who handled them. Majority of the staff had little know how of the tools used and the researcher had to probe them further.

Table 4 Specific duties of the Records Officers and Clerical Officers citing yes (n=35).

CADRE	Records Officers	Clerical Officers
Creation of files/records	8	7
Organizing files/records	10	18
Classification of records	11	5
Transfer to Action Officers/Sections	12	15
Scheduling of records	4	2
Disposal of Records	2	2

The table summarizes what the Records Officers and Clerical Officers stated as their day to day duties at the county government headquarters. In both case it would seem that organizing records and distributing them to the Action officers was their main activity.

4.2.4 Staffing of the County Records Management Services

The study sought to determine the education qualification levels of staff responsible for records management at the County. The respondents were first asked to identify the groups that managed records at the County headquarters. All the six Chief Officers indicated that records management at the County headquarters was under the custody of two main groups namely, the record officers and the clerical officers. The

records officers were in charge of records in the registries while clerical officers were responsible for records in the County offices on their day to day activities. These two groups managed records under the supervision of their respective Action Officers. Four respondents said that the County government inherited the staff of the defunct municipal council which was based at the registries and the County government immediately embarked on realigning records management staffing when it was formed. The respondent's' remarks here represents what many respondents gave as answers.

'The records are mainly under the records officers and the clerical officers who also control information matters of their offices with their respective Action Officers'C5

To probe this aspect further, the researcher found it necessary to find out the education levels of the two groups responsible for records management at the County. The records and clerical officers were therefore asked to state their level of education and more so training in records management. Table 6 contains a summary of the responses from the records officers.

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Table 5: Education level among Record Officers and Clerical Officers (n=35).

Category	Education Level	Field of Study	Frequency
Records Officers	Bachelors Degree Diploma Certificate 'O' Level Others	Information Sciences 2/Library,3/ICT, 2Administration Studies/secretarial Clerical/Human Resource	1 7 4 3 0
Clerical Officers	Bachelors Degree Diploma Certificate 'O' Level Others	- 2 clerical studies 2 in ICT 1 in accountancy Mainly in administration courses	0 5 9 4 2

Table 6 shows that the records management system was not adequately staffed. Majority of the staff were not trained sufficiently to handle records matters and this had contributed to a lot of problems on records management issues at the county

4.2.5 Data from Observation

Data from Observation was used to corroborate the findings on records management practices. The researcher asked to be taken round the registries and the following was observed: Many files were kept on top of tables and had gathered dust showing they had been on the tables for long. The registry was also congested and appeared disorganized.

The research discovered that all mails and other correspondences of the County and individual staff members were channelled through the central registry. These included personal letters which were received, registered and passed to their respective recipients.

Another observation made during the research indicated that a lot of records were in the custody of the Chief Officers and Action Officers. Many records, it was observed, were not stored in any logical formats which affected fast retrieval. The study through observation also noted many departments had sections that kept a few records for their daily activities. This included departmental meeting minutes, communication to section/departmental staff, operation manuals, professional meetings within and outside the County and copies of personal staff files. The study therefore noted a poor state of records management at the County Offices. The storage facilities were of low standards and many records were kept in files which were very old. Very low quality paper was used. Most files were old and worn out and a many had gaps thus hampering effective service provision. There were also no environmental controls at the registries and County offices to check on the optimum storage conditions of the records.

From these findings therefore the study established that records management at the County headquarters was not up to the required standard. This was arrived at through the absence of a records management policy, lack of a vital records management program, absence of a disaster management programme, inadequate trained staff and the state of registries as shown by the data obtained from observation. This according to the researcher was likely to jeopardize service provision in the County.

4.2.6 Data Analysis

From the findings, the County Government records management has not been up to any standards. This is because of lack of records management policy which is an essential component in a sound system. Moreover, the records management guidelines in place were not adequate to the same task since it failed to capture certain elements of a sound records management system like the electronic records or ICT born digital ones. Some respondents in the study did even understand what a records management policy was thus poking holes on their professional knowledge. The staffing was inadequate since majority were not trained in records management and were dissatisfied with their careers due to lower grading and lack of top management support. In a study on the digital records in Kenyan private and public sectors by Mutimba (2018), it found out inadequate funding, improper staffing and lack of top management support in records management downgraded the service. He asserts that training in digital records should be a preserve of contemporary organizations in the Kenyan public sector which has been ignored far too long. Nyamberi (2018), in the same vein in a study on how to annex electronic records solutions in the Kenyan Counties, acknowledge that records management in Kenyan public sector was riddled with ineptitude and lack of desire to implement sound electronic records management Nyamberi (2018), suggests that records management should be reviewed and the

Kenya National Archives and Documentation Services redesign existing inadequate procedures in order to offer solutions to records management functions in the public sector.

4.3 SERVICES PROVIDED BY UASIN-GISHU COUNTY GOVERNMENT USING RECORDS

The second objective of the study was to examine the various services provided at the Uasin-Gishu County government and identify how records contribute towards accomplishing these services.

The study analysed the role of records in services provided by the County government.

4.3.1 Feedback from the Chief Officers

The Chief Officers acted on behalf of the County executive in ensuring that proper services are delivered to where they are required.

To start with, the Chief Officers were asked to state their responsibilities (see appendix2). Six of them stated that they were assigned specific duties of monitoring the mainstream staff of the county government as per the requirements of the civil service practices of Kenya. Five indicated that they carried out duties mostly related to policy through the analysis of the County and National governments legislations. They stated that they had the responsibility of manning departments that catered for specific duties as assigned by the County government executive.

When asked the role that records played in discharging their responsibilities four affirmed that records were key in service provision as it linked all players

accordingly. Records are also used to audit the same activities. Four Chief Officers added that records made a co -operate memory.

The following excerpt summarizes the opinion of majority of the respondents with regard to the role that records played:

'Records act as tools that capture all activities of the county government such as, who is assigned to do what function, who is mandated to offer the specific task and who is to be served as per the stipulated county government rules'C4

The following key areas were identified by the Chief Officers as depending greatly on records:

- **Human Resource Management**

An interview with one Chief Officer mentioned the importance of human resource records since it contained information like dates of appointment, designations, and cadres, education level, entitlements, marital status and much more. It included items like collective bargaining agreements with the trade unions and capacity building programs for the County staff. The respondents also said that this formed the basis of decision making by the County government.

- **Public and Private Investments**

Three Chief Officer stated that public and private investors relied upon land records. The County land records formed one of the key components that potential investors sought before embarking on their projects. Land search done at the County registry is to confirm ownership and strings attached to the land assets that are within the jurisdiction of the county government One respondent said that the County government only undertook projects within the County that had valid title deeds. The

national government, non-governmental organizations, bilateral donors and foreign development partners were also identified as main users of land records. Two respondents pointed the use of various records like licensing, demographic, health and county staff reports that were always consulted by investors.

- **Marketing**

Four Chief Officers stated that records played an important role in various marketing strategies of the county. An example is the use of records marketing of the County sporting events. Many investors who sought young talents in the county consulted the department in charge of sports to identify athletes who could be sponsored in training and also to construct training camps. An example given by one respondent was the Eldoret City Marathon that was held annually and which liaised with the county department to make it successful. Two Chief Officers stated that records were used in the marketing of the agricultural produce of the County. The County agricultural field officers generated these reports. Besides marketing of the produce, the County government used records to implement development projects such as food processing facilities, construction of roads and liaise with bilateral partners to put up factories and to convince investors to put up facilities to process the produce or purchase the same from farmers.

- **Auditing**

Records are used in both internal and external audits of the County government. Six Chief Officers stated that all forms of auditing exercises relied on records of the County government. One respondent stated 'no auditing can be done at the County government without the use of the County records because they form the first hand information any one can access'. This affirms the importance of records since it

communicate the most authoritative facts that takes place at the County government. Four respondents particularly pointed out financial records as key in auditing processes and they mentioned the auditor general's office which relied on these records. Two other respondents said that various organizations and nongovernmental organizations particularly the civil society groups relied on County records to authenticate facts of the County government.

To summarize this Chief Officers were asked to identify records required for various services at the County.

Their responses are summarized in table 6

Table 6: Records Required, Generated, Received by County Chief Officers and Services.

Respondents	Services Provided	Records required to carry out duties	Records received	Records generated/created
Chief Officers	Development of Inventories, Auditing, County Legal obligations, Identification of staff Entitlements, Services to Citizens e.g. Land transactions, taxation and lease agreements County, National and International implementation of projects Protection of Private Sector Investments, Developing Audit reports, Use in Anti-corruption exercises Developing various county reports County procurements etc	Staff briefings, County Assembly Reports, National Government Reports, Parliamentary Reports, NGO Reports, Budget Reports, Research Reports, Investor/Private Correspondences, Financial/audit Reports, Human Resource Reports, Legal Reports, Kenya Gazette Departmental procurement requests Staff procurement requests etc	County reports, audit reports, staff appraisals, minutes of county meetings, County Assembly reports, collaboration reports, letters and E-Mails, Departmental reports	County E-Mails, Policy documents, County Publications, Advisory briefs, Kenya gazette notices, Seminar workshop reports, Human resource Reports, Departmental Reports, County/Departmental Inventories, Audit Reports

4.3.2 Feedback from Action Officers

The ten Action Officers were also asked to state their main duties in their section/departments at the County headquarters. The ten respondents gave varied responses. Common ones included;

- 'Manning the County units/sections'

- 'Supervising operations of their respective offices'

- 'Reporting to the County Chief Officers on operations of their offices'

- 'Being in charge of County projects and supervising the same'

- 'Recruiting of staff on behalf of the County government'

- 'Ensuring discipline among the County staff under their offices'

- 'Appraising staff on behalf of the County executive under them'

- 'Preparing budgets for their sections/units'

When asked to state who the services were directed to, eight Action officers stated that they served both the general public and the County staff. Two Action officers answered that their services were directed to the County Staff while one was specific that it included the County executive.

Records Management and Service Delivery

When asked to identify the areas where records were mostly used to provide services, the respondents reported that records were indeed used in almost all the spheres of service provisions.

The table below is a summary of how records were required, generated and used by the County Action Officers.

Table 7: Records Required, Generated, Received by Action Officers and Services.

Respondents	Services Provided	Records required to carry out duties	Records received	Records generated/created
Action Officers	Development of County rules regulations, Management of County Assets (Inventories) Internal and external audits Staffing of departments and or sections Developing Staff appraisal reports, Reports to Citizens, Anti-corruption strategies. Development and implementation of County projects, Other Services to the general public	County chief officers/executive communications, County Assembly instructions, National government reports Staff briefings, , Budget Reports, Research Reports, Investor/Private Correspondences, Financial/audit Reports, Human Resource Reports, Legal Reports, Kenya Gazette	County reports, departmental audit reports, departmental staff appraisals, minutes of county meetings, county assembly reports, Letters and E-Mails, Departmental reports. Proposals from the general public	County E-Mails, Policy documents, County Publications, Advisory briefs, Kenya gazette notices, Seminar workshop reports, Human resource Reports, Departmental (ministerial Reports), County/Departmental Inventories

The Action officers were asked to identify functional areas where they felt records were critical and majority identified the following;

- Human resource management
- Financial Management
- Legal reports
- Inventory development

- County Assembly reports
- County Departmental functions
- Private and Public Investments

4.3.3 Data from Observation

Observations in relation to this objective focused on the services provided at the County headquarters and use of records, the service flow and their relationship to records; the custodians of records used in particular services and the clientele who sought records at the county headquarters.

Through observation the researcher noted heavy use of records on various areas. Notable usages of records were land records which had an estimate of two hundred (200) users daily. Most of these transactions were of payments of land rates, verifications of land ownership and search matters. There was also heavy use of human resource records particularly personnel records. Many clerical officers sought records of individual staff members to process their entitlements such as leave, medical, staff reviews and promotions. These records were consulted whenever decisions were made on members of staff by the County senior staff.

4.3.4 Data Analysis

The study here identified records as key in the operations of the County government based on the importance as shown by the Chief Officers and the Action Officers. The importance of records was affirmed as tools that captured activities of the County government and it gave directions on various duties of the respondents. The study has identified the various areas where records are required in the County service provision. The entire County staff fraternity depended on records to communicate responsibilities, to identify their entitlements. Records are used as well to manage

finance, in accountability, anticorruption, private and public investments and many more. Kemoni and Ngulube (2008) in a study on the relationship between records management and the United Nations' Millennium Development goals in Kenya enumerated the effects of records management and service deliver. Their finding corroborated with this study findings that poor service delivery in the Kenyan institutions emanated mainly from poor records management.

From the foregoing, the study established that every service provided by the county government depended entirely on records and this calls for proper management of the records.

4.4 INTEGRATION OF ICT'S IN COUNTY OPERATIONS AND RECORDS MANAGEMENT AT UASIN-GISHU COUNTY HEADQUARTERS

Another objective of the study was to establish the integration of ICT's in the County operations as well as in records management at the Uasin-Gishu County.

Access to information by stakeholders is often greatly limited because of poor organization and management of records. A well-organized record keeping system can facilitate easy access to information by the public. Moreover, record management systems can also ensure that individual civil servants can be held accountable for their actions.

4.4.1 Feedback from the Chief Officers

The study sought to find from the respondents how information and Communication Technologies have been harnessed to manage records and provide consequent services at the County headquarters.

All the respondents said that there was ICT infrastructure at the County headquarters that supported records management at various levels.

The researcher sought to know who was in charge of the ICT installation at the County. One respondent who worked at the finance department stated;

'Although there is the Integrated Financial Management and Information System (IFMIS) in place, the ICT personnel gave only technical support to maintain the created or received records in the system')C6

One respondent however contradicted his/her colleague when the reply stated:

'The ICT personnel managed all the records in the system and manipulated its use since they controlled all the hardware and software therein'.C5

This meant that electronic records and ICT based information resources had no definite managers or e- records management was unclear at the County headquarters. Four respondents stated that e-records management was the responsibility of the respective departments which determined what was considered records and therefore stored for future use while the rest was disposed of. The same respondents indicated that certain forms of electronic records were the responsibility of Chief Officers and Action officers who determined the suitability of the e- records. One Chief Officer stated that '*plans were underway to improve efficiency of the services provided by the County government based on the application of ICT's through an upcoming data centre*'. This Chief Officer said that '*areas which were earmarked for online services included revenue, hospital, human resource, enterprise fund, job advertisement and the external suppliers*'. The County government upcoming data centre had various aims as mentioned by two Chief Officers which included a much more   vibrant local

area network (LAN), development of a management information system for the entire county government and linkages of the entire county departments. It also includes teleconferencing infrastructure and a data recovery site. Five county Chief Officers said that there was a budget for computer acquisition to meet this requirement. Four Chief Officers added that more staff had been deployed with ICT skills to man the registries and to develop an e-system to handle records matters. Three Chief Officers pointed out that more in house training and capacity building based on ICT applications had been conducted lately at the county headquarters. The data centre had enabled some functions like the payment of the parking fees in Eldoret town using the Safaricom mobile money transfer platform *'Mpesa'*. It has led to the installation of teleconferencing facilities and a sound E- Mail capture system.

4.4.2 Feedback from the Action Officers

The ten respondents were asked to state the record formats maintained in their sections. Six respondents said that they had paper records while four stated that they had both electronic and paper records. When asked the type of electronic records they had in their custody, they replied e-mails as the main electronic records they had. The respondents were asked to give information on maintenance strategies applied on the e-records and they gave the following replies; '*E-mails were received at the County headquarters and the Action officers decided which ones were very important to be kept in any electronic storage media of choice or be printed and kept as paper records'.A3* Another one said *'records within the county system and data centre belonged to the respective county departments while the hardware and software was managed by the ICT section'A6*

4.4.3 Feedback from Records Officers

The respondents in this category were asked which type of records the registries managed. Eight of them reported that it included electronic records. The types of electronic records mentioned were '*E- Mails, word- processed documents, electronic spreadsheets, digital images and databases'.* When asked on the practises and procedures applied in the management of records at the County headquarters, ten respondents replied that no specific practices and procedures existed. When asked to explain who managed the electronic records at the County headquarters, eleven respondents answered that it was upon the respective County offices to manage them. The question on who is in charge of the security of electronic records elicited varying responses with some replying that it is the responsibility of the ICT department and or the Action officers and their office staff. When probed on their knowledge on ICT and electronic records, all the fifteen respondents answered that they had no formal training on how to handle electronic records. These respondents were further asked whether they had any experiences on loss or damage of electronic records and all the fifteen respondents answered yes and admitted that ICT and electronic records management faced a lot of challenges at the County headquarters.

4.4.4 Feedback from the Clerical Officers

The Clerical Officers were asked whether they had skills to manage both paper and electronic records. Six respondents indicated that they had the know-how while eleven stated they lacked skills on the management of electronic records while three thought they were not fully knowledgeable electronic records. When asked about their skills on ICT applications on records management their answers were negative. An enquiry on the understanding of the ICT installations at the County headquarters

all acknowledged the existence. When further probed on the use they indicated E-mails, IFMIS, Spreadsheets and Databases.

The IFIMS project was identified as a system that used ICT applications at the County headquarters. Four respondents explained that IFMIS generated a lot of paper records as well. These records, they indicated were often used by the County Chief Officers and Action Officers to procure and verify financial transactions of the county government.

All the respondents said that they were satisfied with the allocation of computers at the County offices. The respondents also acknowledged that computers had made improved resource connectivity in the County and databases could be accessed by staff members with ease as opposed to the past.

They noted that the County clients were nowadays served quite faster unlike before since in-house database systems were used to process payments and queries were faster answered.

ICT's also come into handy as explained by the respondents since it facilitates cheaper and reliable communication between departments through E-Mails technology.

4.4.5 Data from Observation

Observation in relation to this objective focused on the availability and use of computers on records management activities, use of electronic records management systems and offsite electronic applications in use to provide county services.

The study through observation found out that Uasin-Gishu county government had invested a lot in ICT. Many offices at the County headquarters had desktop

computers. There was a lot of paper processes in place with little ICT applications in use in the management of records. A network system of computers was also in place.

The study therefore identified an existing ICT installation at the County government headquarters. The County Offices and registries had desktop computers and a local area network was in place with internet connectivity. However the records staff had no control over electronic records since it was a reserve of the ICT staff. The records management had not invested on any electronic records management systems to capture, schedule and dispose of e-records. The respondents identified various types of e-records they handled as databases in use, spreadsheets, digital images among others. IFMIS was noted by the respondents attached to the finance department. There were no electronic records management policies at the county headquarters and records staff had no formal training on how to handle these types of records.

4.4.6 Data Analysis

From the findings it is clear that the County headquarters had deployed ICT into their business processes and this had resulted into the creation of e-records. However, although the findings showed that the necessary hardware was in place, the County did not have software to manage the e-records created. This meant that the e-records were improperly managed and the County may not completely benefit from the deployment of the ICT in as a far as service provision is concerned against the expectations of the County government. This is because as indicated earlier much of the service provision depended entirely on records. Any mismanagement of the records would therefore inevitably result to poor service provision. Lack of a records management policy, inadequate skills, lack of top management support and poor storage conditions are a driving force behind the failure to use ICT in the management

of records management. Maseh (2016) in a study on E-government implication for records management in Africa found similar attributes that informed the failure of public institution to implement sound electronic records management.

4.5 CHALLENGES FACED BY UASIN-GISHU COUNTY GOVERNMENT IN MANAGEMENT OF RECORDS

Another objective of the study was to identify the challenges faced by Uasin-Gishu County headquarters in the management of records and service delivery.

Data was collected from all the four cadres of the respondents since they were directly or indirectly involved in the management of records and service delivery at the County headquarters.

The following is a summary of the main challenges identified by the Chief Officers and Action Officers.

4.5.1 Feedback from Chief Officers and Action Officers

The Chief Officers and Action Officers were asked about policy and managerial challenges while the records officers and the clerical officers were asked about operational challenges experienced in the management of records at the County headquarters.

- **Policy**

All the cadres indicated lack of a comprehensive policy as a major challenged faced by the County headquarters. The respondents pointed out existing manuals did not comprehensively address the needs of all types of records that were received and generated by the County government.

- **Space**

The respondents noted that the volume of records rose due to the increase in the number of staff and mandate of the County government. A number of records from the defunct local authorities that operated at the County were brought in causing an inevitable increase in the volume of records at the County headquarters. This became a big challenge after the establishment of the County government.

Two Action Officers said that some important records could not be accessed at the County headquarters due to scarcity of space. They gave examples of records of the devolved ministries as some that were still based at their former offices outside the headquarters. This had created gaps in some instances thereby adversely affecting service delivery.

- **Trained Staff**

Failure to hire trained staff in records management was highlighted by two Chief Officers and two Action Officers who spoke about inadequacy of skilled records managers and low morale due to mismatch of skills and the existing county staffing. One respondent remarked that qualified records management staff with training had been deployed to other sections of the County government mainly in the administrative positions.

- **Disaster Management Program**

Lack of a disaster preparedness and recovery program at the County headquarters could jeopardize County services should a problem occur in the headquarters.

The following response given by one respondent summarizes what majority respondents said;

'The records management process experiences slowness due to missing files, slow procedures in use, inadequate space, too manual systems and inadequacy of qualified staff to man a sound records management system'. L1

Four Action Officers were of the opinion that the present manual system contributed to poor service delivery at the County government. They were optimistic that the then upcoming data centre would see all departments of the County government network their services through computerization.

Other comments from Action Officers included:

- "Low professionalism in systems and records maintenance e.g. digital preservation skills, resulting in problems of inefficiency in managing e-records";A3
- "Changing governance structures and service delivery strategies demanding newer technologies to address compatibility and operability of old and new systems at the County level";A2
- "Poor maintenance of ICT's, computers and storage devices caused by computer failures and virus attacks";A5
- "Data integrity and security challenges";A10
- "Low ICT services among staff in other departments who lacked computer literacy skills"A8

4.5.2 Feedback from the Records Officers and Clerical Officers

The Records Officers and Clerical Officers cited the following challenges in their responses;

- 'Little support from the top management in providing adequate space and other requirements for the records management service'L15

- 'Low funding of records management resulting in drawbacks in execution of records management activities'.R5

- 'Inadequately skilled records management staff which affected professionalism in records management at the County headquarters'.R12

- 'Low grading of records management staff and regular transfers of skilled records management staff to other administrative posts within the County government'.L19

Table 8: Records Officers and Clerical Officers Comments on Satisfaction Levels of named Issues (n=35).

Issue	Quite Satisfactory	Satisfactory	Unsatisfactory
Staffing	10	15	10
Equipment	5	12	18
Quality paper	12	15	8
Storage Space	3	12	20
Filing System	16	15	4
Tracking system	12	15	8

The table above is a summary of views the Records Officers and Clerical Officers felt affected records management activities at the county government headquarters

4.5.3 Data from Observation

Observation in relation to this objective focused on records processes, space adequacy issues, and appropriateness of equipment It also included security, physical location, access policy and environmental controls of records.

Correspondences and mails were registered on a delivery book at the Central registry for official mails to the County government but not to private or any other mails. However there were no rules on how to manage electronic records. There were no standard forms filled whenever one requested for a file and no records were available for any past requests on particular records. The study through observation found out that there was a manual on records management. It gave rules on access policy of these records.

Space appeared a major problem in handling of records. This was evidenced by many records which were traced in the various County offices as opposed to the registries. This was further complicated by numerous file arrangement styles adopted by the County offices which resulted in retrieval problems.

The records tracking system was limited to file registers based at the registries. The County headquarters had not employed the use of electronic records management filing systems to save time in records tracking. This consequently had led to slow service provision.

The state of electronic records also brought doubt in the seriousness of the County government on how best to manage these records. This meant the County had not invested on ICT based records management system thereby endangering the born digital records.

The finance department had a lot records which appeared kept on piling yearly. The salaries section for instance generated huge payrolls monthly.

4.5.4 Data Analysis

The results of the study findings identified various shortcoming that affected negatively the records management system at the county government headquarters and hence service delivery. Some major challenges included lack of a records management policy, space was too minimal for records management activities, few trained staff on records management, little ICT utilization in the management of records with linkages to service delivery and lack of skilled staff on electronic records management. There was also lack of disaster preparedness and recovery program and no vital records program. The County top management did not give enough support to records management, low funding was experienced on records management activities and the records staff were of lower grading. These challenges have belittled the County in service provision. Wamukoya and Mutula (2005), in a study on e-records management and governance in East and Southern Africa came out with similar findings and noted that the African set ups faced similar challenges majorly as a result of historical, political, cultural, managerial and technological factors.

4.7 RECOMMENDATIONS BY UASIN-GISHU GOVERNMENT STAFF ON STRENGTHENING OF RECORDS MANAGMENT

The study also sought to get appropriate recommendations on how Uasin-Gishu County government could strengthen the records management function in order to enhance service delivery at the County. The recommendations made by staff can be summarized as follows.

4.7.1 Recommendations by the Chief Officers

➤ 'Sensitize top County Officers on records management and service delivery'

➤ 'The County's strategic plan to incorporate records management into various services provided by the county government'

➤ 'To set up a committee on disaster preparedness and recovery'.

➤ 'Increased funding to facilitate new appointments and training of records staff'

➤ 'Inclusion of records management in all ICT applications at the County'

➤ 'Developing a disaster preparedness and recovery program'

4.7.2 Recommendations made by Action Officers

➤ 'Sensitize all managerial staff on records management'

➤ 'Capacity building through recruitment of records staff and training of existing staff'

➤ 'Formulate policies addressing records management and service delivery'

➤ 'Employ a Records Manager to oversee records management activities in the institution'

➤ 'Speed up computerization of records'

➤ 'Increase allocation of funds for records management activities'

4.7.3 Recommendations made by Records Officers

➢ 'Appraisal of records should be done regularly with an aim to identify and maintain valuable records. This will assist in reducing storage costs'.

➢ 'The County headquarters and particularly the registries to have in place proper tracking devices/tools to help in records movement within the County headquarters'

➢ 'Security of records to be improved in order to safeguard the records'.

➢ 'A standardized procedure of filing, referencing should be introduced'

➢ 'Digitization of and adoption of electronic records to avoid duplication of records'.

➢ 'Security measures to be put in place by the County Government on access to their information as a way of safeguarding confidential information'.

➢ 'Offsite storage to be established as a backup for both paper and electronic records'

➢ 'The County should utilize internet and intranet communication within the county governments' offices to reduce paperwork as well as speed up services'

➢ 'The County government should employ enough qualified staff to manage its registries and offices in order to improve records management and service provision'.

➢ 'Developing a disaster preparedness and recovery program'.

4.7.4 Recommendations made by Clerical Officers

➢ 'The County should develop a records management procedure manual to guide records management activities.'

➢ 'The County government should sensitize all staff on records management and improved service delivery.

➢ 'The County government should facilitate procurement of computers and other equipment for records storage.'

➢ 'The ICT staff should continually train clerical officers and other staff to enhance ICT literacy and skills to handle electronic records.'

➢ 'The ICT staff should work hand in hand with records staff to ensure data security'.

➢ 'The record officers to advice on matters of records management when called upon'.

➢ 'Developing a disaster preparedness and recovery program.'

The recommendations given by all the respondents above show that there was a serious need to improve records management and service delivery at the Uasin-Gishu County.

4.7.5 Data Analysis

The major recommendations are support of the top management of an institution, improved staffing of records management, and improved financial support and the adoption of ICT applications in order to serve clientele more effectively and efficiently. This is captured in the sentiments of Nyamberi (2018), who suggests that records management should be reviewed and the Kenya National Archives and Documentation Services redesign existing inadequate procedures in order to offer solutions to records management functions in the public sector.

4.8 DISCUSSION OF THE RESEARCH FINDINGS

The findings from this study revealed the importance of records in support of County services which at the end ensures quality in service provision. Each County activity generated records and these records were required in service provisions. This therefore required an effective records management in order to ensure quality service provision. Wamukoya (2000) underpins the importance of records management in the public sector elaborating its importance in accountability, rule of law, efficiency, effectiveness and transparency. Records are also important as a source of information that is dependable, verifiable, and legal and serve as evidence of decisions, actions and transactions in the public service.

Blake (2005) states that an effective records management includes supporting efficient joint working and information exchange, evidence based policy making and supporting administration of data protection principles and effective implementation of freedom of information and other legislations through good organization of records.

The study however reveals shortcomings on records management which has consequently made service provision ineffective due to lack of a records management policy and no consistent instructions on records management. The records officer's roles are limited to registries and have no role over the entire county records management. The staff in charge of records namely the records officers and clerical officers are not adequately trained on records management and many were demoralized due to lower grading in the profession. There is too much emphasize on paper records as against electronic records which many get lost or mismanaged due to lack of an electronic records management system in place. There is no proper records

scheduling, appraisal and disposal of records. All this consequently affects service provision of the Uasin-Gishu County government.

Records capture virtually all the county activities like the human resource management with elements like dates of appointments, education levels and entitlements. Records are utilized in other wide varieties like marketing, investment, auditing and are very key in land transactions as it gives evidence. The public is served based on the records they provide to the county staff and the public in reciprocation are handed records to justify services provided.

The County Government has invested on ICT installations across its headquarters with a vibrant data centre with a LAN network and desktop computers in many offices. The national IFMIS system serves quite a lot of financial transactions. However the management of electronic records is not up to any standards. Many e records are not properly captured, appraised, disposed and stored. This has led to gross inefficiency on e-records management. The electronic records are in the custody of each county office and the records professional have no role in its management. This has resulted in numerous opportunities to minimize paper records and to make many operations of the county digital.

4.8 SUMMARY

This chapter has presented data collected from different respondents who participated in the study. It has further provided presentations, analysis and interpretation of the study findings.

CHAPTER FIVE

SUMMARY OF RESEARCH FINDINGS, CONCLUSION AND RECOMMENDATIONS

5.0 INTRODUCTION

This chapter provides a summary of research findings of the study, conclusion and recommendations.

5.1 SUMMARY OF RESEARCH FINDINGS

The summary of the research findings below is in line with the research questions and what guided the study. The findings of the study are summarized based on the research questions which were:

1. How are records managed at the Uasin-Gishu County and with what effect on service delivery?

2. What are the contributions of records towards service delivery at Uasin-Gishu County Government?

3. How has ICT been integrated in service delivery and records management at Uasin-Gishu County headquarters?

4. What are the challenges affecting Uasin-Gishu County headquarters in regard to management of records and service delivery?

5. What strategies can be adopted to improve records management in order to improve service delivery at Uasin-Gishu County?

5.1.1 How are records managed at the Uasin-Gishu County in relation to service delivery?

The Summary of findings on this research question is shown on the following sections:

5.1.1.1 Records Management Policy

The findings of the study revealed that at the time of data collection, the Uasin-Gishu County headquarters did not have a comprehensive records management policy. However, there seemed to have been some procedures that guided certain records management activities. The absence of a records management policy was seen as jeopardy to proper records management in the County.

5.1.1.2 Records Management General Practices, Procedures and Guidelines

The study established that there were a variety of guiding documents that gave instructions on specific records management tasks like classification of records. There were no vital records management programs in place, lack of a disaster management and recovery programs and the electronic records management was not seriously considered as a main part of records management. The registries appeared too congested and the state of records was not ideal for a proper records management system and the records had varied classifications based on their custodies at the County headquarters

5.1.1.3 Tools Used in the Management of Records at the County Headquarters

The County government headquarters had developed a variety of tools used to manage records. These handled records inventories and records tracking among others. These were however not fully utilized like the record disposal schedules

5.1.1.4 Staffing of the County Records Management Services

The findings were as follows: The County had not employed a sufficient number of adequately trained records staff. The records at the County headquarters were under the custody of records officers who were based in the registries and clerical officers who were based at the county offices

5.1.2. What are the contributions of records towards service delivery at Uasin-Gishu County Government?

The study established that the services provided by Uasin-Gishu County headquarters were as follows:

Records were used in virtually all spheres of County services like, Human resource management, public and private investments marketing among others. Human resource records were used in staffing matters like recruitment, audit, processing of entitlements, payroll processing among others. Finance records were used in expenditures, budgeting and auditing among other uses. Other areas were records were used included land, inventories, E-Mails for communications purposes among many others

5.1.3 How has ICT been integrated in service delivery and records management at Uasin-Gishu County headquarters?

The study revealed that Uasin-Gishu County headquarters had limited ICT integration and use in service delivery and records management. It was noted that ICT usage was limited to office application operations and the IFMIS system in the finance department. Therefore, specific uses of ICT were in the finance, E-Mails and office applications. The ICT department initiated the development of a data centre with the aim of development of a more vibrant data centre, to manage revenue collections and to develop teleconferencing facilities among other objectives.

5.1.4 What are the challenges affecting Uasin-Gishu County headquarters in regard to management of records?

The study revealed that Uasin-Gishu County headquarters experienced various challenges in the management of records and in service delivery. These were non-existence of a records management policy, overreliance on paper records, lack of professional and motivated staff to man records, lack of a vital records program and lack of a disaster preparedness and recovery program among others

5.1.5 What strategies can be adopted to improve records management in order to enhance service delivery at Uasin-Gishu County headquarters?

As per the findings, the respondents gave varied suggestions that could improve both records management and service delivery at the Uasin-Gishu County headquarters.

 The recommendations on records management were to:

Formulate records management policy to make the management of records consistent with modern records management practices and to increase budgetary allocations on records management. The County government needed to enhance capacity of records management staff through recruitment and training and to modernize records management so as to ensure proper management of both paper and electronic records. It should as well involve records management staff in ICT related initiatives such as the development of the data centre, conduct sensitization and seminars to all County staff on records management. In order to offer standardized records management services, the county government should develop and implement records policies, standards, guidelines and procedures that will help improve the management of records in the County headquarters. It is important to consult with Kenya National Archives and Documentation Services on developing or improving policies,

standards, guidelines and other functions. The County should adopt international accepted standards like ISO 15489 and Kenyan laws CAP 14 and 19.

On the part of service delivery, it should revise the service delivery charters to make them more consistent with modern public service delivery

5.2 CONCLUSION

From the findings of the study it is concluded that although Uasin-Gishu County Government headquarters depended entirely on records for service provision, records management practices were not up to standard. This is attributed to the following: non-existent of a records management policy; inadequate trained records management personnel; inadequate space; lack of a vital records programme; and lack of a disaster management programme. This is in line with Mnjama (2003), who attributes to failure in public records management in the African public services due to lack of adherence to professionalism while at the same time ignores professional input to improve records management.

Further, although the County had deployed ICT's in its business processes, its use of in records management was found to be minimal. For instance the County had the hardware but lacked the necessary software and expertise to manage e-records that were created through workflows. The staff in charge of records were not adequately trained to manage records. Wamukoya and Mutula (2005), are in line with these findings since very little emphasize had been adopted in the sub-saharan Africa where ICT applications in the management of records have been ignored far too much thus affecting service delivery in a fast changing environments that are adopting ICT globally.

The study therefore suggests the following; coming up with a sound records management system that encompasses all aspects of a sound records management that is linked to the service delivery system at the County operations, developing an ideal records management policy that adheres to all form of records management that is used at the County; harnessing the use of appropriate ICT installations that links service deliver and records management; coming up with a vital records management and developing a disaster management and a recovery programme. The County should also adhere to an ideal records management standards that ensure sound service delivery. In support of this Maseh (2016), suggest that in order to bring efficiency in service delivery in mind of compatibility, African public service should adopt modern systems in order to meet their objectives and purposes.

5.3 RECOMMENDATIONS

5.3.1 Records management practices at Uasin-Gishu County Government Headquarters

The recommendations to address the records management practices are given in sections that follow:

5.3.1.1 Records management policy

To deal with weaknesses and lack of records management program, the Uasin-Gishu County government should develop policies that address programs for the entire county government. This should standardize records management and ensure professionalism in order to support service delivery in the County.

5.3.1.2 Records management general practices, procedures and guidelines

The program should capture all business processes activities of the county government. It should strive to set records management standards through the records

continuum from creation to disposition of records across the unique and entire county government business activities. The program should specify correct space requirements, equipment, operations procedures and allied requirements. The program should also capture ISO 15489 standard on records management as well as to meet the legal provisions of public records in Kenya. The County government should consult with the Kenya National and Documentation Services on the development of a draft policy, standards to adopt, guidelines and procedures for various functions. The County government should employ adequate number of trained records management staff in the all its offices. It should also improve on the storage of records and to streamline records by adhering to proper capture and dissemination of its information.

The records should be kept in the offices based on the usage while the rest of the records should be at the registries. This will avoid duplication of records while at the same time eliminate possibilities of lost records and to save the time during retrieval. These records could as well be automated where necessary in order to meet the same needs with ease

5.3.1.3. Staffing of the County records management service

Having a records manager to oversee records management activities at the county headquarters will provide leadership that is currently lacking at the County headquarters. There should be a senior officer at the higher level in the managerial structure of Uasin-Gishu County government preferably reporting to the top management organs to ensure harmonization of records management and service delivery procedures and practices across the entire County. This will ensure standardization of records management practices like scheduling and disposal and

compliance to all records management procedures. This will instil professional practices in records management for the sake of good service delivery.

The County government should establish positions of records officers in the county offices or train clerical officers with a view of engaging them to cater for day to day records management functions. These staff should sufficiently be trained and be prepared to oversee and give leadership in records management within the county offices. This will address the gap of lack of authority and responsibility for records management in the county offices.

The County staff development and training section should invest in staff training in records management in all the county headquarters to staff who handle and use records. This is essential in addressing the weaknesses of inadequate professionalism in records management at the county headquarters as revealed by the study findings which in turn supports service delivery by creating an understanding on the importance of records management and service delivery.

5.3.2 Integration of ICT into records management and service delivery

The County headquarters should develop a clear plan on records management that include the electronic aspects. The ICT installations at the County should include the elements of electronic records management and the staff be sensitized on the need for a proper electronic records management. The county government should utilize electronic records management systems in order to ensure proper storage, scheduling and disposal of records. All these aspects should be linked to all the service delivery strategies of the County government. The County government should strive to digitize records management services so as to limit paper records. This will result into faster service provision and to alleviate the County government from the burden of

managing paper records. Automation will further enhance decision making and service provision.

5.3.3 Top County Government Support

One of the findings of the study was that the current state of records management was wanting. A great factor contributing to this state of affairs was lack of adequate resources and a dedicated budget for records management activities. This was because of lack of top management support. The study recommended that the County top government should give maximum support on records management activities in form of policy statement support and increased budgetary allocations. This is because the findings revealed that major problems arose due to lack of resources and there were no budgetary allocations for many records management activities.

5.4 PROPOSED MODEL FOR RECORDS MANAGEMENT AND SERVICE DELIVERY PROVISION AT UASIN-GISHU COUNTY HEADQUARTERS

This proposed model will ensure an effective records management system that aims at improving service provision at the County headquarters. The model also aims at saving cost in operations, increasing efficiency, improving services, achieving objectives by meeting targets and complying with legislations attached to records management and service provision. It also covers electronic records both born digital and digitized.

The model is drawn from the McKemmish et al (1999) on their description of records in context in the continuum in the Australian Recordkeeping Metadata Schema. It also includes the Total Quality Management Model, the Australian recordkeeping metadata schema (RKMS) and the ISO 9001:2015 Standard. Militaru and Zanfir (2016). This framework uses recordkeeping understandings to make explicit

connections between business that contain social and organizational activities, the

people or agents who engage its use as business and records as key by products of

business operations.

Fig 3.THE PROPOSED RECORDS MANAGEMENT CUM SERVICE DELIVERY MODEL.

Step 1: Top Management Support

Define objectives of the County government
Provide leadership
Provide a positive organizational profile
Ensure availability and sustainability of resources
Communicate the County government goals, quality policy, objectives
Reporting into

Step 2: Conduct Record Audit

Business Process Analysis
Establish effectiveness of Information Flows
Determine adequacy and suitability of equipment
Investigate existing capacity and identify the training needs required
Establish the quality of records

COUNTY GOVERNMENT DEPARTMENTS

Step 3:

Adopt Legal and Policy Frameworks

Determine legal framework in line with County government objectives
Formulation of records management based on service provision
Development of service delivery standards
Integration of records management and service delivery standards
Development of

Step 7: Improvement structures

Systems audit and evaluation

Performance monitoring and evaluation

Instilling corrective action
Best practices
Reviewing of records management and service provision policies regularly
Sprucing up of service

| PSM | ICT | AGR | H S | EDU | F &P | T, I, C, T& W |

| L, P &H | W, E, E &NR | RT &P L |

COUNTY RECORDS MANAGEMENT PROCESSES

Step6:

Redesign and Restructure records management processes

Develop a records management delivery work plan
Implement the work plan
Process records management
Establishing teams
Putting in place effective

communication channels

Records Capture & registration

Records Access

Records Automation & Digitization

Records Storage& Preservation

Records tracking

Records Disposition

Step 5:

Capacity Building

Records Management skills
Interpersonal relationship skills
ICT literacy skills
System administration skills
Technical expertise
Reporting to RM and QS

Key:

PSM- Public Service Management

ICT- Information Communication and Technology and Electronic Government

AGR-Agriculture, Livestock and Fisheries

HS- Health Services

EDU- Education Culture, Youth Affairs and Social Services

F&P- Finance and Economic Planning

T,I,C,T&W-Trade Industrialization, Cooperatives, Tourism and Wildlife

L, P&H- Lands, Physical Planning and Housing

W, E, E &NR-Water Energy, Environment and Natural Resources

RT &P-Roads Transport and Physical Planning

Step 1: This includes the required top manager's support

- Analysing the County government businesses functions and their records management requirements, assessing its aspects, applying the results and impact on service delivery

- Define the County government goals and objectives and giving leadership and guidance to achieve the same.

- Ensuring good records management policies for the sake of good service delivery and motivating staff to achieve them.

- Providing the county government profiles

- Providing resources e.g. qualified sufficient staff and appropriate information and records management infrastructure.

- Assess and manage service delivery to ensure sustainability.

- Fostering and maintaining working partnerships among top managers, record managers, and ICT staff, developing and implementing support systems to all records.

- Communicating the County government goals, services, policies, vision, mission and plans and ensuring these are understood by all stakeholders to support all aspects of the County government operations.

Step 2: This includes an information and records management audit to

- Establish business processes of the County government

- To analyse requirements of space, environmental and allied requirements

- Determining the records that exist to support the business processes therein

- Determining the equipment, suitability and adequacy to store records and communicate the same.

- Identify gaps that exist and planning for recruitment of staff dealing with records.

Step 3: This determines the legislations, policies and standards

- Determining the legal framework available in records management e.g. KN&DS CAP 19 laws of Kenya and Records Disposal CAP 14 laws of Kenya and service provision models.

- Developing of records management standards

- Developing communication standards

- Developing service standards

- Integrating quality services in the County government strategic plans

- Records management and service provision teams reporting their records management and service operations.

Step 4: Resource Allocation

This entails facilitation of the entire process and this will determine success of the entire operation. It Includes:

- Developing a sustainable budget which supports the record system and to address problems affecting records management and service delivery.

- Provision of resources e.g. computers for ICT and storage equipment for records to ensure a proper environment for storage and security of records to improve service delivery.

- Installing ICT applications for the creation, storage and communication of records and allied equipment.

- Employing qualified and competent staff to man the record system.

- Appointment of quality champions to ensure continuous improvement in record management processes and quality service provision.

Stage 5: Capacity Building

This deals with staffing matters and requirements of the human resources. It entails:

- Developing ideal records management skills in order to instil professionalism

- Interpersonal relationship skills so as to ensure success in records management operation based on service delivery strategies

- ICT literacy skills to ensure all aspects of ICT and e- resources are adhered to

- System administration skills in order to facilitate integration strategies of records management and service delivery

- Technical expertise to make the systems compatible and linkage to services of the

County government.

Step 6: Redesign and Restructure records management processes

This stage involves developing a quality work plan, implementing the work plan, process management, establishing teams, putting in place effective communication channels, benchmarking and integrity quality in service provision

Step 7: Improvement Structures

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

- Instilling and undertaking corrective action to reduce non conformities. Identify root cause of problems of service delivery and records management and correcting them at the source before they produce undesired results.

- Preventive action should be instilled to prevent the recurrence of these non-conformities in future.

- System audit and evaluation can help in identifying the non-conformities. These audits can start from internal quality audits and proceed to external audits in order to ensure reliability and the integrity of the audit process.

- Continuous improvement is aimed at developing and improving people, processes, technology and the capabilities of employees and machines.

- Service provision ambience needs to be designed to meet customer expectations.

- Regularly reviewing the records management and Quality service policies and procedures and guidelines to ensure that they keep up to date with changing

circumstances and reflect any changes in legislation affecting records and service provision.

- Documentation of quality policies, quality objectives, county-wide work procedures and quality manuals

- Maintenance of records that facilitate effective planning, operation and control of the county business processes

- Working cooperatively with ICT professionals to design, implement and improve records management, information architecture and the accessibility of information

- Integration of records management expertise and strategic business skills in developing policies, standards and systems

The records management and service delivery and by extension the ICT department, is intertwined in the model since all information relating to the program linked into the system at every stage and resultant reports are generated by the system. All the steps in the program are implemented in a continuum without any breakings hence it is a continuous process.

5.5 SUGGESTIONS FOR FURTHER RESEARCH

The study investigated the role of records management in public service delivery in the County government of Uasin-Gishu County headquarters. Issues drawn from the study identified areas that more research should be undertaken.

5.5.1 The Role of ICTS' in Records Management towards Improved Service Delivery

The study identified low observation of ICT's in the management of records at Uasin-Gishu County headquarters. The study recommends further studies on how ICT's could be implemented and explored to improve records management functions of the County governments. The study should deal with applications on records management both paper and electronic. A notable area is the cloud computing for born digital records that has the potential to save costs for public institutions but with a wider reach to the clientele.

5.5.2 Awareness of Records management amongst Staff and its importance to public organizations

The study also recommends further research on how best record management should be run. Considerations like increased awareness and the importance of records management. The need of top management support in the public sector of records management functions and explanation of the role it plays in the improvement of services to the citizenry. The poor perception of records management and the little consideration it gets in the public sector and how this can be alleviated.

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APPENDICES

Appendix 1: Interview schedule for the Chief Officers

Department: _____

Designation: _____

1. What is your job description at the county headquarters?

2. What activities does it entail?

3. Does your job in any way involve the use or handling of records?

4. If yes, what specific records do you need for your work?

5. Who manages records of the County government?

6. How important are records to service provision at the Uasin-Gishu County headquarters?

7. In what areas are records mostly used in providing services?

8. What is your assessment of records management at the Uasin-Gishu headquarters

9. Is there a policy that is uniformly applied in the management of records at the county government?

10. Do records form part of your strategic plan?

11. What challenges are in found in the management of information and records?

12. What kind of support does the county government provide towards records management in terms of policies, procedures, space allocation, budgetary allocation, staffing and purchase of equipment?

13. Does the County government have a disaster preparedness and recovery program at the County headquarters?

14. In what ways do records affect service provision at the county government headquarters?

15. Are there any ICT installations in the County headquarters that support records management?

16. What other comments and /or suggestions would you like to make towards improving:

- Records management at the county headquarters?
- Service delivery?

Appendix2: Interview Schedule for the Action Officers

Department: _____

Designation: _____

1. What are the main business activities of your Section/Department at the County

headquarters?

2. What activities does it entail?

3. In what areas are records mostly used in providing services?

4. What do the services relate to?

5. Does your job in any way involve the use or handling of records?

6. If yes, what specific records do you need for your work?

7. Who manages records of the County government?

8. What records/information do you normally require in order to carry out these

activities?

9. What is your assessment of records management at the Uasin-Gishu County Headquarters?

10. Is there a policy that is uniformly applied in the management of records at the county

government?

11. What challenges are in found in the management of information and records?

12. What kind of support does the county government provide towards records management

in terms of policies, procedures, space allocation, budgetary allocation, staffing and purchase

of equipment?

13. Does the County government have a disaster preparedness and recovery program at the

County headquarters?

14. In what ways do records affect service provision at the county government headquarters?

15. Are there any ICT installations in the County headquarters that support records management?

16. What other comments and /or suggestions would you like to make towards improving?

- Records management at the county headquarters?

- Service delivery?

Appendix 3: Interview Schedule for Records Officers

Department_____

Designation_____

1. What is your job description at the county headquarters?

2. What specific activities does this entail?

3. How important are records to what the county does?

4. What type of records management services do you provide to your department?

5. What records management guidelines do you follow in providing these services?

6. What type of records does your department generate?

7. How do you track file movements?

8. Are there any records/disposal schedules for records at the County?

9. How well are these records and for what purpose?

10. What policies and procedures do you adhere in managing the records?

11. In what format are the records :

    Paper

    Electronic

    Other

12. Are there guidelines and procedures for creating, organizing and using the records?

13. How do you ensure security of confidential records?

14. Does the County have a disaster preparedness and recovery program?

15. Is there a vital records program in place at the County headquarters?

16. Are there cases of missing, lost, misfiled records?

17. If yes, how are these dealt with?

18. What is your highest training on records management?

19. How important is records management to service delivery at the county government headquarters?

20. Does the county headquarters face any service related challenges caused specifically by loss or misfiling of records?

21. In your view do the management and other members of staff support records management adequately in terms of policy formation, budget allocation, space and equipment, staffing etc?

22. What suggestions and or comments can you make toward:

    - Records management improvement?

    - Service Provision Improvement?

Appendix 4: Interview Schedule for Clerical Officers

Department: _____

Designation: _____

1. What is your job description and / or daily duty?

   _____

2. What daily duties/activities related to records management related to records management do you undertake?

   _____

3. What records management tools exist in your department and /or county government headquarters? Explain as appropriate.

   (a) Records management policy

   (b) Records Inventory

   (c) Standard Operating Procedures

   (d) Classification Scheme

   (e) Records Preservation programme/policy

   (f) Records retention/disposal schedule

   (g) Disaster Preparedness and Recovery Program

4. Who do you mainly provide services to?

   County Staff

   General Public

   (Others specify)

5. How do you track file movement?

6. Do you dispose of non-current records?

If yes, how do you dispose non-current records?

a) Transfer to a store

b) Transfer to an established records centre

c) Transfer to the national archives

d) Destruction

e) Any other

7. Please comment on the adequacy and appropriateness of the following by indicating

                 Quite satisfactory   Satisfactory

Unsatisfactory

Staffing

Equipment

Quality Paper

Storage space

Filing system

Tracking system

8. Are there records retention/disposal schedules of records? Tick as appropriate

9. Is there a disaster preparedness and recovery management program at the County headquarters?

10. Is there a vital records program in place at the County headquarters?

11. If yes what are the guidelines?

12. What level of support do you receive from the following on records management?

    Answer   Most adequate; Adequate; Unsatisfactory.

    Most adequate.   Adequate   Unsatisfactory

    Top Management

    Action Officers

    Other County Staff

    Others (specify)

13. Explain the nature of the support you get by indicating the most suitable, satisfaction, not satisfied. Explain as appropriate.

    (i)   Development of policies and procedures

    (ii)   Budget allocation

    (iii)   Capacity building and staff training

    (iv)   Use of records

    (v)   Purchase, equipment and supplies

    (vi)   Space allocation

    (vii)   Allocation of computers

14. Do you consider yourself competent/ having the necessary skills to enable you manage both paper and electronic records effectively? Tick as appropriate.

15. What other training / skills do you require to effectively perform your duties?

16 Are there any ICT installations at the County headquarters in place?

17 How are ICT applications used in records management?

18 What training do you have in Records Management?

19. How do records contribute towards provision of services at the County government?

20. What is your overall assessment of records management at the county government?

What are your suggestions/proposals for improving?

    (i)   Records Management?

    (ii)   Service Delivery?

Appendix 5: Observation Checklist.

ITEM	ISSUE TO OBSERVE	REMARKS
Records creation	Correspondence management Receipt and registration of incoming and outgoing mails Quality of file folders and paper Availability and use of standard forms Availability of incoming/outgoing registers Availability and use of computers Offsite electronic records services	
Records management and control	Records management policy Records management procedures Records classification scheme Records tracking system Records retrieval tools Records access policy	
Records storage	Space adequacy Appropriateness of equipment Security of records Records access policy Records backups Offsite records centres	
Preservation and disposal	Vital records identification Preservation policy Records retention/disposal schedule Physical location Environmental controls	

Appendix 6: Introductory letter to respondents.

Dear respondents

I 'am an MPhil student at Moi University, School of Information Sciences, undertaking a research study titled". Management of records in support of service delivery at Uasin-Gishu County headquarters''

The aim of the study is to investigate the relationship between records management and service delivery and to establish how proper records management can support service delivery of the County government. I have selected your departments/sections because of their functions and operations which relate to the aims and objectives of the study.

Your input to this study is very important because of the topic/subject of study which is pertinent to the on-going efforts to make Uasin-Gishu County Headquarters an even better managed place.

The outcome of the research will provide more insights into practices which expose the government to all manner of services. The study will also look at records management as a service that is important and suggest recommendations on how records management can be managed to improve service of the County government.

I therefore ask for your support in the provision of required information and hereby assure you that all information contributed towards the study will be treated with utmost confidentiality and used exclusively for this research only.

Gilbert Maina

Mphil Researcher.

Appendix 7: Research Permit.

NATIONAL COMMISSION FOR SCIENCE,
TECHNOLOGY AND INNOVATION

Telephone: +254-20-2213471,
2241349, 310571, 2219420
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:

4th November, 2013

NACOSTI/P/13/0896/120

Gilbert Kiplimo Maina
Moi University
P.O.Box 3900-30100
ELDORET.

RE: RESEARCH AUTHORIZATION

Following your application for authority to carry out research on
"*Management of records in support of service delivery at Uasin-Gishu
Headquarters,*" I am pleased to inform you that you have been authorized to
undertake research in **Uasin-Gishu County** for a period ending 3rd **October,
2014.**

You are advised to report to **the County Commissioner and the County
Director of Education, Uasin-Gishu County** before embarking on the
research project.

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

DR. M. K. RUGUTT, PhD, HSC.
DEPUTY COMMISSION SECRETARY
NATIONAL COMMISSION FOR SCIENCE, TECHNOLOGY & INNOVATION

Copy to:

The County Commissioner
The County Director of Education
Uasin-Gishu County.

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

Appendix 8 Research Authorization

REPUBLIC OF KENYA

MINISTRY OF EDUCATION, SCIENCE AND TECHNOLOGY
STATE DEPARTMENT OF EDUCATION

Telegrams: **"EDUCATION"**, Eldoret
Telephone: 053-2063342 or 2031421/2
Mobile : **0719 12 72 12/0732 260 280**
Email: cdeuasingishucounty@yahoo.com
      : cdeuasingishucounty@gmail.com
When replying please quote:

Office of The County Director of Education,
Uasin Gishu County,
P.O. Box 371-30100,
ELDORET.

Ref: No. MOEST/UGC/TRN/9/56

Date: 4th December, 2013

Mr. Gilbert Kiplimo Maina
Moi University
P.O. Box 4606-30100
ELDORET

RE: RESEARCH AUTHORIZATION

This office has received your request for authority to carry out research on **"Management of Records in Support of Service Delivery in Uasin Gishu County."**

We wish to inform you that you have been authorized to carry out the research in Uasin Gishu County for a period ending 31st October, 2014.

The authorities concerned are requested to give you maximum support.

We take this opportunity to wish you all the best during the research.

WAMUKOYA MAGDALENE
for: **COUNTY DIRECTOR OF EDUCATION**
UASIN GISHU COUNTY

Copy: The Office of the Governor
      UASIN GISHU COUNTY

ISO 9001
BUREAU VERITAS
Certification

U K A S

Appendix 9 Research Authorization

REPUBLIC OF KENYA
UASIN GISHU COUNTY

Email: info@uasingishucounty.org

Tel. NOs:+254-0532033736
         +254-053-2061330
         +254-053-2032603
         +254-053-2062208
Fax: +254-053-2062884
Website:www.uasingishucounty.org

When Replying, Please Address to:
County Secretary
Uasin-Gishu County
P.O. Box 40 – 30100
Eldoret, Kenya.

REF: UG/C/ED/D.14B/46

DATE: 23rd January, 2014

To Mr Gilbert Kiplimo Maina
Moi University
P O Box 4606 – 30100
ELDORET

RE: RESEARCH AUTHORIZATION

Refer to your letter Ref. No. MOEST/UGC/RRN/9/56 dated 4th December 2013. You have been authorized to carry out research on "Management of Records in Support of Service Delivery in Uasin Gishu County" for the period ending 31st October 2014.

You will receive maximum support from the county authorities. Upon completion kindly give us a copy of your report for our records.

Peter Leley
County Secretary