

**EVALUATING THE ROLE OF RECORDS MANAGEMENT IN  
SUPPORTING ADMINISTRATIVE REFORMS IN THE  
DIRECTORATE OF HOUSING, KENYA**

**BY**

**EMILY WANGUI NDUNGI**

**A Thesis Submitted in Partial Fulfilment of the Requirements for the Award of  
the Degree of Master of Science in Records and Archives Management,  
Department of Library, Records Management and Information Studies, School  
of Information Science**

**MOI UNIVERSITY**

**ELDORET**

**2018**

**DECLARATION**

**DECLARATION BY THE CANDIDATE:**

This is my original work and has not been presented for a degree in any other university. No part of this thesis proposal may be reproduced without the prior written permission of the author and/or Moi University.

Signed----- Date-----

**Emily WanguiNdungi**

IS/MPHIL/105/011

**DECLARATION BY THE SUPERVISORS:**

This thesis has been submitted with our approval as the University Supervisors.

Signed ----- Date-----

**Prof Justus Wamukoya**

Department of Library, Records Management, and Information Studies

Signed----- Date-----

**Dr. Andrew Chege**

Department of Library, Records Management, and Information Studies

**DEDICATION**

This work is dedicated to my late father, Elikana Itathi, my mother Viginiah Kanyi, my late husband James Ndungi Nyoro, my children Njuka Rie, Nyoro, Itathi, and Kamiti all who have been very instrumental in my life.

## ABSTRACT

Governments worldwide undertake administrative reforms for the purpose of improving performance of public sector institutions. Records are vital instruments in the implementation of reforms and no meaningful reforms can take place without sound records management. Although the Directorate of Housing has proactively supported the strengthening of the records management function in all its departments and units, the reforms undertaken in records management fall short of International best practice. This has had a negative impact on administrative reforms being undertaken by the Directorate in various sectors. The aim of the study was to evaluate the role of records management in supporting administrative reforms in the Directorate of Housing, Kenya. The objectives of the study were to: investigate the administrative reforms being undertaken in the Directorate of Housing and their impact; examine how records management supported administrative reforms; examine the extent to which the reform agenda in the Directorate incorporated reforms in records management; determine what records management infrastructure existed in the Directorate; determine the extent to which the Directorate had computerized its business processes including those involving records management; and propose a framework that addresses issues of records management as part of the reforms implemented by the Directorate of Housing. The study was informed by a triangulation of the DIRKS Model and the Quality Management Systems Model (ISO 9001:2008). The study sample was 33 respondents out of a total population of 166. The study adopted a qualitative research approach using a case study method. Face-to-face interviews were conducted on one-to-one basis using interview schedules. Data was presented in the form of themes using descriptive analysis. The study findings established that the Directorate was undertaking administrative reforms to meet its mandate, among them; development and review of housing policies, realignment of slum upgrading with the housing policy and development of a building code. It further noted that although records management was critical in the reforms process, it was not accorded the attention it deserves as there were no adequate records management policies, systems, and infrastructure. The study concludes that records are a vital component of reform process and the management of records should be guided by best practice. Based on the study findings, the study makes the following recommendations; that there should be urgent reforms in records management, guided by policies and regulations, provision of a vote head for records management, enhancement of records management infrastructure, capacity building for records management staff, integration of records management in directorate functions, and modernization of records management through ICT.

## TABLE OF CONTENTS

DECLARATION .....	ii
DECLARATION BY THE CANDIDATE: .....	ii
DECLARATION BY THE SUPERVISORS: .....	ii
DEDICATION .....	iii
TABLE OF CONTENTS .....	v
ABBREVIATIONS AND ACRONYMS .....	ix
LIST OF TABLES .....	x
LIST OF FIGURES .....	xi
ACKNOWLEDGEMENTS .....	xii
<b>CHAPTER ONE: INTRODUCTION .....</b>	<b>1</b>
1.1 Introduction .....	1
1.2 Background Information .....	1
1.3 Administrative Reforms in Kenya .....	10
1.3.1 Rapid Results Approach/Initiatives.....	14
1.3.2 Performance Contracting.....	15
1.3.3 Citizen Service Delivery Charters.....	16
1.3.4 Transformative Leadership.....	16
1.3.5 Capacity Building .....	17
1.3.6 Rationalization of Ministerial Functions and Structures .....	17
1.4 Reforms in Record Management .....	19
1.5 Background to the Directorate of Housing .....	22
1.6 Records Management in the Directorate of Housing .....	26
1.7 Statement of the Problem .....	27
1.8 Aim and Objectives of the Study .....	29
1.8.1 Aim .....	29
1.8.2 Objectives .....	29
1.9 Research Questions .....	30
1.10 Assumptions of the Study .....	30
1.11 Significance of the Study.....	30
1.11.1 Theoretical Significance.....	31
1.11.2 Practical Significance .....	31
1.11.3 Policy- Related Significance.....	31
1.12 Scope and Limitations of the Study .....	31
1.12.1 Scope.....	31

1.12.2 Limitations .....	31
1.13 Chapter Summary.....	32
1.14 Definition of Operational Terms .....	33
<b>CHAPTER TWO: LITERATURE REVIEW .....</b>	<b>35</b>
2.1 Introduction .....	35
2.2 Theoretical Framework .....	35
2.2.1 Life Cycle Model .....	36
2.2.2 Continuum Model .....	36
2.2.3 DIRKS Methodology Model .....	38
2.2.3.1 Relevance of the DIRKS Methodology Model to the Study .....	41
2.2.4 Quality Management System Model.....	43
2.2.4.1 Principles of Quality Management .....	47
2.2.4.2 Relevance of the Quality Management System Model to the Study .....	48
2.3 Review of Related Literature.....	49
2.3.1 Administrative Reforms .....	49
2.3.2 Role of Records Management in Administrative Reform Process .....	57
2.3.3 Records Management Practices .....	63
2.3.4 Records Management Reforms in Kenya .....	72
2.3.5 ICTs and Records Management.....	80
2.4 Chapter Summary .....	83
<b>CHAPTER THREE: RESEARCH METHODOLOGY .....</b>	<b>84</b>
3.1 Introduction .....	84
3.2 Research Design.....	84
3.3 Study Area .....	84
3.4 Study Population.....	85
3.4.1 Study Sample Size .....	86
3.5 Data Collection Methods .....	87
3.6 Data Collection Instruments .....	89
3.7 Pre-testing Validity and Reliability of Data Collection Instruments.....	89
3.7.1 Validity of Data Collection Instruments.....	89
3.7.2 Reliability of Data Collection Instruments .....	89
3.8 Data Presentation, Analysis and Interpretation.....	90
3.9 Ethical Considerations.....	90
3.10 Chapter Summary.....	90

<b>CHAPTER FOUR: DATA PRESENTATION, ANALYSIS AND INTERPRETATION</b>	<b>91</b>
.....	<b>91</b>
4.1 Introduction .....	91
4.2 Administrative Reforms being undertaken in the Directorate of Housing and what they are meant to achieve .....	91
4.2.1 The Mandate of the Directorate of Housing .....	91
4.2.2 Reforms Relevant to the Mandate of the Directorate of Housing .....	92
4.3.1 Contribution of Records Management to Reforms in the Directorate .....	93
4.3.2 Importance of Records Management to the Directorate’s Activities .....	96
4.3.3 Challenges faced in Accessing Records in the Directorate .....	98
4.4 The extent to which Records Management has been Incorporated as part of the Directorate’s Reforms.....	100
4.4.1 Records Management Reforms.....	100
4.5 The Existing Infrastructure for Records Management .....	102
4.5.1 Infrastructure for Records Management in the Directorate .....	102
4.5.2 Records Management Situation in the Directorate of Housing .....	103
4.5.3 Top Management Support for Records Management .....	105
4.5.4 Structure of Records Management in the Directorate of Housing .....	107
4.6 ICT Application in Records Management .....	108
4.6.1 Extent to which ICT has been applied to Records Management in the Directorate of Housing.....	108
4.6.2 Contribution of ICT to the Directorate’s Business Processes and to Records Management.....	110
4.9 Chapter Summary .....	111
<b>CHAPTER FIVE:SUMMARY OF STUDY FINDINGS, CONCLUSION AND RECOMMENDATIONS.....</b>	<b>112</b>
5.1 Introduction .....	112
5.2 Summary of the Findings .....	112
5.2.1 Administrative Reforms Undertaken in the Directorate of Housing.....	112
5.2.2 Records Management Support for Administrative Reforms in the Directorate of Housing.....	113
5.2.3 The Extent to which Records Management has been incorporated as part of the Reforms in the Directorate of Housing .....	114
5.2.4 The Existing Infrastructure for Records Management in the Directorate of Housing .....	114

5.2.5 Computerization of Business Processes and Records Management .....	115
5.3 Conclusion .....	115
5.4 Recommendations .....	119
5.4.1 Integration of Records Management into the Administrative Structures .....	119
5.4.2 Development of Records Management Policy and Regulations .....	120
5.4.3 Vote Head for Records Management .....	120
5.4.4 Records Management Infrastructure .....	120
5.4.5 Capacity Building .....	121
5.4.6 Integration of RM in Directorates Functions .....	121
5.4.7 Decongestion of Records from the Directorate .....	121
5.4.8 Development of RM Systems .....	121
5.4.9 Modernization of RM through ICT .....	122
5.4.10 Records Risk and Disaster Management .....	122
5.4.11 Development of Records Procedure Manual .....	123
5.4.12 Monitoring and Evaluation of RM Program .....	123
5.4.13 Framework Implementation .....	123
5.4.14 Proposed Records Management Framework .....	124
5.5 Suggestion for Further Research .....	130
<b>REFERENCES .....</b>	<b>131</b>
APPENDIX 1: INTRODUCTION LETTER TO RESPONDENTS .....	144
APPENDIX 2: INTERVIEW SCHEDULE FOR SENIOR MANAGEMENT .....	145
APPENDIX 3: INTERVIEW SCHEDULE FOR TECHNICAL OFFICERS .....	146
APPENDIX 4: INTERVIEW SCHEDULE FOR RECORDS STAFF .....	148
APPENDIX 5: INTERVIEW SCHEDULE FOR ICT OFFICERS .....	152
APPENDIX 6: INTERVIEW SCHEDULE FOR SECRETARIES .....	153
APPENDIX 7: RESEARCH PERMIT .....	154
APPENDIX 8: - PRE-TEST CHECK LIST .....	155



## ABBREVIATIONS AND ACRONYMS

BS	-	Building Surveyor
DH	-	Directorate of Housing
DIRKS	-	An acronym that stands for 'designing and implementing recordkeeping systems'.
DPM	-	Directorate of Personnel Management
ERS	-	Economic Recovery Strategy
FOI	-	Freedom of Information
HO	-	Housing Officer
HRD	-	Human Resources Development
HRM	-	Human Resource Management
ICT	-	Information Communication Technology
IMF	-	International Monetary Fund
IPPD	-	Integrated Payroll Personnel Data
IRMS	-	Integrated Records Management System
IRMT	-	International Records Management Trust
ISO	-	International Organization of Standardization
KEBS	-	Kenya Bureau of Standards
KNADS	-	Kenya National Archives and Documentation Services
LATFF	-	Local Authority Transfer Fund
MDAs	-	Ministries Departments and Agencies
MDGs	-	Millennium Development Goals
NEPAD	-	New Partnership for Africa's Development
RBA	-	Results Based Management Approach
RBM	-	Results Based Management -
RM	-	Records Management
RMO	-	Records Management Officer
RMU	-	Records Management Unit
SAP	-	Structural Adjustment Programs
UK	-	United Kingdom
UNDP	-	United Nations Development Programs
US	-	United Nations
WB	-	World Bank

**LIST OF TABLES**

Table 1: Study Population.....	85
Table 2: Study Sample Size .....	87

## LIST OF FIGURES

Figure 1: Directorate of Housing - Organizational Structure .....	25
Figure 2: QMS Documentation Structure.....	46
Figure 3: The Records Management Infrastructure.....	82
Figure 4: Proposed Records Management Framework	<b>Error! Bookmark not defined.</b>

## **ACKNOWLEDGEMENTS**

I wish to thank God for bring me this far as I acknowledge the support that I received from various quarters, The Directorate of Housing which not only sponsored me but also allowed me to carry out this research in the institution, all staff of the Directorate of Housing that I interacted with in different time of my study and research. Special thanks to Professor Justus Wamukoya my course tutor and supervisor, Dr. Andrew Chege my supervisor, both who patiently guided me in the study and preparation of this thesis. My special friends, Grace, Catherine, Gilbert, and Evans just to mention a few who kept supporting and motivating me to go on. Last but not least I would like to acknowledge the patient and support that I received from my family who patiently allowed me long hours during the study and when preparing this thesis.

## **CHAPTER ONE: INTRODUCTION**

### **1.1 Introduction**

This study is about the role of records management in supporting administrative reforms in the Directorate of Housing Kenya. Governments worldwide undertake administrative reforms for the purpose of improving performance of public sector institutions through reengineering government programs and services. Records are vital instruments in the implementation of reforms and meaningful reforms cannot take place without sound records management. This study focus on the Directorate of Housing headquarters based in Nairobi, but will also make references to some situations that relate to field stations.

This chapter gives background information to the study; it explains the Directorate of Housing background information, statement to the problem, outlines the objectives and the research questions to be addressed by the study. It further explains the assumptions, the significance, scope and limitation of the study.

### **1.2 Background Information**

According to UNDP Practice Note on Administrative Reforms (2010), reforms have seen many countries such as UK, New Zealand, Australia, United States, Canada, Singapore, South Africa, Tanzania, and Ghana among others reengineering themselves. This reflects that worldwide governments have been undertaking administrative reforms for the purpose of improving performance of public sector institutions. Mason (2010) notes that administrative reforms are aimed at strengthening administrative capacity to perform core government functions and raise the quality of services to its clientele. Mason adds that reforms are mostly driven by the pursuit for efficiency and effectiveness in service delivery and are essential to the promotion of sustainable economic and social development. Palmer (2009) adds that

administrative reforms and civil service reforms have been used as the same with components of structure, system, processes and procedures relating to various functions in government agencies. The Governance has been used as a framework for administrative and civil service reform, also as a link to the reforms.

Rao V. Bhaskara(2009) while discussing about strategies of successful administrative reforms in India pointed out that the reforms proposed to alter public administration to management, shifting the focus to outputs and outcomes. He further states that the emphases on achieving effective outcomes induce a move towards devolution, decentralization, and contracting out. The reforms are intended to change the culture of public administration to new public management. According to the UNDP Public Administration Reform Practice Note (2008), the importance of a well-performing public administration was reiterated in Resolution 57/277 of the General Assembly on Public Administration and Development. It stated that “an efficient, accountable, effective and transparent public administration, at both the national and international levels, has a key role to play in the implementation of internationally agreed goals, including the MDGs”.

The resolution stressed on the need to strengthen public sector administrative and managerial capacity-building, mostly in developing countries and countries in economic transition UNDP (2008). It further observed that recent surveys had found that citizens wanted state institutions that were democratic, efficient in the use of public resources, effective in delivering public goods, and also strong and capable of standing up to powerful global forces. What the public wanted was that the state and its public administration act as a social and economic promoter. Ngulube (2005) adds that the public is capable of ensuring equitable distribution of opportunities,

sustainable management of resources and equitable access to opportunities, which include political, economic, social and cultural. This means that there must be evidence of transactions, processes and activities carried out at various levels; this brings about the need for effective and efficient records management programs.

According to Rao (2009), a number of countries have been going through phases of administrative reforms instigated by various factors. Some of these reforms have been politically instigated. Others arise due to the need to raise the quality of service delivery to their clientele, good governance, and global pressure which leads to promotion of sustained economic and social development through efficient and effective service delivery. On the same note, Ngulube (2005) adds that reforms are aimed at providing better services, managing resources more efficiently, supporting other general outcome goals, strengthening processes and procedures. This is possible when supported by sound records management practices which lay foundation for proper decision making, realization of transparency and accountability which leads to good governance and development. According to Oluko (2009) most of the countries in the world, irrespective of their ideologies and level of development, have been under reform process during the last decades. Oluko further states that in the context of liberalization and globalization, governments in most countries are called upon to reform and reengineer their administrative apparatus in pursuit of good governance. There have been periodic efforts for administrative reforms based upon the recommendation of autonomous Administrative Reforms commissions consisting of quasi-political and non-bureaucrat members. However, Rao (2009) and Datskovsky (2009) argue that this cannot be effective without having sound records management practices in place.

In efforts to formulate and implement administrative reforms, countries like Kenya (through the implementation of Kenya's Constitution 2010) have been responding to changing circumstances and priorities by reducing or/and creating new ministries, directorates, divisions, or departments and developing policies (Ngulube, 2005). It is through these reforms that Governments have realized new administrative structures that have provided the framework for delivering service. The structures then provide the systems of coordination in the various arms of government agencies and their channels of communication and collaboration with other government institutions and other stake holders including the larger publics (Drucker, 2013).

Drucker (2013) opines that it is not possible to have effective administrative reforms without bringing records management on board as a tool for the intended reforms while ensuring that reforms in records management are at the same pace and level with ongoing reforms. While discussing on efficient record management as a basis of good governance, Musembi (2005), notes that - there exists a very close relationship between governance and records keeping. According to UNDP, (2012), sound records are thus essential tools for good governance and implementation of reforms.

Drucker (2013) further notes that records bring about the attainment of transparency and accountability in public administration. In bringing about easy accessibility by clients needing to verify actions and activities of service providers, records create a relationship that is greatly strengthened between the service provider and the recipients. Sound records management results in an environment where evidence can be made available whenever needed; this in turn fosters the realization of intended administrative reforms. Kuye (2005) notes that there is a link between sound records management and any set goals and objectives such as MDG'S and the realization of



any planned administrative reforms. MDG's can be achieved or hampered by various factors that are related to records management which include; the availability or non-availability of related information, records and documents which are accurate, reliable, authentic and timely. Simani (2007) observes that the absence of sound records management systems to manage reforms related information and records, unavailability of related documents, records and information to facilitate decision making, unavailability of records to enable proper assessment and monitoring of progress made, absence of related data on which to base allocation and distribution of resources to specific areas would deter administrative reforms.

According to Phele (2001), a sound state of good governance, service delivery and records management can only be brought about by enhancing capacity of public organizations in those specific sections. He adds that to improve the performance of the public service African governments should embrace reforms in the public services as enshrined in the donor driven programs. This is a view also supported by Kiragu & Mutahaba (2002) who pointed out that and cited Ghana, Kenya, Tanzania, Uganda and Zambia as African countries where public sector reforms had concentrated on improvements in the public service with a focus on: -

- i. Improving Public service capacity
- ii. Planning
- iii. Budget reform
- iv. Performance improvement
- v. Human resource management
- vi. Performance contraction
- vii. E governance
- viii. Result based management

According to Blake (2005), records management is a major driver or key in any service delivery function. Likewise, in any meaningful administrative reforms, planning and implementation, all institutions and individuals need to be very keen on safeguarding the records for planning, decision making, maintaining culture, history and as a measurement tool on performance. Lamo (2009) adds that administrative reforms can only be achieved as a result of good records management infrastructure that facilitate timely availability of sound records and relevant information. This is done through proper records management programmes that reflect a continuum of care. This is the care of records from; creation, maintenance, use and disposition, making the management of records a responsibility of all stakeholders within any given institution in consultation with records management professionals, while ensuring that complete records are created which have structure context and content.

Mnjama (2005) notes that records keep track of decisions and transactions and their outcomes. They also give evidence of all happenings, reviling what was done well and what was done badly as well as what owe to have been done and was not done. As such, they are measurement tools that also facilitate the effectiveness of administrative reforms. Makhura (2005) comments that sound records enable the larger clientele to demand for their rights and to keep government accountable. Institutions need the records for planning decision making. Records are a measurement tool as to whether individuals or the organizations at large are achieving their targets, goals and objectives (UNDP, 2012). However, commitments by public officials geared towards reforms in records management has remained wanting in many instances (Lamo (2009). This is clearly illustrated by the fact that in most institutions there is usually notable poor management of records and poor infrastructure. Despite the key role played by records in implementation and

achievements of administrative reforms, records management functions remain neglected. They are hardly considered in the reform agenda. This is despite the fact that records are important key assets in realization of any intended reforms and subsequent efficient and effective service delivery, which in turn leads to the realization of intended Administrative Reforms (Blake, 2005).

In reference to Kenya Government (2004), a report on streamlining the operations of registries in government ministries/departments and local authorities for improved service delivery, it is assumed that the records management functions are non-professionals. Secondly, this can be performed by anyone including undisciplined staffs who believe records management only involves placing papers in file folders, which can only mean it can be done by anybody. National Archives of Kenya (2010) report notes that, considering that some professionals may have much workload other than think about the records, they are the ones who create and use the records to deliver service. Ngulube (2011) says that this has caused records management functions to remain neglected. This is in terms of planning for records creation, care, accommodation maintenance, accessibility, security, disposal and budgetary allocation relating to the functions for records management and equally, capacity building for records officers which remains in wanting.

Terer, (2009) notes that it is not possible to achieve reforms in any meaningful way without reforming records management functions so as to match reforms in the areas it supports. However, there may be limited resources. There is need to realize records are precious assets and important capital that need to be highly considered in terms of ensuring that their proper management is adhered to. This can be done by ensuring a continuum of care is accorded to the records right from creation to ultimate disposal

(United Nations, 2012). This can be realized by ensuring that records management is placed in the reform agenda. Records give evidence of business transactions and help eradicate corruption which can halt development and cause distrust among other various vices. It has also been voiced by Wamukoya (2007) that records management has now been acknowledged as one of most critical elements in fighting corruption and fostering accountability in organizations. Records hold the information that either fosters or undermines accountability. Therefore, how records are managed directly impacts on any intended reforms. If records are poorly managed, corruption is likely to thrive and accountability undermined. On the other hand, if records are adequately managed, they will support eradication of corruption and boost accountability, thus achievement of any intended administrative reforms (DPM, 2010).

I concur with Ngulube (2001) who observes that poor records management undermines public accountability, transparency and efficiency in delivery of public services. This leads to corruption and loss of public confidence in the public service. In addition, this can only mean that intended administrative reforms cannot be realized to the fullest. Akotia (2003) has similarly observed that improvements in record keeping in Ghana had resulted in effective management of public sector financial information, resulting into overall public sector efficiency and governance. Mazikana (2008) points out that while efficient records management is key to successful implementation of the reforms in the public service. The initiative has largely failed because of poor state of information and records management infrastructure. Mutero (2011) voice the same view by concluding that poor records management has hindered successful implementation of public sector reforms in Africa. He further states that poor Records management has largely contributed toward government inability to manage resources and to effectively comply with

international agreements and donor conditions towards sustainable development. It is the opinion of Hipchak (2011), that governments in sub-Saharan Africa had failed to implement public sector reforms in part because of the following: - lack of appropriate information and records to develop and support reform policies, processes and programs, ignorance on what information is needed to undertake various government programs, failure to utilize available information and records appropriately for development and failure to use available information and records in decision making.

Some of the reform processes include ISO certification, E-government to facilitate access to information by citizens, professionalism, and result based service delivery, and these processes cannot be full accomplished without incorporating reforms in records management (DPM, 2010).

Terer (2012) opines that governments use records to verify and measure their performance. Citizens are through records able hold the governments responsible for their actions, and demand for better services. Ngulube (2004) on the same note says that records reveal transparency in governance resulting to less scope for corruption, as corrupt practices become more easily detectable. This facilitates punishment and discouraged the malice in future. Commenting on the same view, Mazikana (2008) says that records management brings about openness in the manner that transactions are carried out. This demonstrates accountability and transparency in the manner that institutions and public officials carry out their duties and implement decisions. However, Oluko (2009) argues that, unavailability of complete and reliable records means that public officers cannot have access and information they need in order to

effectively discharge their duties, such as implementation of administrative reforms. A factor which undoubtedly impacts negatively the achievement of intended reforms. As mentioned earlier, administrative reforms are aimed at ensuring quality service to clientele. It is important to mention that government would realize good governance and reputation when the larger publics have access to quality services. Poor quality services are a pointer to bad governance, while sound records management hastens and accelerates the intents of administrative reforms (Obuour, 2009).

### **1.3 Administrative Reforms in Kenya**

According to Republic of Kenya's Public Sector Reforms and Performance Contracting Office of the Prime Minister, (whose mission is to support, coordinate and facilitate performance management and measurement for effective service delivery, and efficient utilization of public resources), reforms in Kenya started after independence, with Sessional Paper No. 10 of 1965 on African Socialism. It's Application to planning in Kenya outlines the first institutional framework for reforms. The reforms were aimed at addressing three key challenges facing the government at that time these were: - disease, poverty and illiteracy. The main focus is on Africanization of public service, land reforms among others with the aim of improving service delivery and performance (National Archives Kenya, 2008).

According to Makhura (2010), there has been other reforms introduced focusing on performance improvement and remuneration for better service delivery. This is outlined in the Sessional Paper No. 1 of 1986 on Economic Management for Renewed Growth and later the wider public service reforms. Among these was the Structural Adjustments Program (SAP). This was aimed at lessening Government control on the economy, recognizing and harnessing the potential of the private sector as the engine

for growth, and staff retrenchment as a way of reducing the civil service wage bill (Office of the President, 2007).

According to Kenya National Archives and Documentation Service Report (2006), in 1993 the government launched the Civil Service Reform Program to enhance Public Service efficiency and productivity. The intents of the reforms were to facilitate equitable wealth distribution necessary for poverty eradication and create an enabling environment for investment and enhanced private sector growth. The Civil Service Program was designed to proceed in three phases: Phase 1 – Cost containment; Phase 2 – Performance Improvement, and Phase 3 – Consolidation and sustenance of gains made by reform initiatives. While phases 1 and 2 succeeded in reducing the Civil Service Workforce This brought about the introduction of Results-Based Management (RBM) guided by the Economic Recovery Strategy (ERS) for Wealth and Employment Creation (2003-2008).

In September 2004, Kenya government on reform agenda established the public sector reform. The development secretariat at cabinet office of the president was to spearhead the implementation of a comprehensive and integrated public reform program and the introduction and operationalization of result based management approach (RBA) in the public service (Chebani, 2005). This institutionalized values, good governance, leadership codes and competences, resulting to a framework of management accountability for the achievement of targeted results. All these reforms were aimed at bringing about cost effectiveness, efficiency, good and timely service delivery (NEPAD, 2001). A comprehensive public sector reform strategy was introduced by the government, which developed performance management system. Reviewed human resource management policy framework and structure aimed at

clarifying the roles and responsibility of Public Service Commission and Directorate of Personnel Management. It authorized officers for oriented management structure, reviewed public service appraisal system, and improved human resource strategic planning for public services, institutionalized strategic planning and transformative leadership capacity building program(Kenya Vision 2030)

The Components of the reforms were as follows: -

- Public service reforms;
  - i. Rationalization and strategic reforms
  - ii. Public financial management reforms
  - iii. Rationalization of state corporations' public enterprises
  - iv. Framework for rationalization of the center of government including cabinet office.
  - v. Development of service charters
  - vi. Development and implementation of performance contracts for permanent secretaries/authorized officers and chief executives of state corporations
  - vii. Installation of integrated payroll personnel data (IPPD)
  - viii. Development and implementation of e-government strategy
  - ix. Implementation of Muda Free/waste free program
- Local government reforms
- LATFF
- Legal sector and judicial service reforms
- Enhancing integrity transparency and accountability (public service integrity program rolled out)



- Enhancing interaction with civil society
- Land reforms

Some of the major movers of reform strategies in Kenya are the current Kenya Constitution, the Kenya's Vision 2030, and the Millennium Development Goals (MDGs) and Kenya National Development Plan, 2002- 2008. The Kenya constitution (2010) is the mother of all reforms in Kenya and has brought in major administrative reforms where devolve government structures have been put in place among other reforms. The constitution is owned by the Kenyan people who are currently more informed than ever of their rights which are greatly emphasized by the constitution (Mazikana, 2008). This constitution puts the Kenyan government on its toes in implementing many reforms brought in by the constitution. The constitution clearly spells out the right to avail information to the public's and has also brought about devolved government which brings about major restructuring of government institutions. The devolved government brings about the establishing of county government, and reorganization of the national government with reduced the number of Government Ministries. This has no doubt compelled the information professionals to be on their toes to ensure that records have ownership and proper care is given to the records. This calls for ensuring professionalism in the management of records in the devolved structure (Blake, 2005).

The Vision 2030 is also an instrument of reforms and is founded on three pillars: economic, social and political governance. It is aimed at transforming the country in to a newly industrialized middle income country providing a high quality of life to all citizens in a clean and secure environment (Office of the President, 2009). It is the social pillar where the Directorate of Housing derives its targets. The Kenya's Vision

2030 was set to be achieved through various structural adjustment programs to be achieved through millennium development Goals. There is no doubt that Kenya is among many countries in Africa that have been implementing structural adjustment programmes (SAPs) as part of public sector reforms advocated by donors such as the World Bank (WB) and the International Monetary Fund (IMF). The Kenya National Development Plan (2002- 2008) stated that the aim of the public sector reforms in Kenya was to reverse the poor performance record of the public sector, as well as bad governance and corruption in management. Through Vision 2030, the government adopted a number of reform strategies since 2003 in order to improve service delivery in the public service, the reforms include:

### **1.3.1 Rapid Results Approach/Initiatives**

According to World Bank (2006), the Rapid Results Approach adapted by the Government was developed by Robert H Schaffer & Associates- a management consulting firm who have applied this methodology very successfully both in the private and public sector. Working together with the World Bank Group, consultants from Robert H. Schaffer have implemented Rapid Results Approach in several countries in South America including Nicaragua and in a number of African countries such as Eritrea, Sierra Leone, Ghana and Madagascar. They have done this to promote institutional reform and capacity building in the public sector. Christopher (2010) says that in Kenya, Rapid Results Approach was adapted as a structured methodology for building and practicing Results Based Management (RBM) that is required for successful implementation of the Economic Recovery Strategy (ERS).

### **1.3.2 Performance Contracting**

According to Wingfield (2006), performance contracting is part of the wider public sector reforms aimed at improving efficiency and effectiveness in the management of the public service. The performance Contract is a freely negotiated performance agreement between the Government, acting as the owner of a Government Agency, and the management of the Agency (UK Government, 2008). It clearly specifies the intentions, obligations and responsibilities of the two contracting parties. A performance contract constitutes a number of management instruments used to define responsibilities and expectations between parties to achieve mutually agreed results. McNulty (2003) notes that this is a tool for articulating clearer definitions of objectives. It is also helpful in supporting innovative management, monitoring and control methods and imparting managerial and operational autonomy to public service managers. It is a management tool for ensuring accountability for results by public officials, as it measures the extent to which they achieve targeted results (Wingfield, 2006).

Mnjama (2005) adds that the signing a Performance Contract commits a public official to perform and surpass specified levels. This holds public officers accountable for results and therefore helps in converting resources into goods and effective and efficient service delivery. It also creates transparency in the management of public resources. All chief executive officers in all government ministries and accounting departments, State Corporation, Local authorities and tertiary Institutions sign performance contracts.

### **1.3.3 Citizen Service Delivery Charters**

Upward (2005) says that all government institutions are required to develop and implement citizen service delivery charters. This is a written statement describing the rights that a particular group of people should have; a written statement of the principles and the aims of an organization. In the context of governance, the charter, which is also referred to as “citizen service delivery charter” or “customer service delivery charter”, is a written statement prepared by a public institution outlining the nature, quality and quantity of service that citizens should expect from the institution Biwot, (2014). It sets out what the institution does, what services users can expect, and the standard of the service to be provided. Commenting on the same, Lamo (2009) notes that the charter sets out details of any user charges, how users may seek redress if they are dissatisfied with the service or in the event the institution does not live up to the commitments in the charter. Most government agencies have developed and are implementing their charters Kavanagh & Ashkanasy, (2006).

### **1.3.4 Transformative Leadership**

Williams (2007) notes that this is aimed at achieving new ways of thinking and doing government business using the RBM approach. This is moving from authoritative control to stewardship and service. This compels the leader to invert the organizational pyramid. From top down, bureaucratic settings to bottom up and across responsive, team oriented networks, from fear of the other to accommodation and celebration of diversity, culture of impunity and arbitrariness. According to Chell (2013), the transformative leadership development process in Kenya enables leaders to embrace and champion fundamental changes in their institutions with a view to delivering targeted results to Kenyans

### **1.3.5 Capacity Building**

Capacity building in Kenya is one of the components of the institutional reform in capacity building for results (International Standards Organization, 2001, ISO 15489-1:2001). This component has two sub-components, namely: Capacity Building Facility – To support the overall shift toward effective management of key parts of the economy to fulfill the government commitments under Vision 2030 and the Medium Term Plan 2008 – 2012 (Strategy for National Reconstruction), and related performance contracts for relevant Ministries (Central Bank of Kenya, 2005).

### **1.3.6 Rationalization of Ministerial Functions and Structures**

The Government undertook a comprehensive assessment of ministerial functions in 1999, whereby all ministries/departments articulated their mission and defined their core functions. The ministries/departments identified functions and activities considered non-core or peripheral to achieving their mandates (Mark, 2006). They also identified overlapping and duplicating functions and functions that can be commercialized, contracted-out and privatized. Ministries/departments also reviewed their organizational structures in light of their defined core functions. A major output of the rationalization exercise was a determination of the optimal staffing levels which led to the compulsory retrenchment exercise undertaken in October 2000. In order to move the rationalization of ministerial functions and structures forward, all Ministries/Departments developed Strategic Plans. The plans were intended to articulate the strategic direction of each Ministry /Department, its policy priorities, objectives, strategies and the resource requirements Nyamweya, (2007). Ministerial Strategic Plans formed the basis from which various departments, functional units and the individual staff formulate their work plans. These plans are used to augment the efforts of ministries/departments to match budgetary resources against national

priorities as reflected in the Government policy documents including the National Development Plan IRMT, (2011).

According to Ngulube (2010), restructuring and revitalizing the public sector to reach the goals calls for fundamental changes in the way the sector operates to realize efficiency and effective delivery of service. ISO certification also came in to ensure that international standard of service is rendered to clients with continuous improvements.

The reforms aimed at: increased responsiveness, public trust and confidence in Government, facilitated improved in accessibility to and satisfaction with public services, and enhanced efficiency and effectiveness in delivery of services to the public. This called for evidence based activities which can only be realized in sound records management. Other aim of reforms included; enhancing compliance with existing regulations and laws in public service delivery, contribute to the creation of an enabling environment for sustainable economic growth and development, entrenching a culture of accountability, transparency and ethics in public service management and service delivery, promoting innovation and creativity in the public sector and building the capacity of staff (UNDP, 2008).

The MDG'S in Kenya aimed at the:

- i. Eradication of extreme poverty and hygiene
- ii. Realization of universal primary education
- iii. Promotion of gender equality and the empowerment of woman
- iv. Combating HIV/AIDS, malaria and other related diseases
- v. Improvement of the maternal health
- vi. Promotion of environmental sustainability

vii. Promotion of global partnership for the development.

#### **1.4 Reforms in Record Management**

Mazikana (2008) notes that worldwide there have been continuing reforms in the field of records management. This goes back to the time man started to exist, where records were in-script on stone wall, clay tablets, papyrus, paper, magnetic, electronic and currently electronic records. All these have seen much transformation in the management of records over time. Many countries have come up with programs to support records management, have developed policies, procedure manual and strategies of improving records management in both developed and developing countries like Australia, Singapore, South Africa and Ghana among others. The International Records Management trust has done much contribution in records management reforms; ISO also has set out standards for managing record (Government of Canada, 2008).

According to the Government of Kenya Records Management Procedures Manual for the Public Service (2010) the Government was committed to improving the management of records in the public service. This is because records are a major source of information that facilitates government's transactions and that the value of information and the power it has, shapes the way government business and activities are conducted. The manual further states that effective use of information results in good and consistent decision-making, efficient and effective delivery of service, transparency and accountability which cannot be achieved without proper records management in the public service. This is in reference to a Kenya Government, Ministry of State for Public Service document (A strategy for improvement of records management in the Public Service 2011). Records support all business functions and

are critical in formulating/assessing policies and programs and analyzing individuals and organizational performance. It further states that without reliable, accurate and effective systems to manage records, government cannot administer justice. It cannot also deliver services to the public or be held accountable for its decisions, and uphold the rights and obligations of its citizens. Roberts (2011) says that in Kenya a number of efforts have been put in place to streamline records management within the public sector as reflected in a number of documents and circulars by the government. This is largely based on the realization of the importance of records and records management in public sector administration. However, the state of records has remained in wanting.

To have sound records management practices there is need to have legislatures and policies to govern the management of records. In Kenya we have the Cap 19 of the laws of Kenya “The Public Archives and Documentation Act” and also Cap 14 of the laws of Kenya. There is also a draft National Records Management Policy which has remained as a draft for a long period. Terer (2012) notes that this, notwithstanding the standard of records management still, calls for more aggressive measures to be taken towards improvement of records management infrastructure so as to reach international standards (Needham, 2006).

According to the Kenyan Government Strategy for Improvement of Records Management in the Public Service (2011), the Kenyan Government has for a long time been concerned about the poor state of Registries (Records Management Units) and records management as a whole in the whole Public Service. This state of registries had contributed to inability to provide accurate records and information needed for quick and timely decision-making. This has led to poor service delivery



and opening opportunities for corruption and even bad governance (UNIDEF, 2011). To address the poor state of records management in the Public Service, the Government has geared its self towards: computerizing all registries at the Ministry/Department offices; training all RMU personnel on records management; and improving the working environment for RMU personnel in Ministries/departments. Towards this, the Government has put in place a Waste Free Clean-up Kenya Program. The program focused on service delivery through hands on practical methods (Diamond, 2002).

The Kenya Constitution (2010) gives the citizens power to own the government by enabling an open government that allows a relationship between the government and the citizens. This can only be realized through availability of information that demonstrates government integrity that has accountability and transparency. Much emphasis has been put on the government to enable the citizen access to information. The government has responded to this by investing in ICT infrastructure. However, Thornton (2003), notes that the area of records management and more so digital records is not clear as to the availability of digital records management infrastructure or system which have records management functionality, notwithstanding that there is a records tracking system which was rolled out by the Ministry of State for Public Service Integrated Records Management System (IRMS) for the public service user manual.

Thornton (2003) further says that citizens need open data to continually demand for their right and verify government actions; this can only be gotten from records. The government thus needs to facilitate good source of information through access to records that are not only available but also reliable and verifiable. On the same note,

Obuour (2009) adds that this calls for the availability of sound legal framework backed with strong institutional capacity that can take responsibility of giving direction to all government agencies. This will ensure that digital records can withstand the challenge of integrity over time. It will also ensure that the management of records is a high priority of top management who gives it fundamental importance by ensuring that institutional capacity, professional capacity, and awareness of the importance of records (Oluwu, 2002).

### **1.5 Background to the Directorate of Housing**

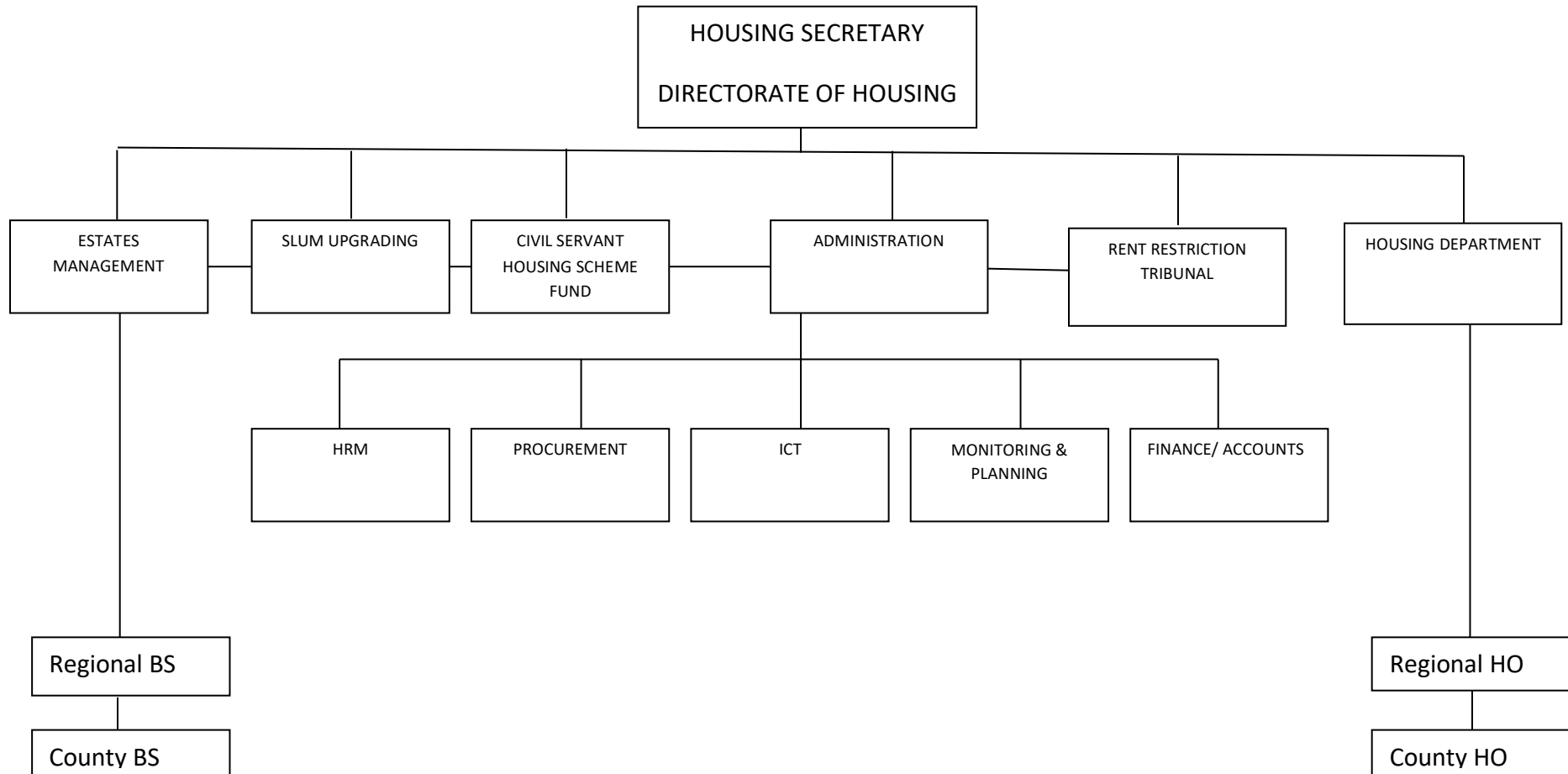
The Directorate of Housing has seen itself through various reforms instigated by politics. The reforms have been instigated by the need to improve services offered to Kenyans and to be able to work with stakeholders in the housing industry which is composed of a wide range of clients (Omar, 2012). It has been in existence, though as different departments of various Ministries that implemented housing policies at different times. Since independence (1963) to December 2005, it has existed as Department in Ministries of Social Services and Cooperative; Urban Development; Public Works; Roads and Public Works; and Lands. This can be traced from the 1960's, 1970s and the 1980s. In the 1980's there existed the Ministry of Housing and Social services, which later became the Ministry of Housing. Between 1990s and 2004, Ministry of Housing was together with Roads and Public Works as the Ministry of Roads, Public Works and Housing. In 2004, Ministry of Housing was moved to the Ministry of Lands and Settlement and the new Ministry was named Ministry of Lands and Housing. In December 2005, following Government reorganization, the Ministry of Housing was re-constituted with the mandate to facilitate development and management of quality and affordable housing in sustainable environment for Kenyans (Bashir, 2005).

Midyear 2013 the Ministry became the Directorate of Housing under the Ministry of Land Housing and Urban Development following restructuring of government under the current Kenya constitution. Despite the inconsistency in placement of the key docket of Housing, the core functions of the departments that currently constitute the Directorate of Housing have remained the same (UNDP, 2012).

The Directorate of Housing has undergone more or less continual reforms over the years in regards to policy, administrative and institutional reforms, in its role to the realization of Vision 2030. The Directorate of Housing is based on the social pillar that seeks to create a just, cohesive, and equitable social development in a clean and secure environment. The Directorate operates through six departments and one Semi-Autonomous Government Agency. These are; General Administration and Planning, Housing, Estates, Rent Tribunal, Slum Upgrading, Civil Servants Housing, and National Housing Corporation respectively (Department for Public Service, 2002).

The Directorate operates on a Strategic Plan 2009-2013 which was developed and reviewed in alignment to the National development strategies and priorities in the Kenya Vision 2030 (Baraza, 2013). The plan outlines key policy actions and reforms as well as the programs and projects that the Directorate intended to implement in the period 2009-2013 strategic plan (Onyango, 2012). The plan was derived from the first plan which programs and projects had aligned to those identified in the first Medium Term Plan 2008-2012. This was the first phase of implementing Kenya Vision 2030 and anchored on the Economic recovery strategy paper for wealth and employment creation (UNDP, Kenya, 2008). The Directorate aims at improving the livelihood of Kenyans. This is through facilitation of access to adequate housing in sustainable human settlements, with notable core values of commitment; teamwork; high quality

service; integrity; innovativeness; professionalism; promotion and protection of public interests; and zero corruption. It continuously monitors and evaluates its self, based on identified measurable indicators to ensure the planed implementation progress is monitored and evidence based decisions are made. In the year 2012 the Directorate attained ISO certification after going through the ISO process from 2007 (International Standards Organization, 2001).



*Figure 1: Directorate of Housing - Organizational Structure*

## **1.6 Records Management in the Directorate of Housing**

The Directorate continuously generates both physical and electronic records in the course of its business transactions. The business processes are documented as stipulated by ISO Quality standards (ISO, 9001:2008). Some of the Directorate's business transactions are done using automated systems while others are documented in paper form. The paper records are managed by the records management Unit but the automated business systems remain the responsibility of the IT unit and the business processing department. This means that the records generated electronically/automated do not fall under the control of the records management unit. However, the top management supports the records management function and values the importance of records management. Chell (2013) says that the Directorate has done much in the recent years to improve the management of its records, such as facilitating in the reviewing of its filing classification system in 2009, appraising and disposing some of its records. It developed a records retention and disposal schedule in 2010. It also constituted a records management committee which is in the process of developing a records management policy.

Onyango (2012) notes that by 2011, the Directorate had established a fully-fledged records management unit to comply with a directive issued by the Directorate of State for Public Service in 2008. In 2010 the Directorate of State for Public Service gave the Directorate of Housing an establishment of sixteen posts for records management officers and only eight are in post and all at lower cadre. Some of the officers are deployed in none records management functions, It has eight records units, one in each technical department, others are the personnel records unit, central records unit and secret records

unit (Josphat, 2014). The ISO certification process brought records management a notch higher by ensuring that the Directorate has a master list of records and documents and control measures are in place. However, generally the Directorate is yet to provide any meaningful records management reforms that conform to international best standards, and also at the same level with administrative reforms being carried out in the Directorate of Housing (ISO 9001:2008).

### **1.7 Statement of the Problem**

Administrative reforms are aimed at ensuring efficient and effective service delivery and good governance. For administrative reforms to be efficiently and effectively be implemented there is need to have sound records management programs considering that records are key instruments in the implementation of any reforms. The Directorate of Housing has been proactive in supporting the records management functions in the recent years including; the establishment of a records management unit, records management unit being represented in some of the directorate committees, and reviewing filing classification system in 2009, appraisal and disposal some of the Directorate's records, development of records retention and disposal schedule in 2010 and the establishment of a records management committee. However, reforms in records management fall short of International Best Practice. This could undermine reforms being undertaken by the Directorate in other business areas. The Directorate is yet to meaningful have records management reforms as evidenced by the fact that the Directorate's RMU is headed by low level officers, where there are both trained and untrained records management officers and clerical officers. Also notable is the Directorate's organogram which does not feature records management unit. In addition, the strategic plan of the Directorate has

no strategy for records management nor does it mention records management. This illustrates how much more work the Directorate of Housing has to do in recognition of RMU like IT, Finance, HRM, HRD, Planning and other divisions and units that offer supports services to the Directorates reforms agenda. The Directorate in year 2012 attained ISO certification which involved development of Departmental Procedures as part of the ISO certification process. However, RMU was not involved in the initial development of procedures, which means that RMU procedures were not captured.

The management of electronic records generated in business processes and emails are not under the docket of the records management unit. Likewise, some ongoing digitization of records does not include the records management unit. As things stand, RMU is yet to be allocated a budget which makes it difficult to carry out its mandated functions and also to carry out RM reforms. Despite the fact that records management has a role to play in Administrative Reforms it is difficult to have any meaningful reforms with all these problems. Reforms in records management are key to the success of many if not all of the administrative reforms that the Directorate of Housing is undertaking. In the Directorate, records management support functions like ISO certification, performance contracting, planning, business continuity among many others. It is for this reason that the Directorate should put in place adequate infrastructure for records management that includes policies, procedures, quality of personnel managing records, appropriate equipment, space, and infusion of technology.



The study therefore sought to evaluate the role of records management in the Directorate of Housing and propose a Records Management framework that supports efficient and effective delivery of administrative reforms.

## **1.8 Aim and Objectives of the Study**

### **1.8.1 Aim**

The aim of the study is to evaluate the role of records management in the Directorate of Housing and propose a Records Management framework that supports efficient and effective delivery of administrative reforms.

### **1.8.2 Objectives**

The following are the objectives that guide on the study:

- a) To investigate the administrative reforms being undertaken in the Directorate of Housing and what they are meant to achieve,
- b) To examine how records management supports administrative reforms being undertaken by the Directorate of Housing
- c) To examine the extent to which records management has been incorporated as part of the reforms in the Directorate of Housing,
- d) To determine the existing infrastructure for records Management in the Directorate of Housing,
- e) To determine the extent to which computerization has been implemented in the Directorate business process and in records management,
- f) To propose a framework that incorporates records management as a key component of administrative reforms in the Directorate of Housing.

## **1.9 Research Questions**

This study was guided by the following research questions:

- a) What administrative reforms is the Directorate of Housing undertaking and what is their purpose?
- b) How does records management support administrative reforms?
- c) Does Records Management form part of the reforms in the Directorate of Housing?
- d) What is the status of records management in the Directorate?
- e) What areas of the Directorates business processes and records management have been computerized?
- f) What would you propose to ensure record management is enhanced in the Directorate?

## **1.10 Assumptions of the Study**

The efforts made by the Directorate of Housing to improve the management of its records fall short of International Best Practices; this could undermine reforms being undertaken by the Directorate of Housing in other business areas.

## **1.11 Significance of the Study**

It is envisaged that the findings of the study will add value to the Directorate's efforts towards administrative reforms by proposing specific reforms that are needed in Records Management. This will ensure that records management forms part of the reform agenda in the Directorate.

### **1.11.1 Theoretical Significance**

This study will be an addition to existing related literature and existing body of knowledge on Records Management.

### **1.11.2 Practical Significance**

The recommendations will provide practical solutions for records management to sufficiently support administrative reforms in the Directorate of Housing.

### **1.11.3 Policy- Related Significance**

The study will inform policy formulation in records management.

## **1.12 Scope and Limitations of the Study**

### **1.12.1 Scope**

The Directorate of Housing besides having the headquarters in Nairobi also has a network of county offices spread across the country. This study is confined to the headquarters in Nairobi given that the county offices are recently established and county directors have only been recently posted. The respondents were limited to senior management, records officer, technical officers, ICT officers and secretaries.

### **1.12.2 Limitations**

Given the strict policies such as the Official Secret Act, officers may be constrained to give some information to the researcher. However, the researcher assured all the respondents that the purpose of the study was for purely academic purposes.

### **1.13 Chapter Summary**

This chapter gives the background information to the study; it explains the Directorate of Housing background information, statement to the problem, outlines the objective and the research questions that were addressed by the study. It further explains the assumptions, the significance, scope and limitation of the study.

### 1.14 Definition of Operational Terms

**Accountability:** Answerability, blameworthiness, liability, and the expectation of account-giving.

**Administrative Reform:** An induced permanent improvement in administration.

**Continuum:** A continuing thing, or substance; a continuous series of elements passing into each other.

**Efficiency and Effectiveness:** Work processes and policy decisions taken by organizations and/or institutions, and which produce results to meet their own needs and those of stakeholders.

**Electronic Record:** Any combination of text, graphics, data, audio, pictorial, or other information representation in digital form that is created, modified, maintained, archived, retrieved, or distributed by a digital information system.

**Good Governance:** The capacity of governments to design, formulate and implement policies, and promotes honesty, openness, transparency and accountability, and seeks meaningful participation by all stakeholders.

**Information:** Knowledge that is communicated and has facts, concepts, objects, events, ideas, processes, etc.

**Quality Management System:** Management system to direct and control an organization with regard to quality.

**Record:** Information created, received, and maintained as evidence and information by an organization or person in pursuance of legal obligations or in the transaction of business.

**Records Management Program:** Specialized business discipline that ensures records are created in an organized manner, in manageable quantity, and in suitable formats.

**Records Management:** Process of creating and maintaining complete and accurate organizational business activities.

**Reform:** Induced permanent improvement or re-engineering.

**Transparency:** The act of public officials discharging their duties in accordance with stipulated rules and regulations.

## **CHAPTER TWO: LITERATURE REVIEW**

### **2.1 Introduction**

This chapter provides the theoretical foundation of the study, as well as a review of the literature which covers both published and unpublished literature which include manuals, magazines, journals, service chatters and web sites. Literature review was carried out to seek and reveal other information that exists about the topic being researched on. It highlights the areas administrative reforms and records management and in relation to the directorate of Housing. The other areas covered include: contribution of records management in administrative reforms, challenges in the current and expected future trends of records management in its role of supporting administrative reforms. The study attempted to locate and synthesize completed research reports, articles, books and other materials including web sites, about the research topic. The literature review in this study, sought to reveal other information that exists on the research area.

### **2.2 Theoretical Framework**

This study examines various models including the records Life Cycle, the Records Continuum, the DIRKS, and the Quality Management System. However, the study has chosen to adopt and use a triangulation of quality management system (QMS) model and the DIRKS model. The two models were chosen because DIRKS just like ISO 9001:2008 supports continuous improvement, documentation of procedures and processes, and efficient and effective services delivery. The eight steps in the DIRKS Methodology is an outfit of the process approach advocated by ISO 9001:2008.

### **2.2.1 Life Cycle Model**

According to Vishwanath (2010), the records life cycle model is considered the earliest and most common and easy to understand in the records management field. This life cycle model was developed by the Americans in the 1930s in response to massive records that were being generated by the USA government organizations. This model identifies three stages of records which include active semi-active and non-active. The model is however criticized for not being appropriate for e-records and creating distinction between the role of records managers and archivist. Atherton (1985) observes that although the records life cycle concept had been used in promoting a sense of order in the overall management of records, strict adherence to its principles undermine any trend towards greater cooperation and coordination among archivists and records managers. Thus, it ignored the many ways in which records and archives operations were related. Though the model is useful in records management it is not applicable to this study because it is more inclined towards paper records. In addition, records management reforms in the Directorate of Housing targets records in all formats including e-mails.

### **2.2.2 Continuum Model**

The other model considered is the continuum model; this model has a clear advantage over the life cycle model as noted by Kemoni (2008). The Records Continuum as a model way of thinking was formulated in the 1990s by Australian archival theorist, Frank Upward (Xiaomi, 2001). The Continuum concept views the activity of records management as a continuous interrelation of activities. These activities are aimed at achieving efficiency and economy in management of records to ensure that records sufficiently play their role as evidence of transactions in organizations. As a result, they serve the



functions of accountability and transparency (Jackson & Kassam, 1998). The Australian Records Management Standard AS4390 (1996) defines the continuum model as a consistent and coherent regime of management processes from the time of the creation of records (and before creation, in the design of recordkeeping system) through to the preservation and use of records as archives (AS4390 1996, Part1: clause 4.22).

The continuum therefore advocates for a records management process where both records managers and archivists are involved in the ongoing management of recorded information (Mutero, 2011). Consequently, the continuum concept is more ideal for management of electronic records unlike the life cycle that was based on paper records (Xiaomi, 2001). In the present world, electronic records are becoming a major component of the records management activity for recordkeeping professionals. In the opinion of McKemmish (1998), the records continuum provides a descriptive term referring to: establishing, managing and monitoring coherent regimes of integrated recordkeeping and archiving processes; the capture, maintenance and delivery of records of social and business activity that satisfy business needs, social needs, cultural needs for essential, accessible, useable evidence; delivering recordkeeping frameworks that facilitate governance; underpin accountability; constitute memory; construct identity; provide authoritative sources of value-added information. Like the records life cycle model, the continuum is a very important model in records management; however, since it is more focused in Records management but excludes administrative reforms it will not be used.

### **2.2.3 DIRKS Methodology Model**

DIRKS is an acronym that stands for the “design and implementation of a recordkeeping system”. The model ensures the development of efficient and accountable business systems that lead to good recordkeeping across organizations (DIRKS and the state Records Act, 1998). This is a structured process for designing and implementing records keeping systems. It provides a comprehensive approach to system design that helps to develop systems with adequate records keeping functionality that are specific particular business needs. This methodology is outlined in Australian Standard AS ISO 15489-2002, Records Management. The DIRKS methodology is a clear and simple statement. It was originally detailed in the precursor to this standard, Australian Standard, AS 4390-1996, Records Management. DIRKS methodology provides a comprehensive approach to system design that will help in developing systems with adequate record Management functionality that are specific and that meet particular business needs (DIRKS and the state Records Act, 1998). This methodology is available in the DIRKS Manual which was first initiated by the then Archives Authority of New South Wales as part of its Electronic Recordkeeping Project. It was presided by the release of Australian Standard AS 4390-1996, (Records Management). The purpose of DIRKS is to design, implement, and maintain recordkeeping systems. It encourages; building better records management practices such as; ensuring the creation and capture of records, managing vital records appropriately, managing records access and security, improving business process and systems, developing new systems with adequate record management functionality, facilitating the purchase and implementation of off-the shelf records management software, ensure records are well kept (Benfell, 2002). Development of records keeping tools such as;

creating and implementing a keyword thesaurus, creating and implementing a retention and disposal authority, specifically and applying record management metadata and obtaining general support and guidance to a range of other business outcomes in any given institution (Australian Standard AS ISO 15489-2002).

The DIRKS methodology is comprised of eight steps that are outlined below as outlined in the DIRKS and the state Records Act, 1998:45-49);

- i. Preliminary investigation
  - a. collect information in order to identify the legal and structural characteristics of the organization
  - b. obtain an understanding of the factors that influence the organization's need to create and maintain records
  - c. establish an awareness of the organization's business activities, technological infrastructure, major stakeholders and recordkeeping risks
- ii. Analysis of Business activity
  - a. identify and document the organization's
  - b. business functions
  - c. activities and
  - d. transactions
  - e. determine how, when and where these are performed
- iii. Identification of recordkeeping requirements
  - a. examine legal, business and other sources to identify the requirements for evidence and information (called 'recordkeeping requirements') for the business

- iv. Assessment of existing systems
  - a. assess the systems currently used to perform business operations in the organization
  - b. identify where these systems are not meeting the recordkeeping requirements
- v. Identification of strategies for recordkeeping
  - a. determine strategies to enable the systems to meet recordkeeping requirements
  - b. choose strategies that fit with the culture and environment of the organization
- vi. Design of recordkeeping system
  - a. design recordkeeping systems that incorporate the chosen strategies
- vii. Implementation of a recordkeeping system
  - a. ensure that all components of the new / redesigned systems function according to the requirements
  - b. educate staff about new systems
  - c. roll out technology
  - d. convert legacy data
  - e. manage change
- viii. Post implementation review
  - a. gather information on the effectiveness of the recordkeeping system
  - b. survey or interview staff about the system
  - c. rectify any problems identified

### **2.2.3.1 Relevance of the DIRKS Methodology Model to the Study**

According to (Benfell, 2002), the relevance of the DIRKS Methodology is that it supports reforms in records management in ensuring quality management of records which intern provide good services to clientele. It is a step by step outfit that supports continuous improvement, documentation of procedures and processes, and efficient and effective services delivery (DIRKS and the state Records Act, 1998). The eight steps in the DIRKS Methodology is an outfit of the process approach advocated by ISO 90001:2008. The DIRKS methodology helps to transform business information systems to manage evidence of their operations into record management systems. The good thing about this model is that it does not have to be implemented in a linear way. It allows one to start at any point of choice to meet specific needs of an organization, and it is thus a very flexible process. It also allows one to work through some of the steps concurrently Benfell, (2002). The primary purpose of DIRKS is to design and implement record management systems and can support a range of different outcomes. It is based on traditional system design methodologies, but has been adapted to meet record management objectives (Australian Standard AS ISO 15489-2002). DIRKS provides a structure for many of the traditional operations that individuals and organizations have always conducted. It is designed as a means of everyday support, as a reference tool for range of different purposes. It can also be used for a larger scale projects deigned to restructure technology and process in an organization. DIRKS can be used in various records management functions that lead to improvement of records management practices such as the following (DIRKS and the state Records Act, 1998).

- i. Development of a retention and disposal authority
- ii. Develop records management policy
- iii. Comment on the recordkeeping requirements that apply to a new business system that is to be designed in-house
- iv. Develop a training program to encourage people to better manage their email or
- v. Contribute to organizations implementation of ISO, Quality Management

Working through DIRKS gives a good understanding of organizational business, both in terms of its requirements and how it is conducted. Personnel also gain experience from the broad stakeholder consultation, and a wholesome experience of change management (DIRKS, 2001). The stakeholders will have a good understanding of records management requirements and how these should be implemented to best meet organizational needs (DIRKS and the state Records Act, 1998).

In concurrence with Benfell (2002), it is important to note that in the Directorate of Housing like in many other organizations, there are a number of business information systems that are used to conduct significant business but are not able to perform records management functions. These systems may have been introduced without consideration of records management functionalities. As a consequence, it may not manage, preserve and make accessible evidence of the Directorate business transactions. The DIRKS methodology can be used in helping to transform business information systems that should be managing evidence of transactions into records management systems, which can be done in phases.

#### **2.2.4 Quality Management System Model**

The QMS model is a set of policies, processes and procedures required for planning and execution of core business areas of any given organization. A QMS specifically refers to an entire system which integrates the various internal processes within the organization. It is intended to provide a process approach for business execution. A process based QMS enables organizations to; identify, measure, control and improve the various core business processes that lead to improved business performance. Quality management ensures that an organization or product is consistent. It has four main components: quality planning, quality control, quality assurance and quality improvement. Quality management is focused on product/service quality, and also the means to achieve it. It uses quality assurance and control of processes (Oracle Cooperation, 2015).

There are many QMS models but this study focuses on ISO 9001:2008 which is an example of a Quality Management System. The International Organization for Standardization (ISO) based in Geneva, Switzerland created the Quality Management System (QMS) standards in 1987 (Benfell (2002)). ISO owes its origin from BS5377.50 which arose from production line method manufacturing, which was a predominant industry in the United Kingdom at the time (Oracle Cooperation, 2015). The standard later grew throughout many other industrialized countries due to demand by governmental organizations and contractors for their suppliers to be ISO9000 registered in order to guarantee quality. It was followed by developments of the ISO standards like the ISO 9000:1987 series of standards comprising ISO 9001:1987, ISO 9002:1987 and ISO 9003:1987; which were applicable in different types of industries. The standards are reviewed every few years by the International Organization for Standardization. The last

major revision was in the year 2008 and the series was called ISO 9000:2000 series. The ISO 9002 and 9003 standards were integrated into one single certifiable standard (ISO 9001, 2008).

ISO 9001:2008 documentation requires that the following be documented; quality policy, quality manual, quality objective, quality records; in addition to the following six quality procedures: control of documents (section 4.2.3), control of records (section 4.2.4), internal audit (section 8.2.2), control of nonconforming product (section 8.3) corrective action (section 8.5.2) and preventive action (section 8.5.3). Effectiveness of the ISO system being implemented depends on a number of factors, the most significant of which is: commitment of senior management to monitor, control, and improve quality (ISO 001 Quality Manual and Procedures, 2015).

The ISO system is intended to integrate into current business practices by creating a manual that documents existing practices and only adding new processes to meet the ISO standard when necessary. The ISO system focuses on improving the customer experience. An ISO system is expected to take into account all areas of the customer experience and the industry expectations, and endeavor to improve them on a continual basis. This means taking into account all processes that deal with three stakeholders (customers, suppliers, and organization); this enables any given organization to be able to sustain improvements in the delivery of goods and services (TOGAF, 2006).

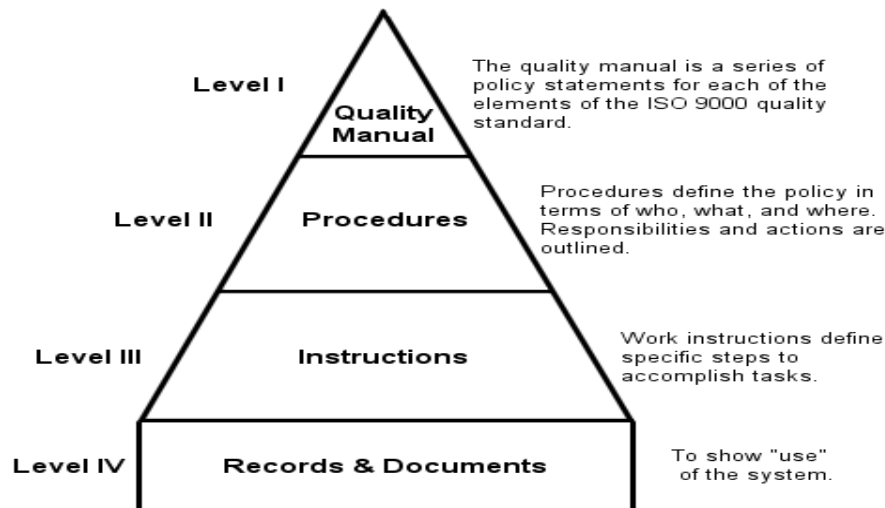
According to Bhat (2011), a quality management system has the following elements: Organizational structure, Responsibilities, Data Management Processes - including purchasing, Resources - including natural resources and human capital, Customer



Satisfaction, Continuous Improvement, Product Quality, Maintenance, Sustainability, including efficient resource use and responsible environmental operations, Transparency and independent audit (Jones, 2010). Kenya through its Vision 2030 is geared to have raised standards of quality in order to meet International standards and customer demands where by a number of its institutions have been attaining ISO certification. Which is among the expectations of Government Ministries, Departments, and parastatals is to be ISO certified. The Directorate of Housing became ISO 2009- 2008 certified in June 2012. The ISO 9001:2008 standard specifies that an organization shall issue and maintain the following six documented procedures:

- i. Control of Documents (section4.2.3)
- ii. Control of Records (section4.2.4)
- iii. Internal Audits (section8.2.2)
- iv. Control of Nonconforming Product / Service (section8.3)
- v. Corrective Action (section8.5.2)
- vi. Preventive Action (section8.5.3)

There are four tiers of documentation required by QMS. This documentation is structured from general to specific and the volume increase as one gets to the actual activities within the processes as illustrated in Figure 2.



**Figure 2: QMS Documentation Structure.**

**Source: Iowa State University (2008)**

To describe the relationship between RM and QMS there is need to discuss the relationship between documents and records. According to the Quality System Designs (2008), a document offers direction and guidance on particular tasks and therefore provides controls for conducting work, making decisions, or rendering judgments which affect the quality of the products and services that customers receive. On the other hand, a record establishes that the required quality system action took place. Often, documents become records. The procedure for control of records addresses the following elements:

- i. Identified – this implies that records are properly classified and provided with unique identifiers to ease their retrieval.
- ii. Appropriately stored- it shows that the standard values proper storage of records to them from perils of destruction. It also implies that proper storage should facilitate access to information stored in records.

- iii. Retrievable- records must be useable and therefore retrievable.
- iv. Retained for a defined period of time- this calls for scheduling of records.
- v. Appropriate dispositional- disposal of records is an important aspect of the records management program and therefore the procedure for control of records envisages a situation where processes and methods of disposal are defined in outset.

Sarrouy (2013) opines that the truth emerging out of the above procedure is that ISO (2008) appreciates the facts that RM is a key business process that support other processes. That is why the procedure for the control of records is among the six mandatory procedures in QMS. In absence of this procedure and its implementation thereof, then QMS could be ineffective. ISO 9001:2008 does not provide methodology on how to develop the procedure for control of records, but stresses that such a procedure must be developed (TOGAF, 2006).

#### **2.2.4.1 Principles of Quality Management**

Quality management adopts the following eight management principles, which form the basis for ISO 9001:2008 Quality Management System standards (ISO 9001:2008, 2014).

**Customer Focus;** Institutions are expected to meet customer requirements and try to exceed the expectations of customers. Thus all staff in the organization should know both the internal and external customers and also what customer requirements must be met to ensure that both the internal and external customers are satisfied.

**Leadership focus;** Leaders of any given institution establish unity of purpose and direction by ensuring creation and maintenance of internal environment, in which people can become fully involved in achieving the institution's quality objective.

**Involvement of the People;** Staff at all levels of the institution are involved; their complete involvement enables their abilities to be used for the benefit of the organization.

**Process Approach;** Activities and related resources are managed in an institution as a process.

**System Approach to Management;** An institution's effectiveness and efficiency in achieving its quality objectives are contributed by identifying, understanding and managing all interrelated processes as a system.

**Continual Improvement;** an institution should aim at the continual improvement of its overall performance.

**Factual Approach to Decision Making;** Effective decisions are always based on the data analysis and information.

**Mutually Beneficial Supplier Relationships;** because an institution and its suppliers are interdependent, therefore a mutually beneficial relationship between them increases the ability of both to add value.

#### **2.2.4.2 Relevance of the Quality Management System Model to the Study**

The relevance of the Quality Management System (ISO 9001-2008) to this study is that it supports administrative reforms and records management in ensuring quality management for provision of good services to clientele through its eight management principles ((ISO 9001:2008, 2014). It supports continuous improvement, documentation of procedures and processes, and efficient and effective services delivery. It is noted that

in order for any organization to implement certification in ISO 9001 2008 QMS and to fulfill the requirement of clause 4.2.4 QMS should apply the concepts advanced by ISO 15489; 2001. RM can be greatly improved across an organization if the requirements of clause 4.2.4 of ISO 9001:2008 are properly and strategically implemented and maintained, which should include control of documents and the procedure for control of records. The researcher has chosen to use QMS standards because it is a multidisciplinary framework that can comfortably work for both administrative reforms and records management. Sarrouy (2013) argues that just like the DIRKS model ISO 9001:2008, QMS can be implemented in specific divisions of organizations at a time if the organization does not have the capacity to undertake the process in the entire organization at ago with continuous improvement.

## **2.3 Review of Related Literature**

### **2.3.1 Administrative Reforms**

According to Wallis (1989), administrative reforms means an induced permanent improvement in administration. Public sector reform has been a part of most Government's agendas. The reforms have revolved around the need to improve the quality of public sector management and to shift the responsibility for economic development to the private sector (Bashir, 2005). To improve the quality of service offered by public sector agencies to clientele, many Governments have taken several measures to improve existing procedures and systems. They have also introduced office automation and information technology to strengthen information and service delivery, and enhanced the capacity of administration structures (Rashidprof, Hamzah, Jalaluddin, Malek, 2008). In an effort to provide quality service, the Governments have launched

several reform programmes to inculcate values, such as honesty, discipline, integrity, dedication, accountability, trustworthiness effectiveness and efficiency among the public servants. Administrative reforms in the past have been guided by the quality service, with emphasis on administrative improvements, enhancement of information technology, improvement of information, and service delivery (Al - Athari&Zairi, 2001).

The World Bank Report (1991) stated that reforms were urgently needed in the public sector in order to improve efficiency and productivity. In its report submitted to Kenya government, it summed up that in addition to reforms in the economic sector “structural adjustment in the public sector was necessary, not only because of the tie with fiscal policy but also because the sector absorbed resources which the private sector could use more efficiently.

The view of UNDP is that Public Administration Reform can be very comprehensive and include process changes in areas such as organizational structures, decentralization, personnel management, public finance, results-based management, regulatory reforms among others (UNDP, 2008). It could also refer to targeted reforms such as the revision of the civil service statute (Bawany, 2004).

According to Drucker (2013), public Service Reforms in Kenya have been on-going and started immediately after independence. Sessional Paper No. 10 of 1965 on African Socialism and its Application to Planning in Kenya outlined the first institutional framework for reforms. The reforms were aimed at addressing three challenges facing the government at the time namely disease, poverty and illiteracy. The main focus was on

Africanization of public service, land reforms among others with the objective of improving service delivery and performance (Peter, 2001). Other reforms were later introduced focusing on performance improvement and remuneration for better service delivery. Sessional Paper No. 1 of 1986 on Economic Management for Renewed Growth later paved the way for wider public service reforms. Among these was the Structural Adjustments Program (SAP) which aimed at lessening Government control on the economy, recognizing and harnessing the potential of the private sector as the engine for growth, and staff retrenchment as a way of reducing the civil service wage bill. In 1993 the government launched the Civil Service Reform Program to enhance Public Service efficiency and productivity. The reforms were expected to facilitate equitable wealth distribution necessary for poverty alleviation and create an enabling environment for investment and enhanced private sector growth ((Mutula & Wamukonya, 2009). This paved way for introduction of Results-Based Management (RBM) guided by the Economic Recovery Strategy (ERS) for Wealth and Employment Creation (Bawany, 2004).

On administrative reforms and national development in Africa, Wamukoya (2007) states that structural adjustment programmes implemented in developing countries in recent years focus sharply on the management of public affairs. Access to well-managed records and information is among the vital ingredients that make up an efficient administration (UNIDEF, 2011). Mutula & Wamukoya (2009) concludes that past attempts by African governments to demonstrate accountability have achieved limited success and that further leverage must come through effective record-keeping.

Reforms aims;

- i. To increase responsiveness, public trust and confidence in Government.
- ii. To facilitate improvement in accessibility to and satisfaction with public services.
- iii. To enhance efficiency and effectiveness in delivery of services to the public.
- iv. To enhance compliance with existing regulations and laws in public service delivery.
- v. To contribute to the creation of an enabling environment for sustainable economic growth and development.
- vi. To entrench a culture of accountability, transparency and ethics in public service management and service delivery.
- vii. To promote innovation and creativity in the public sector.
- viii. To build the capacity of staff of PSR & PC.

The MDGs have the following eight targets: -

- i. Eradicate extreme poverty and hunger
- ii. Archive universal primary education
- iii. Promote gender equality and empower women
- iv. Reduce child mortality
- v. Improve maternal health
- vi. Combat HIV/AIDS malaria and other diseases
- vii. Ensure environmental sustainability
- viii. Develop partnership for development



According to UNIDEF (2011), target 7c of Kenya Vision 2030 intends to reduce by half the proportion of people without sustainable access to safe drinking water and basic sanitation, while part d is to achieve significant improvement in lives of at least 100 million slum dwellers by 2030. This is where the Directorate of Housing falls as the Kenya Government is geared towards achieving Vision 2030 framework through the millennium development goals (Karim & Khalid, 2003).

The United Nations Development Program (2006a) noted that the MDGs were eight goals to be achieved by 2015, which responded to the world's main development challenges. The eight MDGs were: eradicate extreme poverty and hunger, achieve universal primary education, promote gender equality and empower women, combat HIV/AIDS, malaria and other diseases, reduce child mortality, improve maternal health, ensure environmental sustainability and develop a global partnership for development (NEPAD, 2001).

The Millennium Declaration recognizes good governance, of which public administration is a central part, as the means for achieving the goals of the Declaration. Support to modernizing state institutions is linked to achieving the MDGs in several ways (UNIDEF, 2011).

First, more resources in poor countries are freed to be used in pursuit of MDG goals if the efficiency of the public administration is increased. Second, by increasing transparency and eradicating corruption, fewer scarce resources in poor countries will be misdirected away from achieving MDGs. Third, a public administration that responds to the needs of citizens, especially women and marginalized people, is critical to ensuring the

sustainability of the achievements within the rubric of the MDGs. Finally, increasing the accountability of state institutions is an essential feature of governments' strategies to close the democratic deficit, which is key to achieving the MDGs within the context of the broader Millennium Declaration (Richard Levin, 2008).

In a paper presented by Ambassador Francis K. Muthaura, EGH Head of public service and chair KAPAM during the KAPAM annual dinner at Hilton hotel, Tsavo hall on Thursday 9th December, 2010, Muthaura stated that the World all over, the public service plays a central role in any country's socio-economic development. The service has however, been affected by globalization, public sector reforms, regional and international partnerships, climate change, Information Communication and Technology (ICT) and Human Resource Development (HRM), among other factors. In an increasingly changing global environment, the mandate, structure and operations of public service must be reshaped and productivity enhanced to make it more focused, efficient and responsive to the needs of those it serves (NEPAD, 2001).

He further mentioned that the Kenya's public service has been undergoing multidimensional, interdependent and interlocking reforms through Performance Improvement Strategy. The country has made tremendous progress through these reforms that were anchored in the Performance Management System, and that the Vision 2030 underpins the just, prosperous and democratic society that the public service working towards. The Public Service is expected to play a key role in communicating the Vision to Kenyans, its implementation and evaluation. According to Muthaura, citizen engagement has become critical in the Public Service. In order to improve citizen

engagement, the Service must endeavor to ensure effective organizational performance. This would in turn lead to increased level of public trust and confidence. In such a situation, the level of employee involvement would be enhanced as they serve their customers. This ultimately would lead to improved customer and employee satisfaction (NEPAD, 2001).

According to Kornegay (2005), the reforms in Kenya focus on transforming the public sector and its services to be able to deliver the "Kenya Vision 2030". This aims at making Kenya a newly industrialized and middle income country by the year 2030. With the Kenya's constitution that was promulgated in August 2010 it has further altered several public sector structures and systems, abolishing some long standing institutions and creating several others. The Kenya constitution 2010 further initiated more changes which could not be planned or imagined previously. The new constitution in the devolved government scenario has among others seen mergers and demergers of government institutions, creation of new offices and abolition of others, more citizen focused service delivery is being expected, with emphasis on citizen's access to information and quality service delivery. This means that the government will be kept on its toes by the citizens in quest for information and quality service delivery and thus the government will be compelled to reform its records management systems to ensure effective service delivery (Kuye, 2005).

During the previous reforms the Kenyan government saw itself increase the number of its ministries, departments and officials, in some cases even doubling them (McLaughlin, 2005). Among ministries/departments created was that of Housing which is impeded with

the responsibility of facilitating development and management of quality and affordable housing in sustainable environment for Kenyans. This is based on; - The Universal Declaration of Human Rights of 1948 recognizes the right to adequate housing as an important component of the right to adequate standard of living (UNDP, 2012; Gordon, 2000). This has been further reaffirmed by subsequent international instruments including the International Covenant on Economic, Social and Cultural Rights of 1966, the Istanbul Declaration and Habitat Agenda of 1996 and the Declaration on Cities and Other Human Settlements in the New Millennium. In all these instruments, housing is understood in the broader context of the shelter fabric together with the living environment (Karim & Khalid, 2003). In the context of Directorate of Housing, it is a strategic institution in facilitating development and management of quality and affordable shelter for Kenyans, whose mandate, is spelt out in the Presidential Circular No. 1 of 2008, to include:

- i. Formulation, implementation and review of housing sector policies
- ii. Improving the living environment in slums and informal settlements through slum upgrading
- iii. Promotion of low cost housing development through housing sector incentives
- iv. Promotion of research and utilization of appropriate building materials and technologies
- v. National secretariat for coordination of stakeholders on housing and human settlements matters
- vi. Management of housing for Civil Servants and Disciplined Forces
- vii. Facilitating Civil Servants to own houses through Civil Servants Housing Scheme Fund

- viii. Leasing of office space and residential accommodation for constitutional office holders and Disciplined Forces
- ix. Resolution of disputes between landlords and tenants in controlled residential tenancies
- x. Development of housing through National Housing Corporation (NHC)
- xi. Facilitation of housing finance through Housing Finance

### **2.3.2 Role of Records Management in Administrative Reform Process**

According to Gordon (2000), the South African National Archives views records management as the process of ensuring proper creation maintenance, use and disposal of records to achieve efficient transparent and accountable government. This means that management of records start right from creation to disposition, bringing in the continuum of care where records are cared for right from creation. This brings about corroboration by all are stakeholders, those who create records, the users, the records managers and the archivists (Swan, Robertson & Newell, 2002). Wamukoya (2005) indicated that the most important use of records is the use towards the conduct of governmental activities and support for public sector management through providing the most basic education on creation and use of records by means of which government work is accomplished.

According to IRMT (2000), record keeping is a fundamental activity of public administration. Without records there can be no rule of law and no accountability. Public servants must have information to carry out their work, and records represent a particular and crucial source of information. Records provide a reliable, legally verifiable source of

evidence of decisions and actions. They document compliance or non-compliance with laws, rules, and procedures.

IRMT (2000) further indicates that, governments can no longer justify taking action with little or no reference to past performance or future goals. Subsequently, it cannot justify parallel or duplicate services when they can combine services and reduce costs. Client service, quality performance of tasks, and measurable outcomes are increasingly important responsibilities, and these aspirations all depend on accessible and usable records. Yet, in many countries around the world, record keeping systems are unable to cope with the growing mass of unmanaged records. This is particularly true in countries with limited financial or administrative resources or where records and archives managers lack training or professional development opportunities. Administrators find it difficult to retrieve the information they need to formulate, implement, and monitor policy and to manage key personnel and financial resources. UNDP (2012) adds that the situation is said to not only impede the capacity to carry out economic and administrative reform programs aimed at achieving efficiency, accountability, and enhanced services to citizens, but also cause the decline. In some cases, total collapse of record keeping systems making it virtually impossible to determine responsibility for actions and to hold individuals accountable (Swan, Robertson & Newell, 2002).

IRMT (2000) states that records are vital to virtually every aspect of the governance process, where by effectiveness and efficiency of the public service across the range of government functions depends upon the availability of and access to information held in records. Indicating that badly managed records adversely affect the broad scope of public

service reforms, and development projects are often difficult to implement and sustain effectively in the absence of well managed records.

According to Omoyefa (2008), there has been a need for structural re-engineering of the public sector with the infusion of new spirits, values, professionalism, accountability, responsiveness, and focused sense of the mission for maximum efficiency of the economy in Nigeria. For example, the Public Sector Reform (PSR) has been on the agenda for a number of years. As noted by Obasanjo (2005), the reform of the civil service is one of the central themes of the government's agenda. Without a transparent and effective civil service, government business and service delivery to the public will be crippled and mired in dishonesty and graft. An efficient transparent and accountable civil service should be the seal of democratic transformation and development.

UNDP (2012) notes that Open Government has the potential to break the cycle of poverty by promoting transparency, empowering citizens, reducing corruption and improving governance through new technologies. It offers two main ways of accessing government information: Open Data and the Right to Information. Together they should give citizens the greatest possible amount of reliable information. The Right to Information is of little use if reliable records are not created in the first place or cannot be found when needed. Open Data can be misleading or open to political manipulation if it cannot be traced to reliable sources (paper and digital). Trustworthy information is at the heart of transparency, accountability, anti-corruption, citizens' rights and economic development. Trustworthy records are at the key of trustworthy information (TOGAF, 2006).

It is realized that many reforms have been taking place in Kenya, and others are in anticipation, however it is unlikely that these reforms can fully be realized without reforms in records management, which should be at the same pace with other reforms (Akotia, 2005). This is in realization that records are a corporate resource that can no longer be ignored in any intended reform development (Florence, 1994). Records are needed in planning, decision making, monitoring and evaluation among others. Records tell the story of the past determine today and predict the future. This means that administrative reforms need sound records management for any intended reforms to be achieved or realized. Wamukoya (1996) noted that the analysis of administrative reforms program in Kenya found out that the approach was inadequate as far as records and information issues were concerned, he also suggested that for administrative reforms program to be achieved in Kenya and elsewhere it must be expanded to provide a framework for managing records and information. According to Wamukoya (2005), the primary objective of administrative reforms is to strengthen government capacity to facilitate efficiency, effectiveness, productivity and accountability of the governance process. While concluding his thesis Wamukoya (1996) noted that, administrative reforms and records management share certain goals; both are concerned with efficient, effective and accountable systems of government. He further states that in implementing administrative reforms it would seem neither the World Bank nor the donor agencies involved in the programmes have recognized the immense benefits that could be derived if records management was incorporated as a key component in the administrative reforms process. I do agree with Wamukoya's highlights that very few governments if any in developing countries have accorded records management or information



management the same attention they have given to the management of other resources, notable finance and personnel. There is need to include records management in administrative reform programs as a critical component for success (Wamukoya, 2005). There is no doubt that we are living in the information age where all developments are forecast on information. It is for this reason that records which are carriers of information have gained their status of important capital which is vital in any development including administrative reforms (Omoyefa, 2008). This calls for sound infrastructure for records management, of which according to the National Archives and Records Service of South Africa (2005), the components of a sound records management program included the presence of a records management policy, records management procedures to support records management policy and the presence of records classification systems.

Kemoni (2007) acknowledges that information, knowledge, records, records management, recordkeeping and archives are key tools for organizational competitiveness, national development, transparency and accountability, protection of human rights and good governance. To him, there is a link between effective recordkeeping practices and implementation of public sector reform programmes, including improving public service delivery. He further states that Kenya faced various socio-political and economic challenges, such as reviving the economy, fighting corruption and reforming the public service. He further notes that there was a link between good recordkeeping practices, enhanced public service delivery and the attainment of MDGs. Records management does play a crucial role in addressing the socio-political and economic challenges of any country. It may be for this same reason that Akotia (2005) pointed out that records were crucial tools in demonstrating

accountability. ICA (2004) observes that records provide evidence of human activities and transactions, underlie the rights of individuals and states and are fundamental to democracy and good governance. According to (IRMT, 1999c) there is a relationship between poor recordkeeping systems and political instability, economic decline, human rights violations and corruption.

Shields & Schmith (2000) notes that by having proper records management program facilitates to have quality system inbuilt into operation to help realize set targets, like enhancing ISO processes, documenting systems and constantly evaluating compliance. With regular audits, they ensure that written standards are upheld and that customers continually receive high quality service. With proper records management in place and quality standards, it's possible to conduct regular audits in all of organizations business areas including records management. This ensures that staffs fully understand all of the processes and those Standard Operating Procedures (SOPs) are being followed. Records ensure that feedback is provided in a range of areas including customer service, professionalism, on-time deliveries, invoicing accuracy, among others (ISO 001 Quality Manual and Procedures, 2015). For the Directorate of Housing to consistently provide a high quality service to all of its customers around the country and, as a result realize client satisfaction, appreciation of the role played by records in realizing its set targets must be real.

According to UK Essays (2003), the Kenyan Government is pursuing its vision 2030 that seeks to transform the country into an industrialized, middle income country, providing a

high quality of life to all its citizens in a clean and secure environment, through three key pillars: economic, social, and political governance.

The social pillar seeks to create just, cohesive and equitable social development in a clean and secure environment. It is the social pillar that drives the Directorate of Housing in achieving Vision 2030. While the goal of the Public Sector Reform Program is the restoration of a sector well equipped to play its pivotal role in national development. Reshaping and revitalizing the public sector to reach these goals calls for fundamental changes in the way the sector operates, in institutional organization and relationships, and in individual and collective behavior of those serving in the sector. This includes the embracing reforms in records management as a key tool in the overall reform program (Ridderstrale, 2000).

### **2.3.3 Records Management Practices**

According to the National Archives and Records Service of South Africa (2005), the components of a sound records management program includes the presence of a records management policy, records management procedures to support records management policy and the presence of records classification systems. While Wamukoya (1996) opines that records management incorporates the policies, systems and professional and management techniques, systematically applied to the control of recorded information to enhance an organization's efficiency and effectiveness, while at the same time consolidating its evidential base. This is further echoed by Wallace (2004) who notes that records and archives are a form of 'social glue", which holds together, sustains, and sometimes unravels organizations, governments, communities, individuals and societies.

The author pointed out that the South African Truth and Reconciliation Commission relied on records in its efforts to document the crimes of apartheid. "Truth Commissions" in Argentina, Brazil, El Salvador, Guatemala and South Africa struggled to obtain access to the records of former regimes as a means of attempting historical accounting and reconciliation.

Commenting on the same, Dostoevsky (2009) says that information needs to be managed effectively and made accessible to all stake holders who need to use it to deliver service efficiently and effectively. Sound records management practices facilitate availability of information that is reliable and authentic thus the need to incorporate records management in administrative reforms. Hare & McLeod (2001) add that administrative reforms call for good service delivery resulting to good governance and development which can be evident in well managed records. However not including records management in the structure for the reforms could jeopardize the reform agenda. However, this is in many instances not taken in consideration despite the fact that records provide evidence of transactions and business activities and are a measurement tool on performance. Hare & McLeod (2001) continue to argue that Records management is an important instrument which underpins the management of the reform process upon which modern management principles and practices depend. They are instrumental towards the interpretation of the past as well as forecasting and planning for the future in any organization.

This may have prompted Ngulube (2003) to stress that, without proper records management, accountability, transparency and efficiency in public service would be

heavily compromised, leading to corruption and loss in confidence in the civil service. Ngulube & Tafor (2006) pointed out that public records and archives contain information which is the cornerstone of holding government accountable and fostering good governance. Likewise, Wamukoya (2007) highlighted that records management studies in North America, Australia and Netherlands had shown the trend towards linking records and information management with organizational functions and business processes and with decision making, efficiency and accountability. Wamukoya (2007) further notes that poor records keeping results to: poor decision making; lack of transparency and accountability; theft, corruption and plunder of resources; mistrust of the organization and those who run it; frustrations amongst staff, stakeholders and citizens; poor productivity and failure to meet obligations and mandates; vulnerability to lawsuits. Kemoni, Ngulube & Stilwell (2007) say that records are required for developing and implementing policies, planning, keeping track of actions, achieving consistency in decision making, providing effective service to citizens and achieving greater efficiency. But according to Kemoni & Ngulube (2007), current recordkeeping practices in the Republic of Kenya are not effective and this could hamper the attainment of the Millennium Development Goals. They further state that there is a link between effective records management and enhanced public service delivery, and sites that Wamukoya & Mutula (2005) further point out that chronic weakness in government recordkeeping would adversely affect private sector investment. More specifically, poor recordkeeping would contribute to a lowering of the general standard of service offered to business". ISO 15489 states that records are information created, received, and maintained as evidence in pursuance of legal obligations or in the transaction of business (ISO 001

Quality Manual and Procedures, 2015). Sarrouy (2013) says that records are a valuable source of information and an important business asset. A systematic approach to managing these records is essential to protect and preserve them as evidence of actions. When there is a record management system in place, it helps in ensuring that there is: Information about business activities, proof of business decisions, and Accountability to convince future stakeholders.

According to Ngulube (2004), an effective RM system provides continuous and ready access to all relevant records in the minimum possible time and ensuring control of records. He further adds that having access to high quality and timely data is absolutely crucial to the day to day operations. And by reviewing of records, it is possible to respond more quickly to queries and citizens will no doubt benefit from more efficient and effective service delivery (Bhat, 2011). This calls for the need to establish and control records as evidence of conforming to requirements and demonstration of effective operation of quality management system that establish a documented procedure which define the need for sound records management (McLaughlin, 2004).

The Kenya's constitution addresses information issues in the following sections: Article 35

- (1) Every citizen has the right to access:
  - a) information held by the State; and
  - b) Information held by another person and required for the exercise or protection of any right or fundamental freedom.

- (2) Every person has the right to the correction or deletion of untrue or misleading information that affects the person.
- (3) The State shall publish and publicize any important information affecting the nation.

Article 232 (Values and principles of public service)

The values and principles of public service include: transparency and provision to the public of timely, accurate information.

On Freedom of Expression, Article 33(1) of the Constitution states that:

- (1) “Every person has the right to freedom of expression, which includes –
  - a) freedom to seek, receive or impart information or ideas;
  - b) freedom of artistic creativity; and
  - c) academic freedom and freedom of scientific research

Dostoevsky (2009) observes that the use of records can help an organization to provide Quality Services by conducting and hiring qualified professional as records ensure continuity of service delivery and abate duplication of efforts, they also facilitate in planning for the future. He continues to say that to have a system that provides quality service, it is only wise to ensure that the organization has a sound records management structure that ensures accurate information for delivery of effective service within an agreeable timeline.

There is therefore need for any organization intending to have sound records management program to ensure they observe the principles of records management. The principles entail formulation of policy which ensures that records have the following qualities; authenticity, reliability, integrity, and usability over time (UNDP, 2008). Organizations

need to define and document a policy to create and manage authentic, reliable and usable records that are capable of supporting business functions and activities. Roberts (2011) observes that record management policies and procedures should ensure that record creators and custodians are identified and authorized. In addition, steps need to be put in place to protect records against unauthorized mutilation, manipulation, deletion, use and concealment, while ensuring that records continuously uphold the following virtues;

**Authenticity:**

An authentic record is one that:

- i. Is what it claims to be,
- ii. Is created or sent by the person purported to have done so,
- iii. Is created or sent at the time indicated.

To ensure the authenticity of records, an organization should implement and document policies and procedures that control the creation, receipt, transmission, maintenance, and disposal of records (Roberts, 2011).

**Reliability:**

A record contents must be trusted as a full and accurate representation of transactions, activities or facts. To ensure reliability, records need to be created: At the time of the related transaction / incident or soon after, by individuals who have direct knowledge of the facts regarding the transaction, and by instruments routinely used within the business to conduct the transaction (Roberts, 2011).



**Integrity:**

This refers to a records being complete and unaltered. Records need to be protected against unauthorized changes. In the event a record needs to be altered, policies and procedures need to specify the additions or annotations that may be made to a record after it is created. Only an authorized person should be allowed to handle the records while making alterations (Omoyefa, 2008). In addition, it is important that any annotation, addition, or deletion should be explicitly indicated and traceable. Further, to maintain integrity of records, the record system should include controls to enable access monitoring, user verification, authorized destruction and security to prevent unauthorized access, destruction, alteration, or removal of records (Roberts, 2011).

**Usability:**

Xiaomi (2003) says that, for a document to be usable it must be located, retrieved, presented and interpreted quickly. The records should be capable of being connected to the business activity or transaction that produced them. In the electronic environment there is need to have records management system which should possess the following characteristics:

- i. Reliability – routinely capture all records, organize records appropriately, provide adequate information about the records within them, provide ready access to records and make records of system operation
- ii. Integrity – prevent unauthorized access, destruction, alteration or removal of records
- iii. Compliance – be managed in compliance with all requirements that apply to the business documented within them

- iv. Comprehensiveness – manage all records resulting from the business activities that are documented or managed by the system
- v. Fixity – store records in ways that mean they cannot be tampered with, deleted inappropriately or altered
- vi. Accessibility – allow records to be shared as information resources across a work space, business unit or organization

IRMT (2000) observes that;

- i. Records management has remained a neglected area of public sector reform.
- ii. Record keeping has deteriorated so gradually that it has gone largely unnoticed as a development issue.
- iii. When development programs and regulatory systems are planned, it is essential that records systems should be strengthened. However, despite the evidence to the contrary, the availability of records is taken for granted.
- iv. Records are so fundamental to the concept of a democratic society that governments and donor organizations have tended to assume that records will be available to underpin constitutional arrangements and provide an institutional memory.

It further observes that there are a number of assumptions when it comes to records management which includes but not limited to the following;

- i. That records will be available to support programs and policies, while as records do exist, but frequently they are disorganized, incomplete, and difficult to retrieve.

- ii. That the management of records is not a professional function, notwithstanding that the size of government and the volume of paper and electronic information generated, it is essential to have specialists to manage structures and systems for controlling records as part of the wider regulatory framework.
- iii. That keeping records is not a significant problem because people will automatically want to keep records that document their actions and decisions, while as public servants who are involved in corruption and fraud or who fear for the security of their jobs are unlikely to want to keep records. Furthermore, in many institutions there are no structures in place to keep records efficiently.
- iv. That public servants know what information they need, but public servants are unlikely to be aware of all of the information that could and should be available to support their work and even if they are, it may be difficult to access.
- v. That people use records for decision making, however record systems have broken down, and public servants have ceased to depend upon them as a reliable basis for decision making.
- vi. That computers do not create records, and even if they do, information technology staffs are able to manage them, the reality is that computers do create records, whether they are printed out or maintained in an electronic environment, while systems managers are generally not concerned with long term evidentiary and access requirements. These issues fall within the remit of records professionals.
- vii. That the problems created by chaotic paper systems can be solved by the application of technology, while the reality is that if manual systems are chaotic, electronic systems will only compound the problem, moreover, paper records will

continue to exist even in a computerized environment, as data source and output documents, for some time to come.

- viii. That there will be no need for paper records because offices will be completely computerized, while as fully electronic office is not a reality even in industrialized countries, until it can be demonstrated that there is a local infrastructure and capacity to protect electronic records in a static form over a suitably long period of time, governments must protect their evidentiary requirements through paper-based records as part of mixed media systems, moreover, computers are the greatest cause of the proliferation of paper work in modern organizations
- ix. That paper-based and electronic systems will be integrated, while computerized systems generally operate separately from existing manual systems, however, unless an interface is created between manual and electronic systems, it is likely that both will lack integrity.
- x. That electronic record systems are secure, given the existence of backup procedures, disaster plans, and trained personnel, however regularized backup procedures are not always carried out, disaster plans (if they exist) tend to be inadequate, and storage facilities (particularly offsite locations) are often wholly inadequate.

#### **2.3.4 Records Management Reforms in Kenya**

The Kenyan Government has made a number of efforts towards the management of records. There are a number of legislations and guidelines that contain either direct or indirect record management requirements which guide on the way records should be managed (Kemoni, 2007) such as the following; -

- i. The Public Archives and Documentation Service Act Chapter 19 (revised 1991).
- ii. The Employment Act Chapter 226, (revised 2007)
- iii. The Regulation of Wages and Conditions of Employment Act Chapter 229.
- iv. Income Tax Act Chapter 470 (revised 1989).
- v. The National Social Security Fund Act Chapter 258 (revised 1989).
- vi. Personnel General Letter No. 1/2008 ref. no. DPM.12/6A VOL.I (71) dated 12<sup>th</sup> March 2008.
- vii. The Government Financial Regulations Chapter 23 of 1989.

There are also various circulars issued by the Office of the Prime Minister and the Directorate of Personnel Management to Ministries, Parastatals and Departments, these included but not limited to the following:

- i. The Office of the Prime Minister circular No.OP/48A/66 of November 1985 on destructions of non-current government records.
- ii. Circular No.OP.39/2A dated 14 April 1999- Cases of missing and lost files and documents in the public service. The circular drew the attention of Permanent Secretaries and staff on increased cases of loss or misplacement of files which had impacted negatively on the efficiency, effectiveness and integrity of the public service, the circular directed on proper management of records.
- iii. The D.P.M circular DPM/PA/1/20/112 on the management and disposal of personnel records.

In Kenya the public archives and Documentation Service Act Cap 19 empowers the Director of the Kenya Archives, National and Documentation Service to take charge of:

proper housing, control, preservation and disposal of all public records (Simani, 2007). According to Section 4 (1) a of the Public Archives and Documentation Service Act Cap 19 of the laws of Kenya, the Director of the KNADS, or its officers, have the mandate to examine public records and advise on their care, preservation and custody. There is also Cap 14 which handles disposal of court records and there are other government circulars issued by the government from time to time. While in 2004, the government constituted a task force under the ongoing Civil Service Reform Program (CSRP) to examine the current records management systems and practices in government and make appropriate recommendations to enhance the quality of service delivery (DPM, 2004). The Taskforce reviewed; the causes of poor records management in the public service; it recommends concrete solutions to the poor state of records management in the public services and came up with following recommendations: stocktaking and inventory of files; efficient management of mail, disaster preparedness; records appraisal; actioning of files within 2 days (DPM, 2010).

In 2001, DPM came up with a publication titled 'A strategy Performance Improvement in the Public Service' which had indicated that the state of registries of many public service delivery departments and units was wanting. This had caused delays and poor service, frustration on the part of the public and opportunity for corruption. According to the report of the Task Force, there was challenge in the manual filing system in which records were maintained. This had caused limitations in improving service delivery in the Public Service (DPM, 2010). The report also showed that the state of registries and record management practices in Kenya's civil service impacted negatively on service delivery. Some of the concerns raised included cumbersome retrieval of information,

cases of misfiling/lost files, inadequate storage facilities and failed disposal of records. It was established that the situation was compounded by low morale of registry staff and the manual nature in which records were kept. On the issue of staffing, it was noted that majority of registry and records management staff in government were holders of ordinary level certificate, who lacked professional training in records management and had no computer skills, and that majority were not security vetted, this caused major leakage of Government information and increased loss of files (DPM, 2010).

There is also circular letter No. 1/2008 Ref. No. DPM.12/6A VOL.I (71) dated 12<sup>th</sup> March 2008: by the directorate of personnel management which gave four categories of personnel records, indicating the retention period for each category, that is, records on Recruitment and Selection; Selection for Training; Promotions and Appointments; and Personal Files. However, this circular did not exhaust the categories of records covered as it only dealt with records that related to training, recruitment, promotion, appointments and personal files.

The Ministry of State for Public Service in September 2006 established the Records Management Officers cadre and came up with a scheme of service for records management officers, it then recruited records Management Officers and later, established structures and posts in government Ministries and Departments, it went further and developed an integrated records management system (IRMS), which is a records workflow system that an initial step towards computerizing the management of records (Directorate of Personnel Management, 2011). The system was developed in line with vision 2030 which proposes intensified application of Science and Technology and

innovations to raise productivity and efficiency across the service. The IRMS is also a reform measure aimed at enhancing integrity and professionalism. The Directorate of State for Public Service also developed a records procedure manual for the entire public services and also developed a strategy for improvement of records management in the public sector (DPM, 2010).

According to Obuour (2009), Lack of transparency and accountability in government transactions have resulted to sharp reactions and criticisms by citizens causing government officials to step aside. Typical examples are the sale of the Gland Regency Hotel sale scandal, the De-LLarue saga questioning the award of currency printing tender, the golden bag irregularities where the Kenya government was said to have lost billions of money, the NHIF where the government is said to have lost much money through false claims by health institutions, and the Syokimau sagas where land grabbing was being highlighted among others (DPM, 2010). These irregularities have resulted to strained relationship and lack of confidence on governance by its citizens. Proper documentation and access to sound records would greatly avert angry reactions by citizens and can be used to resolve disputes, unfortunately records management function is not appreciated as a vital ingredient in transparency and accountability which can bring about good service delivery and realization of administrative reforms (Obuour, 2009).

IMF (2003) states that the public service is seen as a critical tool in the development process of Third World countries. Strengthening of the public service and public service delivery programmes was essential for the development process and attainment of the MDGs.



According to Kemoni (2007), the MDGs emphasized public service delivery in order to, among others, eradicate poverty. However, the achievement of MDGs would be hampered by limited access to government records. To achieve these goals, there was a need to have in place good records management systems, which included the presence of legislation, properly classified records with appropriate access and file tracking tools, recruitment of trained staff, including measures to update their skills, and timely appraisal and disposal of records (Oluwu, (2002). Kemoni (2007) further sites Wamukoya & Mutula (2005) who emphasized the link between recordkeeping and attainment of NEPAD objectives, by pointing out that good recordkeeping practices would be the key to enhanced public service delivery and attainment of NEPAD's objectives.

The United Nations Development Program (2006b) and Millennium Development Status Report for Kenya (2005) noted that a major problem hindering a detailed assessment of the progress of MDGs in Kenya was paucity of data. Kemoni (2007) notes that; good recordkeeping practices would enhance public service delivery and lead to attainment of MDGs in Kenya. Records are key tools for allocating resources and for decision-making in relation to the various aspects of national development.

As a requirement by donors, Kenya government came up with public sector reform programs, and developed strategic plans (2004-2009) as part of the public sector reform programs, this was in order to meet their mission and vision and improve service delivery in all government ministries (Mutero, 2011).

Kenya's Constitution (2010) gives citizens the right of access to government information, and this has resulted in growing interest in Freedom of Information (FOI). The Kenya Government is committed to achieving an information-based society as a basis for realizing national development goals and objectives for wealth and employment creation. It is expected that ICT will enable Kenya to realize a number of key public policy objectives. The e-Government Vision intends to bring about an efficient, results-oriented and citizen-centered public sector and one of the top rated e-governments in Africa and globally (Oluwu, 2002).

The Government hopes to see the digitisation of all records across the public service thus increasing the number of processes and transactions carried out on-line for increased efficiency in government offices (Bhat, 2011). The Ministry of Information and Communications is leading a drive to have all government registries managed using ICT. This is evident in the Kenya FOI Bill, 2007, which will implement Article 35 of the Constitution of Kenya 2010, the right of access to information for citizens. Drucker (2013) notes that this would have a major impact on records management in that it will require every public authority to set up a records management system for creating and preserving records in all formats needed to adequately document policies, decisions, procedures, transactions and activities and to ensure that they are maintained in good order and condition. Government institutions need to develop an infrastructure for an electronic records management environment.

This echo' well with The UK Lord Chancellor's Code of Good Practice on the Management of Records (issued under the Freedom of Information Act 2000) indicates:

FOI is only as good as the quality of the records and information to which it provides access (UNDP, 2012). Access rights are of limited value if information cannot be found when requested or, if found, cannot be relied on as authoritative, or the arrangements for their eventual destruction or transfer to an archives, are inadequate. This is a worthy reason to call for reforms in records management not in the near future but now with the realization that they are long overdue (World Bank Group, 2012).

According to IRMT (August, 2011) The Public Archives and Documentation Service Act of 1965 (Revised 1991) empowers the director KNADS to advice on management of records however it has not given a way out on the management of electronic records by MDAs throughout the records continuum or life cycle, especial now with the current dispensation brought about by the Kenya constitution 2010. There is a need for KNADS to fulfil its legal mandate by coming up standards and guidelines on digitisation. The IRMT further notes that the management of records in Kenya is said to be complex because the Ministry of State for Public Service has been taking the lead on records management in government, although it does not have a legal mandate to do so (Chell, 2013).

According to the IRMT study (2011), the Secretary of E-Government was working with the Directorate of State for Public Service to explore the integration of IRMS with planned e-Government systems with an aim to support the ‘paperless office’ which is a goal of the Government’s Vision 2030 strategy in line with the President’s decree that all registries should be computerised. However, there is no policy or manual for e-mail management, also there are challenges in the procurement of suitable equipment; there is

also lack of computer skills amongst some government staff. There has been a draft records management policy by KNADS which has remained as a draft for quite some time KNADS the draft policy assigns responsibility for records management, including staffing and equipment, and formalises records management as the joint responsibility of KNADS and the Ministry of State for Public Service (Ngulube, 2010).

### **2.3.5 ICTs and Records Management**

According to Laube (1999) US Web's, "We're living and doing business in a world where information and ideas are the new capital, and where bits and bytes are becoming more important than physical objects." This means that this is a very important capital which must be well taken care of by professionals who are moving with the current trends, adapting current technology and new trends in information and records management.

This is also sentiment of Bailey (2010) on the future of records management, noting that the world is changing fast and as such changes in technology are having a profound effect on the role of records management. This implores records managers and others interested in this area a 'heads up' as to what these changes mean and how the profession needs to adapt to keep pace and maintain its relevance in the years ahead. Keakopa, (2011) adds that this is a wakeup call for more resilience by information professionals and more so records managers in ensuring that they move with technology to ensure availability and access to sound records today and tomorrow.

The e-records issue has continued to be shifty, calling for urgent intervention in Kenya. Wamokoya & Mutula (2005) had prepared a proposal which set out a strategic plan for developing the skills and capacities needed to ensure that e- records were managed and

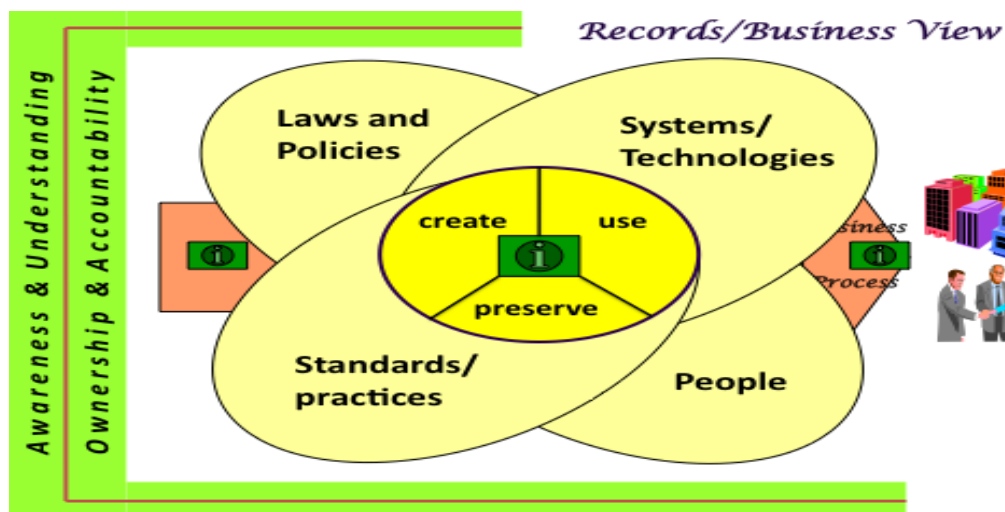
preserved as accurate and reliable evidence as a basis for development in the governments of the East and Southern Africa regions. This proposal fitted well with the NEPPAD development agenda on behalf of Africa and in general and the ESARBICA member countries in particular (Makhura, 2010).

A study by IRMT (2011) on Managing Records in a Digital Environment, Summarized the below records management key concepts, principles, issues, and approaches which are universal;

- i. Records are recorded information created, received and maintained to document transactions in a given work process. They should document and tell the story of how a given process was carried out in a particular instance provide a source of authoritative, complete and accurate information for future decision-making; capture the corporate memory of staff that are leaving the organization, and help to guide new staff
- ii. Records are important to modern organizations because they support the development, management and delivery of strategies, operations, regulatory compliance, accountability risk management, corporate values and corporate memory.

The IRMT study further notes that records are at risk if the records management infrastructure that ought to support their management is weak or missing. Such an infrastructure comprises policies, standards and practices, systems and technologies and people managed through an accountability framework and governance structure by people with a high level of awareness and understanding of the importance of records to

the organization and have a description of the components of the infrastructure for managing records shown in Figure 3 (IRMT, 2011).



**Figure 3: The Records Management Infrastructure.**  
Adopted from IRMT study (2011)

IRMT (2003) notes that well-managed e-records systems provide a strong foundation for enhancing accountability, transparency, democratic governance, poverty eradication, elimination of corruption, and efficient use of donor-funded resources which are basically the aims of administrative reforms. I am also in agreement with Wamukoya & Mutula (2005) who points out that E-government provides 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 citizen participation in government. Electronic government has the potential to overcome constraints brought about by distance and definitely increase the speed of service delivery. However, Keakopa, (2011) argues that it also poses a number of challenges for accountability, the rule of law and the maintenance of organizational memory. This call for a records

management system which should be capable of managing records in electronic form; which would include:

- Managing electronic records, scanned images, voice files, video clips, digital plans, databases, information from other applications etc.
- Managing electronic signatures and encrypted records, where appropriate

#### **2.4 Chapter Summary**

This chapter reviewed literature pertinent to the study and presented the theoretical framework of study. The literature reviewed examined issues relating to: administrative reforms, records management, contribution of records management in administrative reforms, challenges affecting sound records management and, last but not least, the effect of records management on administrative reforms.

## **CHAPTER THREE: RESEARCH METHODOLOGY**

### **3.1 Introduction**

This chapter describes how data was collected, analyzed and presented. It provides relevant information for the purpose of ensuring that credible research was conducted. Qualitative research design was used in the study. The chapter is divided into the following sections: research design, study area, study population, sample size, data collection methods, test for validity and reliability, ethical considerations and data analysis.

### **3.2 Research Design**

This study adopted qualitative design and used a case study approach. Qualitative research provides a broad explanation for behavior and attitude which the researcher explored in the study. Use of qualitative research in the study enabled the researcher to construct knowledge and gave voice to implementers of administrative reforms, creators, users, and managers of records who may not have had a channel to voice their concerns. Data was collected through interviews based on interview schedules, which were administered face-to-face on one-to-one basis. This provided more in-depth, comprehensive information giving a wider understanding of the nature of the research problem.

### **3.3 Study Area**

The focus of this study was the Directorate of Housing headquarters where the bulk of administrative reforms are initiated and carried out. Although the Directorate of Housing



is decentralizing to the counties in line with the new constitution, it was premature to include the counties since these were in their formative stages.

### 3.4 Study Population

As illustrated in Table 1 the study population comprises 166 employees distributed across six departments that make up the headquarters. This number includes 20 members of senior management; 75 technical staff; 23 records staff; 5 ICT staff and 43 secretarial staff. These people are either, creators, users or managers of records. In as far as administrative reforms are concerned; all the above mentioned officers have specific roles in the reform process in the Directorate.

**Table 1: Study Population**

<b>CATEGORY OF OFFICERS</b>	<b>POPULATION</b>	<b>PERCENTAGE OF TOTAL POPULATION</b>
Senior Management	20	12%
Technical Officers	75	45%
Records Officers	23	4%
ICT Officers	5	3%
Secretaries	43	26%
Total	166	100%

### **3.4.1 Study Sample Size**

The sample size was drawn from all the six departments of the Directorate of Housing. These departments include Estates Management, Housing Development, Rent Restriction Tribunal, Slum Upgrading, Civil Servants Housing Scheme and the General Administration and Planning. As illustrated in Table 2 the sample size was determined by means of purposive sampling. Senior officers were interviewed because they are involved in decision making and planning of the activities and budgets in the Directorate. Technical Officers were chosen as respondents because they are responsible for the technical functions of the Directorate thus the implementers of reforms and major generators of records. Records officers who include; records management officers are responsible for proper control, care and management of records as well as ensuring that proper decisions are made on all aspects of records management and proper security of information and records, and also clerical officers working in the various records management units who do daily filing of correspondence in to appropriate files and retrieval and distribution of files to the action officers. This group was useful in providing information regarding creation, receipt, storage, use and maintenance of records. Information Technology Officers are involved in assisting with providing hardware and software to be used in the Directorate business processes, creation and management records. Secretaries play an important role which involves typing letters which are eventually put in files, their role as respondents in this study was ensuring that proper information is captured while typing and filed in the relevant files. This study eliminated drivers, clerical officers not deployed in records units, and all other support staff.

In descriptive studies, of which the study has adopted Arleck& Settle (1995), states that it is seldom necessary to sample more than 10% of the population provided that the resulting sample is not less than 30 and not more than 1000 units. In the context of this study, 10 % (that is 17 respondents) was considered inadequate to determine an appropriate sample size, this study therefore adopted 20%, making a sample size of 33.2 (approximately 33) respondents.

**Table 2: Study Sample Size**

<b>CATEGORY OF OFFICERS</b>	<b>TARGETED POPULATION</b>	<b>SAMPLE SIZE 20% PERCENT</b>	<b>POSSIBLE WHOLE</b>
Senior Management	20	4	4
Technical Officers	75	15	15
Records Officers	23	4.6	5
ICT Officers	5	1	1
Secretaries	43	8.6	8
Total	166	33.2	33

### **3.5 Data Collection Methods**

Appointments were booked by the researcher who held face-to-face interviews using structured questions. Face-to-face interviews were on one-to -one basis allowing the researcher to make short notes. The researcher used the opportunity to clarify questions and observe verbal and non-verbal communication of the respondents. Interviews were

used because they gather detailed, qualitative descriptions of how populations operate, perceive themselves or are perceived by others and are done on personal basis. Face-to-face interviews were used as the sources of collecting primary data for this study because they gave interaction between the researcher and the subjects. According to Mugenda (2003), the reasons why a researcher may use interview method of data collection include:

- a. Interviews provide in-depth which is not possible with other collection tools.
- b. They help to collect the data required to meet specific objectives of the study.
- c. They are more flexible since the interviewer can adapt to the situation and get as much information as possible
- d. Very sensitive and personal information can be extracted from the respondent by honest and personal interaction between the respondent and the interviewer.
- e. The interviews yield higher response rates because it is difficult for a subject to completely refuse to answer questions or ignore the interviewer.

However, Flicke (2006) has cited some disadvantages of using interviews:

- i. The interviewer's fear of being disloyal to the targets of research
- ii. In general, there seem to be a resistance to questionnaires. In extreme cases, this can result on some participants attempting to sabotage a survey by purposefully responding incorrectly to some questionnaire items.

- iii. The dilemma between the pressure of time due to the interviewee's limited time and researcher's interest in the information.

### **3.6 Data Collection Instruments**

In this study, structured interview schedules were used to collect qualitative data from the target population. Since face to face interview can be either on a focus group or on one to one basis, this study adopted one to one interview on realization that it may be challenging to gather the entire target group on specific time since they are engaged in their different official functions.

### **3.7 Pre-testing Validity and Reliability of Data Collection Instruments**

#### **3.7.1 Validity of Data Collection Instruments**

Validity was achieved by making sure that interview questions were aligned to both records management and administrative reforms. The researcher also counter-checked the findings with the respondents to ensure correctness of the data collected. The researcher further sought to confirm that the questions were clear and easy to understand, observed how easy it was to answer the questions and whether the interview lasted for the required time. She further sought to find out whether there was possible misinterpretation of the questions.

#### **3.7.2 Reliability of Data Collection Instruments**

Reliability was achieved through pre-testing which was done before data collection. The pre-testing was conducted on staffs who were not participating in the study interviews. Participants were selected on the basis of their ability to provide professional opinions concerning the instruments to ascertain that: - The interview lasted for the required time,

that the respondents understood the questions and that there was consistency of the research instruments.

### **3.8 Data Presentation, Analysis and Interpretation**

Data collected was presented qualitatively and analyzed through descriptive analysis. This was carried out by identifying common descriptive words and phrases describing the role of records management in supporting administrative reforms in the Directorate of Housing Kenya.

### **3.9 Ethical Considerations**

The research ensured and assured respondents of anonymity and confidentiality, acknowledged sources and avoided plagiarism, ensured honest presentation, analysis and collection of data and sought relevant authority, from the National Commission for Science, Technology and Innovation sought for a research clearance permit and sought the consent of the Director of the Directorate of Housing.

### **3.10 Chapter Summary**

This chapter has highlighted the research methodology used which formed a basis for the type of data collection tools that were used and how the data was presented, analyzed and interpreted. The information that was obtained in this chapter ensured that the aim and objectives of the study were realized.

## **CHAPTER FOUR: DATA PRESENTATION, ANALYSIS AND INTERPRETATION**

### **4.1 Introduction**

This chapter covers data presentation, analysis and interpretation of the data that was collected from five different groups, namely; Senior Management, Technical Officers, Records Officers, ICT Officers and Secretarial Staff from all the six departments in the Directorate of Housing. Data is presented, analyzed and interpreted according to five specific objectives of the study which were to: investigate the administrative reforms being undertaken in the Directorate of Housing and what they were meant to achieve; examine how records management supports administrative reforms undertaken by the Directorate, examine the extent to which records management was incorporated as part of the reforms in the Directorate, determine the infrastructure for records Management in the Directorate, determine the extent to which computerization has been implemented in support of the business process and records management and last but not least, propose a framework that incorporates records management as a key component of administrative reforms in the Directorate of Housing. Data was analyzed based on five thematic areas derived from objectives of the study.

### **4.2 Administrative Reforms being undertaken in the Directorate of Housing and what they are meant to achieve**

#### **4.2.1. The Mandate of the Directorate of Housing**

The mandate of the Directorate of Housing was agreed by all respondents as provision of excellent, affordable, adequate and quality housing to all Kenyans with a mission to facilitate access to adequate housing in sustainable human settlements. According to the

respondents, this should be achieved in order to improve the lives and livelihood of people living in slums and informal settlements. In addition, as part of the Directorate's mandate, it should undertake slum upgrading, maintenance of government buildings, construction of houses for civil servants and enable civil servants to purchase or build houses.

To be able to achieve this mandate, the respondents noted that the Directorate be empowered to develop housing policy, to facilitate and regulate the housing sector. Also, the Directorate's mandate involved offering technical assistance and capacity building for the housing sector in the country and to carry out research on appropriate building technology. Additionally, as part of its mandate, the respondents affirmed that the Directorate was charged with the responsibility of developing a legal framework for the housing sector, mobilization of financial resources, provision of standards and quality assurance. The Directorate also carries out monitoring and evaluation of the housing sector to ensure that the laid down requirements are adhered to by players in the housing industry. Therefore, the mandate in general, according to respondents is to improve the housing sector in the country through ensuring that there are infrastructural requirements for the sector.

#### **4.2.2. Reforms Relevant to the Mandate of the Directorate of Housing**

The study also sought to determine the reforms the Directorate of Housing was undertaking. In relation to this, it was affirmed by all respondents that the directorate carried out policy formulation as part of enabling infrastructural requirements for its mandate. According to the findings of the study, all five senior managers, nine technical



officers, three records managers and five secretaries pointed out that this was to be done through reviewing the status of the existing policies; regulations and the formulation of new ones to facilitate implementation of the constitution. In addition, six technical officers, two records managers and three secretaries noted that for the Directorate to be in line with the current constitution, it was tasked with the role of ensuring adequate sustainable housing to all Kenyans and to ensure that eviction gets a human face. Also, all of the respondents pointed out that the Directorate should realign slum upgrading with the new housing policy and with Kenya's constitution by ensuring that every Kenyan has a right to own a house. The majority of the respondents pointed out that the Directorate was coming up with a building code for the housing sector in the country as part of its reform program.

Importantly, with the devolvement of services to counties, three of the senior managers noted that the Directorate was also keen to devolve its services. The three senior managers noted that the Directorate was involved in the training of staff in counties to build capacity and was in the process of looking for private partnerships to meet the housing demand in the counties and was keen on coming up with a framework on private partnership.

### **4.3 Records Management Support for Administrative Reforms in the Directorate of Housing**

#### **4.3.1 Contribution of Records Management to Reforms in the Directorate**

With respect to administrative reforms in the Directorate, the study sought to establish the contribution of records management in the implementation of the reforms. This was

based on the fact that records were key in the implementation process of these reforms since they document what has been done and what is involved in project implementation. In relation to this; -All respondents concurred that records were critical in determining what had been achieved in the reform process.

#### **A. Response from senior managers**

All five senior managers involved in the study noted that the directorate carried out policy formulation as part of enabling infrastructural requirements for its mandate. Furthermore, three of the senior managers affirmed that records management was critical in the administrative reforms of the Directorate as records were required in most of its operations. For instance, one senior manager gave an example that when undertaking slum upgrading programs, the Directorate required records for planning, policy formulation, and information of the beneficiaries. All senior managers also pointed out those records were required for the entire administrative functions of the Directorate which were critical in the reform program. It was also appreciated by all five senior officers that in the formulation of policies and legislations, there was always need to make reference to past records to be able to come up with policies and bills.

#### **B. Response from technical officers**

Ten of the technical officers believed that records contributed towards the attainment of the mandate through facilitating decision making in the administration process of the Directorate. Five out of fifteen technical officers were of the view that records management contributed to this mandate through evaluation of both past and current activities of the Directorate. It was also acknowledged by 10 of the technical officers that

records were key in the implementation of reforms because they documented what had been done and the resources used in the reform processes.

### **C. Response from records officers**

All five records managers involved in the study noted that records management was responsible for the flow of information, provision of relevant records and documents, reference services, retrieval of records, and safe custody of records which helped in the attainment of the Directorate's mandate through ensuring smooth flow of information. It was also acknowledged by three records officers that records were key in the implementation of reforms because they documented what had been done and the resources used in the reform processes.

### **D. Response from secretaries**

On the other hand, all eight secretaries pointed out that records management was relevant as it helped to provide reference information that was vital in the administrative activities of the Directorate. In relation to the mandate of the Directorate of Housing, effective records management was key in establishing what had been done in program implementation and the resources used. All secretaries pointed out those records were required for the entire administrative functions of the Directorate which were critical in the reform program.

All eight secretaries pointed out that effective records management helped to maintain organizational history for both current and future reference.

### **4.3.2 Importance of Records Management to the Directorate's Activities**

To be able to appreciate the function of the Records Management Unit in the Directorate, it was imperative for the study to determine the importance of records to the activities of the Directorate. All respondents appreciated that records were important to the Directorate activities.

#### **A. Response from senior managers**

Three senior managers associated the importance with records ability to describe the operations of the department; by keeping the flow of events that happen on a day to day basis as well as helping to conceptualize project design and implementation. Again, two of the senior managers pointed out that records management were very important in financial management of the Directorate as records helped in the identification of assets and loan management. It was also pointed out by three senior managers that records were very important in the management of the Directorate since they provided continuity and were used for reference purposes. one senior manager also acknowledged that records management helped in avoidance of duplication of transactions and reinventing of the wheel in the activities of the Directorate which resulted in savings in terms of time and resources.

#### **B. Response from technical officers**

Eleven technical officers associated the importance with records ability to describe the operations of the department; by keeping the flow of events that happen on a day to day basis as well as helping to conceptualize project design and implementation. Three technical officers pointed out that records were important in the Directorate's activities as

they were used in referencing activities which in turn helped in monitoring and evaluation of projects and programs.

### **C. Response from records officers**

Four records managers associated the importance with records ability to describe the operations of the department; by keeping the flow of events that happen on a day to day basis as well as helping to conceptualize project design and implementation. Two records managers noted that records were important in the Directorate's activities as they helped in the running of its day to day activities and that they facilitated liaison with clients. One records manager pointed out that records were important in the Directorate's activities as they were used in referencing activities which in turn helped in monitoring and evaluation of projects and programs. It was also pointed out by two records managers that records were very important in the management of the Directorate since they provided continuity and were used for reference purposes.

### **D. Response from secretaries**

Five secretaries associated the importance of records with their ability to describe the operations of the department; by keeping the flow of events that happen on a day to day basis as well as helping to conceptualize project design and implementation. Five secretaries also pointed out that records were important in the Directorate's activities as they were used in referencing activities which in turn helped in monitoring and evaluation of projects and programs. Five secretaries pointed out that records were important in the Directorate's activities as they were used in referencing activities which in turn helped in monitoring and evaluation of projects and programs. Four secretaries

also acknowledged that records management helped in avoidance of duplication of transactions and reinventing of the wheel in the activities of the Directorate which resulted in savings in terms of time and resources.

#### **4.3.3 Challenges faced in Accessing Records in the Directorate**

The Management of records in any environment is likely to be faced with a number of challenges. As such, the study sought to determine the challenges faced in accessing records in the Directorate of Housing. The majority of the respondents agreed that the Directorate faced numerous challenges in its records management function.

##### **A. Response from senior managers**

All senior managers, acknowledged that retrieval of records was a cumbersome activity, especially for semi-active records due to the challenges posed by storage, such as dust and dirt, the manual nature of records as well as problems related to misfiling. According to these respondents, this was premised on the fact that the records in the Directorate were not automated and where electronic records existed, the systems were not harmonized with the paper systems

Also, two senior managers acknowledged that there was an inadequate pool of qualified records management officers in the Directorate. As a result, records were managed by people without the required professional knowledge and skills which in turn resulted in the various un-standardized procedures used in the Directorate.

### **B. Response from technical officers**

Twelve technical officers acknowledged that retrieval of records was a cumbersome activity, especially for semi-active records due to the challenges posed by storage, such as dust and dirt, the manual nature of records as well as problems related to misfiling. According to these respondents, this was premised on the fact that the records in the Directorate were not automated and where electronic records existed, the systems were not harmonized with the paper systems

### **C. Response from records officers**

Three records managers, acknowledged that retrieval of records was a cumbersome activity, especially for semi-active records due to the challenges posed by storage, such as dust and dirt, the manual nature of records as well as problems related to misfiling. According to these respondents, this was premised on the fact that the records in the Directorate were not automated and where electronic records existed, the systems were not harmonized with the paper systems

Also, three records managers acknowledged that there was an inadequate pool of qualified records management officers in the Directorate. As a result, records were managed by people without the required professional knowledge and skills which in turn resulted in the various un-standardized procedures used in the Directorate. For instance, one records manager pointed out that there was no standard and controlled vocabulary which resulted in misfiling and duplication.

Besides, four records managers pointed out that some records in the Directorate were not managed in the Records Management Unit as some official records were, to a large extent, managed as personal records by office holders. This posed a greater risk to the continuity of the Directorate, especially in the event of transfers or retirement of such office holders. Furthermore, most records were manual in nature and this culminated in challenges such as slow accessibility.

#### **D. Response from secretaries**

Five secretaries acknowledged that retrieval of records was a cumbersome activity, especially for semi-active records due to the challenges posed by storage, such as dust and dirt, the manual nature of records as well as problems related to misfiling. According to these respondents, this was premised on the fact that the records in the Directorate were not automated and where electronic records existed, the systems were not harmonized with the paper systems. Besides, all secretaries pointed out that some records in the Directorate were not managed in the Records Management Unit as some official records were, to a large extent, managed as personal records by office holders. This posed a greater risk to the continuity of the Directorate, especially in the event of transfers or retirement of such office holders. Furthermore, most records were manual in nature and this culminated in challenges such as slow accessibility.

### **4.4 The extent to which Records Management has been Incorporated as part of the Directorate's Reforms**

#### **4.4.1 Records Management Reforms**

The study also sought to establish if there were reforms undertaken in the records management function of the Directorate.



### **A. Response from senior managers**

With respect to this, three senior managers pointed out that the Directorate's records management function had been undertaking various reforms which included digitization of its records using the Integrated Records Management System (IRMS). According to these senior managers this had helped to streamline the records management function in terms of records movement, storage and retrieval. One senior manager noted that the Directorate was also training its records management staff as a way of building capacity for records management. However, it was also pointed out by one senior manager that there were no reforms in records management in the Directorate. The officer observed that records management in the Directorate was done in an ad hoc manner, thus undermining the operations of the Directorate.

### **B. Response from technical offices**

With respect to this, 10 technical officers pointed out that the Directorate had integrated ICT in its records management and that with this; there had been better management of files, better storage and general improvement in records management in the Directorate. This had helped in advancing records management effectiveness in the Directorate. However, it was also pointed out by five technical officers that there were no reforms in records management in the Directorate. The officers observed that records management in the Directorate was done in an ad hoc manner, thus undermining the operations of the Directorate.

### **C. Response from records officers**

All records managers pointed out that the Directorate had integrated ICT in its records management and that with this; there had been better management of files, better storage and general improvement in records management in the Directorate. This had helped in advancing records management effectiveness in the Directorate.

### **D. Response from secretaries**

All secretaries pointed out that the Directorate had integrated ICT in its records management and that with this; there had been better management of files, better storage and general improvement in records management in the Directorate. This had helped in advancing records management effectiveness in the Directorate.

## **4.5 The Existing Infrastructure for Records Management**

### **4.5.1 Infrastructure for Records Management in the Directorate**

For records management to be effective, it is imperative to have relevant infrastructure in place. The infrastructure should be in the form of records management legislation, policies, procedures, human resources, computer technology among others. To determine records management infrastructure, the study sought to determine if the Directorate had a records retention and disposal schedule. The targeted respondents for this area were records managers. With respect to this, it was pointed out by all records managers that there was a retention and disposal schedule in place.

Furthermore, the study sought to determine the state of security of records in terms of disaster preparedness and other security measures that had been put in place to safeguard records against security risks. In relation to this, all senior managers noted that the

Directorate lacked a disaster management program for records management. However, it was pointed out by all records managers that the Directorate had initiated some isolated measures to safeguard records. For instance, fire Alarms and disaster preparedness drills had been instituted by the Directorate to check on the overall disaster preparedness in the Directorate. However, the directorate had put in place specific security measures such as the use of steel mobile cabinets to control access to records storage areas.

#### **4.5.2 Records Management Situation in the Directorate of Housing**

The study sought to find out the overall situation of records management in the Directorate of Housing. Most respondents agreed that the situation of records management in the Directorate was good as the Directorate was ISO certified.

##### **A. Response from senior managers**

Three senior managers noted that records management in the Directorate was on the right track as it maintained its records and documents as per ISO requirements. It was also noted that due to the integration of ICT in the management of records of the Directorate; retrieval, sharing and accessibility of these records had been made easier.

However, two senior managers pointed out that in some units in the Directorate, there were no trained officers in the field of records management, which made the management of records in such units and departments to be done without proper principles and practices. This hampered records management activities in the Directorate thus affecting its overall mandate.

### **B. Response from technical officers**

Ten technical officers noted that records management in the Directorate was on the right track as it maintained its records and documents as per ISO requirements. It was also noted that due to the integration of ICT in the management of records of the Directorate; retrieval, sharing and accessibility of these records had been made easier.

Five technical officers were of the view that records management in the Directorate was in a bad state and needed to be fixed. These respondents further held that records management was not appreciated throughout the Directorate. One technical officer stated that records management remained a mockery in the Directorate.

### **C. Response from records officers**

Three records managers noted that records management in the Directorate was on the right track as it maintained its records and documents as per ISO requirements. It was also noted that due to the integration of ICT in the management of records of the Directorate; retrieval, sharing and accessibility of these records had been made easier.

Two records managers were of the view that records management in the Directorate was in a bad state and needed to be fixed. These respondents further held that records management was not appreciated throughout the Directorate.

### **D. Response from secretaries**

Five secretaries noted that records management in the Directorate was on the right track as it maintained its records and documents as per ISO requirements. It was also noted that due to the integration of ICT in the management of records of the Directorate; retrieval, sharing and accessibility of these records had been made easier.

### **4.5.3 Top Management Support for Records Management**

The study sought to establish the support the Directorate provided for the management of records in terms of budget, infrastructure, and personnel resources, among others.

#### **A. Response from senior managers**

In relation to this, three senior managers noted that the Records Management Unit did not have adequate budgetary allocation. This in turn constrained, operations of the records management unit since various records management requirements such as storage facilities were inadequate and this in turn impacted negatively on the overall management of records in the Directorate. On the other hand, two senior managers pointed out that records management in the Directorate was in a bad state and lacked the support of the top management.

However, it was acknowledged by three senior managers that the Directorate had in the past facilitated training of officers in the field of records management in the form of both long term and short term courses.

#### **B. Response from technical officers**

All technical officers noted that ICT facilities such as computers were not adequate and that the problem was compounded with the poor network interconnectivity. This impacted negatively on the management of electronic records in the Directorate.

However, it was acknowledged by eight technical officers that the Directorate had in the past facilitated training of officers in the field of records management in the form of both long term and short term courses.

### **C. Response from records officers**

In relation to this, all records managers noted that ICT facilities such as computers were not adequate and that the problem was compounded with the poor network interconnectivity. This impacted negatively on the management of electronic records in the Directorate. Furthermore, all five records managers pointed out that the space available for records management activities was scarce and in most cases not conducive for both records and the personnel managing them. These records managers noted that in most units of the Directorate, facilities for records management were not ideal for records storage and the problem was compounded by inadequate stationery and fewer records management professionals, on the area of professionals in the field of records management, there was one personnel with a certificate, three with diplomas and one with a bachelor's degree who was also pursuing a master's degree in records and archives management. As such, this contributed to deterioration of records and demotivation of records management personnel. Importantly, it was agreed by all records managers and secretaries that there was need for the top management to support the Records Management Unit in its activities for the unit to fully support the functions of the Directorate.

However, it was acknowledged by all records managers that the Directorate had in the past facilitated training of officers in the field of records management in the form of both long term and short term courses. In addition, all records managers noted that induction and sensitization of officers in records management was carried out in the Directorate to increase awareness of records management activities.

#### **D. Response from secretaries**

All secretaries noted that ICT facilities such as computers were not adequate and that the problem was compounded with the poor network interconnectivity. This impacted negatively on the management of electronic records in the Directorate. However, it was acknowledged by six secretaries and that the Directorate had in the past facilitated training of officers in the field of records management in the form of both long term and short term courses.

#### **E. Response from ICT officers**

The ICT officer noted that ICT facilities such as computers were not adequate and that the problem was compounded with the poor network interconnectivity. This impacted negatively on the management of electronic records in the Directorate.

#### **4.5.4 Structure of Records Management in the Directorate of Housing**

Given the importance of records in the functions of the Directorate, the study sought to determine the structure of records management in the Directorate. This was important since the position of a function in an organization determines its prioritization. It was thus pointed out by all respondents that Records Management fell under the administration department.

#### **A. Response from senior managers**

However, all senior managers acknowledged that the same was not documented as it was missing in the Directorate's Organogram.

## **B. Response from records officers**

However, all records managers acknowledged that the same was not documented as it was missing in the Directorate's Organogram. However, it was noted by three records managers that despite the Records Management Unit not featuring in the directorate structure, the head of the Unit attended senior management meetings as the unit came under the support services division in the administration department. This was an indication that there was some little recognition of the RMU.

### **4.6 ICT Application in Records Management**

#### **4.6.1 Extent to which ICT has been applied to Records Management in the Directorate of Housing**

The Directorate of Housing like most other government departments was currently implementing ICT in almost all functional areas of its business operations. Given this development, the study sought to establish the extent to which the Directorate had computerized the records management function.

## **A. Response from senior managers**

With respect to this, two senior managers noted that the Directorate was yet to computerize the records management function. However, three senior managers were of the opinion that ICT was being used in records management but to a very minimal extent. For instance, it was stated by this group that in circumstances where ICT had been used in records management, it had only been done through personal initiative where individuals backed up their work in the cloud, drop box and Google drive. This was done



despite information security risks associated with such moves, especially where there was no legal and policy framework governing information in the organization.

In addition, it was also important for the study to determine how electronic records, including e-mails were handled in the Directorate. Three senior managers affirmed that e-records were managed by respective creating officers but not integrated with the Directorate's records management program.

### **B. Response from technical officers**

With respect to this eleven technical officers noted that the Directorate was yet to computerize the records management function. For instance, it was stated by this group that in circumstances where ICT had been used in records management, it had only been done through personal initiative where individuals backed up their work in the cloud, drop box and Google drive. This was done despite information security risks associated with such moves, especially where there was no legal and policy framework governing information in the organization.

### **C. Response from records officers**

With respect to this all records managers were of the opinion that ICT was being used in records management but to a very minimal extent. For instance, it was stated by this group that in circumstances where ICT had been used in records management, it had only been done through personal initiative where individuals backed up their work in the cloud, drop box and Google drive. This was done despite information security risks associated with such moves, especially where there was no legal and policy framework governing information in the organization.

In addition, it was also important for the study to determine how electronic records, including e-mails were handled in the Directorate. All records managers affirmed that e-records were managed by respective creating officers but not integrated with the Directorate's records management program. Three records managers also noted that e-mails; in some instances, were received by secretaries, printed and distributed to respective officers without going through the Records Management Unit.

#### **D. Response from secretaries**

Five secretaries noted that the Directorate was yet to computerize the records management function. In addition, all secretaries noted that e-mails were directed to the heads of departments, but were not controlled by the Records Management Unit.

#### **E. Response from ICT officers**

The ICT officer was of the opinion that ICT was being used in records management but to a very minimal extent. In addition, it was also important for the study to determine how electronic records, including e-mails were handled in the Directorate. The ICT officer affirmed that e-records were managed by respective creating officers but not integrated with the Directorate's records management program. In addition,

#### **4.6.2 Contribution of ICT to the Directorate's Business Processes and to Records Management**

Integration of technology in any business organization is done through facilitation of the ICT department or unit. Thus, the study sought to establish the role of the ICT unit in the Directorate of Housing in implementing its business processes and more importantly, its role in records management. With respect to this it was pointed out by all respondents

that the Directorate lacked an ICT policy to guide ICT integration and implementation of business processes and records management in the Directorate. It also emerged that there was very little collaboration between records management officers and ICT officers as far as digitization of records was concerned.

However, it was pointed out by the ICT officer that the ICT unit was charged with the role of automating processes in the Directorate which included digitization of records. The ICT officer noted that the unit undertook the installation of an integrated records management system and implementation of file tracking systems aimed at improving efficiency and effectiveness in records management. Also, the ICT officer acknowledged that the ICT unit had assisted HRM implement the integrated personal payroll data (IPPD) and the Accounts unit to implement IFMIS, aimed at improving overall financial management in the Directorate.

#### **4.9 Chapter Summary**

The researcher presented, analyzed and interpreted field data based on five thematic areas derived from objectives of the study as was collected from five different groups, namely; Senior Management, Technical Officers, Records Officers, ICT Officers and Secretarial Staff from all the six departments in the Directorate of Housing.

## **CHAPTER FIVE: SUMMARY OF STUDY FINDINGS, CONCLUSION AND RECOMMENDATIONS**

### **5.1 Introduction**

This study set out to evaluate the role of records management in supporting administrative reforms in the Directorate of Housing in Kenya and was to propose a framework incorporating records management as a key component of administrative reforms. This chapter provides a summary of the study findings, conclusion and recommendations and in addition proposes a framework to meet the objectives of the study.

### **5.2 Summary of the Findings**

#### **5.2.1 Administrative Reforms Undertaken in the Directorate of Housing**

On administrative reforms undertaken in the Directorate, the study established the following:

- i That the Directorate carries out policy formulation as a way of promoting infrastructural requirements to meet its mandate;
- ii It also reviews existing housing policies and regulations in line with the country's constitution and Vision 2030;
- iii The Directorate seeks to realign slum upgrading with the new housing policy and with the country's Constitution which reaffirms the right of every Kenyan to decent housing;
- iv As noted by majority of the respondents the Directorate was in the process of developing a building code for the housing sector in the country as part of the reform program;

- v The Directorate was in the process of devolving services to the counties and had already initiated training of staff to undertake this role;
- vi The Directorate was in the process of looking for private partnership to meet the housing demand in the country and was keen on developing a framework on private partnership.

### **5.2.2 Records Management Support for Administrative Reforms in the Directorate of Housing**

The study revealed that:

- i. Records management was critical in the administrative reforms process of the Directorate of Housing because records were required in most, if not all, of its operations, including slum upgrading programs, and policy formulation, among others;
- ii. There was need to refer to past records in the formulation of policies and legislations;
- iii. Records were important in the implementation of reforms because they document what has been done, what has not been done and the resources that have been used in the reform process;
- iv. Effective records management helped to maintain the history of the Directorate for both current and future reference;
- v. Records were important for running day to day activities of the Directorate as they facilitate interaction with clients, referencing and monitoring and evaluation of projects and programs;

- vi. Furthermore, records were very important in the management of the Directorate since they provided for continuity of the Directorate purposes.

### **5.2.3 The Extent to which Records Management has been incorporated as part of the Reforms in the Directorate of Housing**

The study established that:

- i Records Management was under the General Administration department. However, the same was not documented and there was no indication on the Directorate's organogram;
- ii The Records Management Unit enjoyed some form of recognition as the head of the Unit attended senior management meetings;
- iii The unit was under the support services in the Administration Department;
- iv Records management was not fully integrated in the reform agenda despite the realization that records management enhanced service delivery.

### **5.2.4 The Existing Infrastructure for Records Management in the Directorate of Housing**

The study established that:

- i Records management infrastructure in the Directorate of Housing was wanting and urgent reforms were needed;
- ii As noted by some respondents the Directorate had not integrated ICT in records management, even though some felt that it had;
- iii There was a retention and disposal schedule in place but it was not effectively implemented as some records had not been disposed of for quite some time;
- iv The Directorate also lacked a disaster management program for its records;

- v That fire alarms and drills had been initiated as part of disasters preparedness;
- vi The Directorate had inadequate staff capacity, storage space, compactable equipment, and inadequate budgetary allocation for records management.

### **5.2.5 Computerization of Business Processes and Records Management**

On computerization the study revealed that:

- i Records Management Unit was not involved in digitization of records;
- ii Computerization was a function of ICT unit;
- ii Digitization was still in the initial stages;
- iv Individuals managed e-records in their offices and units;
- v A lot needed to be done to harmonize computerization and especially in the area of records management.

### **5.3 Conclusion**

The study revealed that the mandate of the Directorate of Housing consisted of a number of reforms namely, development and review of housing policies and regulations, realignment of slum upgrading with the housing policy, development of a building code, devolution of service to counties and public private partnership among others. These reforms are necessary to re-engineer the mandate and functions of the Directorate of Housing. However, none of the above functions can be realized without the support of records management. Wamukoya (2005) observed that there is need to include records management as part of the reform program if success is to be realized.

Although the Directorate of Housing had undertaken administrative reforms, records management did not form part of the reform agenda neither did it appear in the Directorate's administrative structure (organogram). Records management needs to move in the same pace with other reforms if not faster in order to support them. A gap in reform at the field of records management would cause a negative impact on all other reforms as they directly relate to records. Records management reforms should not be a one off event but a continuous activity which is all inclusive in all departments within the Directorate to ensure continued improvement in service delivery. The study further established that records management was critical in the administrative reforms process because records were required in most, if not all, operations. This study agrees with Wamukoya's highlights that very few governments if any in developing countries have accorded records management or information management the same attention they have given to the management of other support services, notably Accounts, Finance, ICT, and HR (Wamukoya, 2005). There is need to include records management in administrative reform agenda as a critical component for success (Wamukoya, 2005). The study revealed that despite the important role played by records management during administrative reforms and all other business transactions, these functions remain neglected despite being vital assets in service delivery and as evidence of business transactions bringing about transparency and accountability. Records management functions remain neglected in terms of planning for records creation, care, accommodation, maintenance, accessibility, security, disposal, capacity building, adoption of modern technology and budgetary allocation for the same. One respondent stated that records management remained a mockery in the Directorate. The various



challenges relating to records management have resulted in the neglect of records and a blame game among various parties when the records needed cannot be traced.

There is need to consider records as precious assets and an important capital in service delivery and to ensure that they are properly managed in accordance with records management best practices. Sarrouy (2013) says that records are a valuable source of information and an important business asset. A systematic approach to managing these records is essential to protect and preserve them as evidence of decisions and actions. When there is a records management system in place, it helps in ensuring that there is information about business activities, proof of business decisions, and accountability to convince future stakeholders. According to Kemoni & Ngulube (2007), current recordkeeping practices in the Republic of Kenya are not effective and this could hamper the attainment of the Millennium Development Goals (these have now been replaced by Social Development Goals). They further state that there is a link between effective records management and enhanced public service delivery. Wamukoya & Mutula (2005) further point out that chronic weakness in government recordkeeping would adversely affect private sector investment.

There is need to ensure that there are quality records management practices in place to facilitate sound service delivery. This can be done by ensuring a continuum of care is accorded to the records right from creation to ultimate disposal, supported by continuous reforms in records management. The study concurs with Wamukoya's (1996) views that "records management incorporates the policies, systems and professional and management techniques, systematically applied to the control of recorded information".

The National Archives and Records Service of South Africa (2005), indicate that the components of a sound records management program include a records management policy, records management procedures, and records classification systems.

Although the Directorate has undertaken some reforms there still remains a gap in records management. The Directorate needs to appreciate the role of records management and ensure that reforms in records management are supported by top management in the same way they support other reforms.

The following reforms in records management are key in ensuring that records management has the capacity to support administrative reforms; Recognition and integration of records management in the administrative structure, development of records management policy. Others are provision of a vote head for records management, records management infrastructure, capacity building, integration of records management in directorates functions, decongestion of records from the directorate, development of records management systems, modernization of records management through ICT, records risk and disaster management, development of records procedure manual, and monitoring and evaluation of records management program.

By having an all-inclusive records management framework in place and observing quality standards and practices, there can be quality systems inbuilt into the Directorate's operations. However, a framework cannot be complete without appreciating available legislations that directly or indirectly relate to records management. In the case of Kenya such legislation would include Public Archives and Documentation Services Act(Cap 19) and Records Disposal Act (Cap 14) of the laws of Kenya which deal with public records.

It is agreeable that records are a vital component of any reform process and as such the management of records can no longer remain an ad-hoc affair if administrative reforms are to succeed. Effective records management is critical in determining what has been achieved in the reform process and in measuring the level of success of the targeted reforms. This can in turn facilitate the realization of the set reform targets.

All stakeholders in records management need to be involved in ensuring that records are well managed. The stakeholders include creators of records, users, records management professionals, ICT staff, and most importantly senior management. Reforms in records management should be guided by policies and regulations, adequate records management systems, and clear demonstration of senior management support. It is for this reason that the researcher recommends urgent reforms to be undertaken in records management with the full support of senior management.

## **5.4 Recommendations**

Based on the findings of the study, the researcher has come up with the following recommendations as indicated below.

### **5.4.1 Integration of Records Management into the Administrative Structures**

One of the key findings of the study was that records management did not feature in the Directorate's structure (organogram). This study therefore recommends that senior management take immediate steps to incorporate records management in the Directorate's organizational structure. This action will serve as a management commitment to allocate resources to records management functions the same way they do for other functions.

#### **5.4.2 Development of Records Management Policy and Regulations**

The study established that there was a draft records management policy which was yet to be finalized. The study recommends that top management should facilitate the records management unit to ensure that this policy is concluded in order to embed records management with other organizational activities and in line with international best practice. The policy will outline procedures and guidelines governing the implementation of the records management program. It will also give specific direction and procedures of doing things and who should be accountable for the what.

#### **5.4.3 Vote Head for Records Management**

One of the priority reforms should be to allocate a budget for records management activities. This should be in the form of a specific vote head for records management. This will be a clear indication of support by the senior management. This will enable the records management unit to carry out its mandate and responsibilities without reliance on other departments.

#### **5.4.4 Records Management Infrastructure**

The study recommends that the Directorate should endeavor to put in place adequate records management infrastructure in the form of records management policies and procedures, well equipped and trained manpower, budgetary allocation, space and accommodation, modern records management equipment such as computers, allocation of sufficient and conducive space for records staff and records storage, and documented work flows and responsibility.

#### **5.4.5 Capacity Building**

In order to enhance staff capacity, the Directorate should initiate an analysis of staff needs for the records management unit, followed by recruitment of staff at various cadres. The study further recommends that staff training be undertaken especially in electronic records management as another measure of boosting staff capacity.

#### **5.4.6 Integration of RM in Directorates Functions**

Records management is not a stand-alone function as it supports all directorate functions. It is for this reason that it should be integrated as part of the Directorates functions at all levels. This will enhance the capacity of various Directorate's units and departments to make informed decisions based on adequate information.

#### **5.4.7 Decongestion of Records from the Directorate**

The study revealed that despite there being a disposal schedule huge backlogs of records had had not been disposed of. The study recommends that periodic appraisal of records should be carried out by the records management unit to address this problem. This way, the Directorate will be able to dispose of records in a timely manner.

#### **5.4.8 Development of RM Systems**

The study findings observed that the Directorate did not have appropriate records management systems which affected the proper management of records in the Directorate. Based on this the study recommends the development of appropriate records management systems to include, file classification, records retention and disposal schedules among others. File classification will ensue fast and easy, access and retrieval of records and information needed for business continuity, while t records retention and

disposal schedule will ensure that records are retained for as long as they are needed for business continuity, and disposed of when no longer needed.

#### **5.4.9 Modernization of RM through ICT**

The study established that while other sections and departments in the Directorate had embraced computerization, the use of technologies in records management was haphazard resulting to unplanned digitization and uncoordinated management of electronic records. The study thus recommends that the Directorate integrates ICT in its records management process to help manage records more efficiently, this will incorporate records converted and those generated electronically in the Directorates digitized business process, including other electronic formats especially those received as e-mail. Records management unit needs to be involved in digitization of records and should be responsible for the management of electronic records including their migration to newer platforms to ensure continued accessibility of authentic and reliable records. Modernization of records management will make sharing of information by multiple users, fast and easy access to information, and easy control of access through restricted levels of access among others.

#### **5.4.10 Records Risk and Disaster Management**

As noted from the findings the study recommends the development of a records risk and disaster management program to include a vital records and preservation and retention program. This will help the Directorate deal with disasters affecting records whenever they occur.

#### **5.4.11 Development of Records Procedure Manual**

In order to streamline the management of records in the Directorate the study recommends the development of a records procedure manual to guide staff on the management and use of records within the Directorate.

#### **5.4.12 Monitoring and Evaluation of RM Program**

As a way of mitigating challenges in records management, the Directorate should conduct records management audit from time to time as a way of identifying challenges and determining compliance to set policies and procedures.

#### **5.4.13 Framework Implementation**

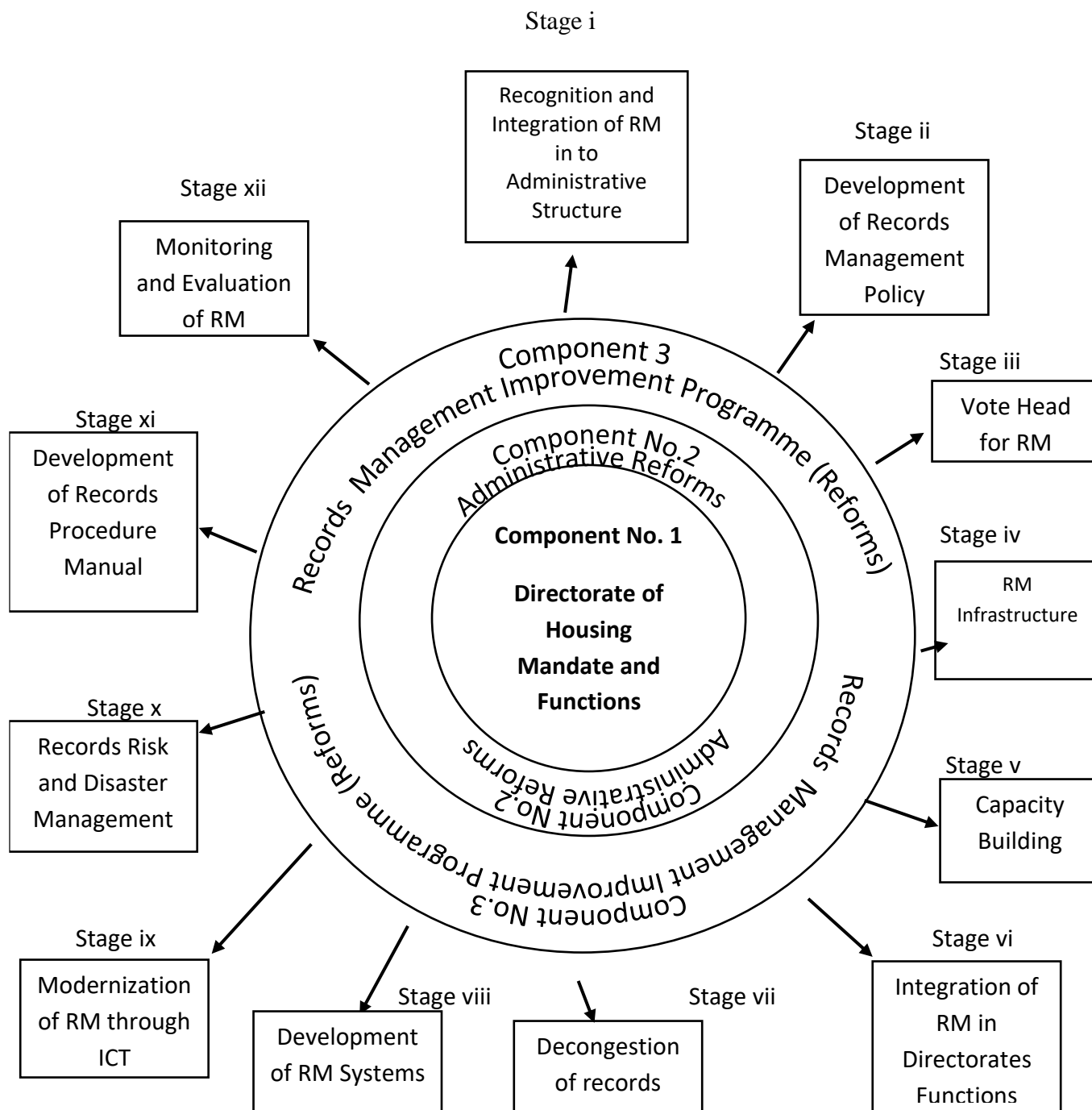
As proposed in the objectives the study has come up with a records management framework that addresses some of the challenges identified in the study. The framework is an integration of the DIRKS ('designing and implementing recordkeeping systems') and the ISO (International Organization for Standardization) quality management standard ISO 9001:2008. The DIRKS methodology developed by the Australian, provides for the design implementation and maintenance of appropriate records management systems, while the ISO quality management system identifies records management as a key business process that supports other processes and emphasizes the need for documentation of processes and control of records. These two models informed the development of the framework which is represented below in figure four.

#### **5.4.14 Proposed Records Management Framework**

The proposed framework for this study responds to the challenges identified by the study and the proposed reforms.

The study therefore recommends the framework in Figure 4 to be used in reforming the records management functions to support the administrative reform agenda in the Directorate of Housing.





**Figure 4: Proposed Records Management Framework**

This framework incorporates three main areas of concern in this study namely; mandate and functions of the Directorate of Housing, administrative reforms as well as records management reforms. It further elaborates on the eleven stages that constitute reforms in records management. Below is a description of the various components of the framework and the twelve stages of the records management improvements Program.

### **1. Mandate and functions of the Directorate of Housing**

The Directorate has the mandate of facilitating adequate, excellent, affordable and quality housing for Kenyans which it carries out through various departments. The departments are; Housing, Estates, Slum Upgrading, Rent restriction, civil Servants Housing Scheme, and Administration.

### **2. Administrative Reforms**

The Directorate has been carrying out a number of reforms to bring about improvement in its mandate. These reforms have focused on, policy formulation, strategies to provide adequate housing, development of a building code, realigning slum upgrading with housing policy, devolving services to counties and public private partnership. However, the reforms did not include records management which is key to all these reforms. This study has proposed reforms in records management as part of a broader mandate leading to records management improved program in the directorate.

### **3. Records Management Reforms (Records Management Improvement Program)**

To address the gap in the Directorates Reform Program the study proposes that the Directorate undertakes a records management improvement program made up of the following stages as shown below;

**i. Recognition and Integration of Records Management in to Administrative Structure**

The Directorate Administration structure (organogram) needs to clearly show the place of records management and the authority it carries in the Directorate. Records management being a cross cutting issue in the Directorates mandate and functions needs to carry sufficient authority requisite to its role in the Directorate.

**ii. Development of Records Management Policy**

Records management functions in the Directorate ought to be governed by a records management policy in line with professional best practice. The development of the policy should be guided by the public Archives and Documentation Services Act Cap 19 of the laws of Kenya.

**iii. Vote Head for Records Management**

To promote improvement in records management the Directorate should set aside a budget to show its commitment to records management reforms in the Directorate senior management should consider coming up with a vote head specific for records management. The budget allocated should be sufficient enough to undertake records management program and functions in the Directorate.

**iv. Records Management Infrastructure**

Records Management infrastructure is crucial to delivery of a successful records management program such infrastructure will normally include records management policies and procedures, well equipped and trained manpower, budget allocation, space and accommodation and modern records management equipment such as computers. The Directorate should endeavor to provide adequate infrastructure to deliver and sustain a successful program.

**v. Capacity Building**

Senior management should ensure that there are records management staff capable of implementing the expected reforms in records management. The records management team should be led by a records manager appointed at a sufficiently senior level in line with the public service scheme of service for records management officers.

**vi. Integration of Records Management in Directorates Functions**

Records management is not a stand-alone function. It is an integral part of the Directorates mandate and functions. For this reason, it should be integrated in all functions and activities of the Directorate. This will not only support decision making in the directorate but also service delivery in all areas of the Directorates mandate.

**vii. Decongestion of Records from Directorate**

The Records Management Unit in the Directorate should undertake regular survey and appraisal of records in all Departments of the Directorate. This will enable the Directorate to determine records to be disposed of through destruction and those to be retained because of their continuing value. The exercise should encompass both paper and electronic records and should strictly be undertaken in line with the provision of public Archives and Documentation Services Act. Cap 19 of the laws of Kenya.

**viii. Development of adequate Records Management Systems**

Records management systems are the foundation of a sound records management program in any organization. To ensure improvement of records management in the Directorate the records management unit in consultation with other departments within the Directorate should come up with a raft of records management systems including;

File Classification, Mail management, File Management, Reports Management Systems Directives management systems, Records retention and disposal system. These will ensure that records management activities are undertaken in the right manner in the Directorate.

**ix. Modernization of Records Management through ICT**

Today ICT is recognized as a tool for improving work processes in all organizations. In this regard senior management in the Directorate should facilitate the modernization of records management in the Directorate through the provision of funds to purchase modern equipment such as computer hard ware and software as well as the procurement of EDRMS system to be installed in the Directorate. Further the Directorate should come up with a digitization policy and guidelines for the digitization and conversion of the Directorate analogue records in to electronic format.

**x. Records Risk and Disaster Management Program**

As part of reforms the Directorate should put in place a records risk and disaster management program that should also include, a vital records program. This will ensure that all Directorate records paper as well as electronic are properly preserved and can be retrieved in case of a disaster.

**xi. Development of Records Procedure Manual**

The records management unit should be tasked with developing a records management procedure manual spelling out guidelines on how the Directorate's records should be managed.

**xii. Monitoring and Evaluation of RM Program**

Records management like all other activities in the Directorate should be constantly evaluated and monitored to ensure conformity to professional, legal and administrative guidelines, this will enable the Directorate to identify gaps in delivery of records management program early enough to take remedial action.

**5.5 Suggestion for Further Research**

The findings of this study have reportedly highlighted gaps in management of electronic records in the Directorate of Housing. However, the issue was not given adequate covering in this study as it did not form part of the objectives. The study suggests further research be undertaken to exhaustively cover the management of electronic records in the Directorate.

## REFERENCES

- Akotia, P. (2003). "Public Sector Records Systems in Ghana: Some Lessons in Development Management." *African Journal of Library, Archives and Information Science*. 13 (2): 107-117.
- Al - Athari, A. & Zairi, M. (2001). "Building benchmarking competence through knowledge capability." *Benchmarking: An Internal Journal*, Vol 8 No 1. 70-80.
- Arleck, P. D., & Settle, R. B. (1995). *The survey research handbook: Guidelines and strategies for conducting a survey*.
- Australian Standard AS 15489 (2002). Records Management. Available at [www.archives.Sa.gov.au/files/management ARM ISO 15489.pdf](http://www.archives.Sa.gov.au/files/management_ARM_ISO_15489.pdf).
- Australian Standard, AS ISO 15489-2002, (1998). Records Management. Introducing the DIRKS Methodology. DIRKS and the state Records Act, 1998.
- Baraza, A.I. (June, 2013). An Overview of the Progress of Ministry of Lands, Housing and Urban Development. Presentation at the 2013 ministerial platform.
- Bashir, H.S. (2005). "Making Change Permanent: a Model for Institutionalizing Change." *Working Towards Organizational Change and Development*, Vol. 12. 97-128.
- Bawany, S. (2004). Key Success Factors of Knowledge Management (KM) Implementations in Singapore. *Bawany Associates Pte Ltd, Singapore, 20*.
- Benfell, P. (2002). "An integrated approach to managing electronic records." *Records Management Journal*, Volume 12, Number 3. 95-96.
- Bhat, N. (2011). *Quality Management System*. New Delhi, Black Belt.
- Biwott, J.K. (2014). *Effects of Service Charter on Service Delivery: A Look at Matete District Commissioner's Office*. A Thesis submitted to Kenya School of Government, Nairobi.
- Blake, R. (2005). National archives. *Complying with the records management code: evaluation workbook and methodology*. Consultation draft. Accessed 22 May 2005 and available: [http://www.nationalarchives.gov.uk/news/pdf/record\\_managemerial\\_compliance.pdf](http://www.nationalarchives.gov.uk/news/pdf/record_managemerial_compliance.pdf).
- Central Bank of Kenya (2005). *Risk management guidelines*, CBK, Nairobi" Government Printer.

- Chebani, B. (2005). *Merits and challenges of the integrated records services in the public service – a case of Botswana*. ESARBICA Journal24:139-156.
- Chell, R. (2013). "The Records Management: An Inadequate Concept for Technology - Generated Records." *Information Development* 16 (3): 135-141.
- Christopher, T.L. (2010). Challenges Facing the Implementation of Rapid Results Initiative Strategy at National Environment Management Authority. A Research Project Submitted the University of Nairobi.
- Datskovsky, G. (2009). "Information governance: what you don't know can bite you." in Lamm, J., Blount, S., Boston, S., Camm, M., Cirabisi, R., Cooper, N. (Eds), *Under Control: Governance Across the Enterprise*, CA Press, Millbrae, CA.
- Department for Public Service (2002). *Pathways to Work: Helping People into Employment*. The Stationery Office, Nairobi.
- Diamond, J. (2002). "Strategies to resolve conflict in partnerships: reflections on Kenya urban regeneration" *International Journal of Public Sector Management*, Vol. 15 No. 4, pp. 296-306.
- Directorate of Personnel Management (2011). *Report on Streamlining the Operations of registries in Government Public Service Ministry for Improved Service Delivery*. Office of the Prime Minister, Directorate of Personnel Management, Republic of Kenya, Nairobi.
- DIRKS (2008). Manual - Available at <http://www.records.nsw.gov.au/>.
- DIRKS and the state Records Act, 1998.
- Dostoevsky, F. (2009). Pushkin. *Pushkin: Judgments and Disputes*.
- DPM (2010). *Organization and Functions of the Directorate of Personnel Management*. Office of the Prime Minister.
- Drucker, P. (2013). "Moving Towards the Information Revolution." *The Atlantic Monthly*, <http://www.theatlantic.com/issues/99oct/9910drucker.htm>.
- Florence, L.S. (1994). *Our Private Live*. London: W.C.I. George and Harrap & Co. Limited.
- Francis Kornegay during live proceedings of the Africa Public Service Day celebrations, 23 June 2005, Pretoria.
- Gordon, C. (2000). *Knowledge Management Journey: Navigating the IT/HR turf way*. Harvard Business Review on Knowledge Management. Harvard: Harvard Business School Press.



- Government of Canada (2008). *Integrated risk management model*. Viewed 20 September 2008.
- Hamel, J. (1993). *Case study methods*. Newbury Park, CA: Sage.
- Hare, C.E. & McLeod, J. (2001). *Lifelong learning and empowerment: a model in practice*. *New Library World*, 102(10), 389-396.
- Hennink, M., Hutter, I., & Bailey, A. (2010). *Qualitative research methods*. Sage.
- Hipchak, H. (2011). "Records Appraisal and Disposal." In Ellis, J. (ed.) *Keeping Archives*. DW Thorpe, Victoria: The Australian Society of Archivists, pp. 157-206.  
<https://www.scribd.com/doc/45903597/What-is-Software-Development-Life-Cycle>.
- International Organization for Standardization: ISO 15489-1 (2001) Information and documentation- Records Management- Part 1: General.
- International Organization for Standardization: ISO 9001(2000) – Quality Management System – Requirements.
- International Standards Organization (2001). ISO 15489-1:2001. *Information and documentation: Records management standard*, ISO, Geneva.
- IRMT (1999). Training program on Managing Legal Records.
- IRMT (2011). Managing Records in a Digital Environment. Available online on <http://www.caldeson.recordsmanagement.com/RIMOS/xanuun.html>.
- IRMT (2011). Managing Records in a Digital Environment: The Relationship to ICT/ e-Government and Freedom of Information Strategy Development.
- IRMT (July, 2000). Managing Records as the Basis for Effective Service Delivery and Public Accountability in Development: An Introduction to Core Principles for Staff of the World Bank and Its Partners.
- ISO 001 Quality Manual and Procedures (2015). The 9000 Store: The tools you need to Achieve and Maintain ISO 9001.
- ISO 15489-1 (2001). International Standard: Information and Documentation -Records Management-Part 1: General. Geneva: International Organization for Standardization.

- ISO 9001:2008: (2014). Boundless. "Philosophies." Boundless Business. Boundless, 14 Nov. 2014. Retrieved 27 May. 2015 from <https://www.boundless.com/business/textbooks/boundless-business-textbook/operations-management-10/quality-management-70/philosophies-330-2150/>.
- Jackson, E.T. & Kassam, Y. (1998). Knowledge Shared: Participatory Evaluation in Development Cooperation, West Hartford: USA, International Development Research Centre.
- Jerry Kuye during live proceedings of the Africa Public Service Day celebrations, 23 June 2005, Pretoria.
- Jones, W. (2010). Vision 2030 Jamaica: NDP Full. Dmitri Dawkins.
- Josphat, H.S. (2014). The New Public Service: Service rather than steering. *Public Administration Review*, 60 (Nov/Dec). 34-68.
- Karim, M.R.A. & Khalid, N.M. (2003). *E-Government in Malaysia-Improving responsiveness and capacity to serve*. Pelanduk Publications and MAMPU.
- Kavanagh, M.H. and Ashkanasy, N.M. (2006), "The impact of leadership and change management strategy on organizational culture and individual acceptance of change during a merger", *British Journal of Management*, Vol. 17 No. 1, pp. 81-103.
- Keakopa, M. (2011). "Records Management Systems in the ESARBICA Region." *Records Management Journal* 21: 41-48.
- Kemoni, H. N., & Ngulube, P. (2007). National archives and the effective management of public sector records in Kenya. *Mousaion*, 25(2), 120-140.
- Kemoni, H., Ngulube, P., & Stilwell, C. (2007). Public records and archives as tools for good governance: reflections within the recordkeeping scholarly and practitioner communities. *ESARBICA Journal*, 26(3).
- Kemoni, H.N. & Ngulube, P. (2007). "Relationship between Records Management, Public Service Delivery and the Attainment of the United Nations Millennium Development Goals in Kenya." Paper presented at the XIX Bi-Annual East and Southern Africa Regional Branch of the International Council on Archives (ESARBICA) General Conference on "Empowering Society with Information: The Role of Archives and Records as Tools of Accountability", Tanzania, Tanzania National Archives (Dar as Salaam), 18 to 22.
- Kemoni, H.N. (2007). "Records Management Practices and Public Service Delivery in Kenya." PhD Thesis, University of Kwazulu-Natal, South Africa.

- Kemoni, H.N. Ngulube, P. & Stilwell, C. (2007). "Public Records and Archives as tools for good Governance: Reflection within the Recordkeeping Scholarly and Practitioners Communities." *ESARBICA, Journal* Vol. 26:3-18.
- Kenya National Archives and Documentation Service (2006). A Monthly Report. Available: <http://www.kenyarchivesmanagement.go.ke/director-main.htm>.
- Kiragu K. & Mutahaba G. (2002). Lessons of International and African Perspectives on Public Service Reform: Examples from five African Countries. *African Development*. Vol. XXVII, Nos.3 and 4, 2002, pp.48-75
- Kiragu, K. (2002). "Improving Service Delivery Through Public Service Reform: Lessons of Experiences from select Sub-Sahara Africa Countries." A paper presented at the second meeting of the Design Automation Conference (DAC) Network on Good Governance and Capacity Development. Organization for Economic Cooperation and Development, Headquarters, February 14-15.
- Kuye, A. (2005). The Interaction between Governance, Policy and Public Service Reform in Democratic South Africa" in D. Olowu and R. Mukwena (eds.), *Governance in Southern Africa and Beyond. Experiences of Institutional and Public Policy Reform in Developing Countries*, Windhoek: Gamsberg Macmillan Publishers: 45-60.
- Lamo, L. (2009). "Records management in the public service and the Botswana's national archives and records service." *Journal of Library, Archives and Information Science* 9(2):112-131.
- Levin, J., & Levin, R. (2003). 13 Patent Oppositions. *Economics for an Imperfect World: Essays in Honor of Joseph E. Stiglitz*, 221.
- Levin, R. (2008). "Developing the Public Service and Administrative Capacity of the State in Africa." A paper presented at the 6th Conference of African Ministers for Public /Civil Service in Midrand, South Africa, 11-15 October 2008.
- Makhura, A. (2010). Records and Information User Behaviour at SAN Parks: A Case Study. *Mousaion* 23(2):213-229.
- Makhura, M. (2005). Records Management and Information User Behaviour at SAN Parks: A Case Study. *Mousaion* 23 (2):213-229
- Mark, C.E. (2006). "Customer care and the public service ethos", *Public Administration*, Vol. 84 No. 4, pp. 845-60.

- Mason, J. (2010). Public Administration Reform and Local Governments. The local Government Reform Process in Europe and the CIS June 15th to 19th. Zagreb, Croatia.
- Mazikana, B. (2008). "Challenges on the Development of Records Management in Kenyan Public Offices." *Esarbica Journal*, Vol. 10, p. 7- 16.
- McKemmish, S. (1998). *Yesterday, Today and Tomorrow: a Continuum of Responsibility*. Michigan. University Press.
- Mckemmish, S. (1998). Yesterday, Today and Tomorrow: A continuum of Responsibility. Available at: <http://www.sims.monash.edu.au>.
- McLaughlin, M. (January, 2004). "KM: People are Important." *Journal of Knowledge Management Practices*, Vol 5.
- McLaughlin, Todd, and Dennis DM O'Leary. "Molecular gradients and development of retinotopic maps." *Annu. Rev. Neurosci.* 28 (2005): 327-355.
- McNulty, T. (2003), "Redesigning public services: challenges of practice for policy." *British Journal of Management*, Vol. 14, pp. 31-46.
- Mnjama, N. & Wamukoya, J. (2004). E-government and Records Management: An Assessment Tool for E-records Readiness in Government. Paper Presented at the SADC Workshop on E-government, Gaborone, 14-16 April 2004.
- Mnjama, N. 2005. Archival landscape in eastern and southern Africa. *Library Management* 26 (8/9):457-70.
- Mugenda, O. (2003). *Research methods*. Nairobi: Acts press.
- Musembi, N. (2003). Re-inventing the Nigerian public service in an Age of Reforms. *Pakistan Journal of Social Sciences*, 5(3), 243-252.
- Mutahaba, G. & Kiragu, K. (2002). Lessons of International and African Perspective on Public Service Reform. available at <http://www.naa.governmentnews.au/records->
- Mutero, I. (2011). "Improving the Search Results Art from Using Boolean Operators: Records and Achieves Management." National University of Science and Technology of Zimbabwe. Retrieved on 8th June 2015 from <http://recordsandarchivesmanagement.blogspot.com>.

- Mutula, S. & Wamukonya, J.M. (2009). "Public sector information management in east and southern Africa. Implications for FOI, democracy and integrity in government." *International Journal of Information Management* Volume 29, Issue 5, October 2009. 333-341.
- National Archives Kenya (2008). Records management. Accessed 27 July 2004 and Available: <http://www.nationarchive.gov.uk/recordsmanagement>.
- National Archives of Kenya. 2010. Commonwealth recordkeeping – an overview. (Accessed 29 July 2004). Available: <http://www.naa.gov.au/recordkeeping/overviewnews/new-approach>.
- National Archives Record Services of SA (2005)
- Needham, C.E. (2006). "Customer care and the public service ethos." *Public Administration*, Vol. 84 No. 4, pp. 845-60.
- NEPAD base document (2001). para 23.
- Ngulube, P. (2005). "Disaster and Security Management in Public Archival Institutions in ESARBICA Region." *African Journal of Library, Archives and Information Science* 15 (1): 15-24.
- Ngulube, P. (2003). Using the SECI knowledge management model and other tools to communicate and manage tacit indigenous knowledge. *Innovation*, 27(1), 21-30.
- Ngulube, P. (2004). "A Double-edged Sword: Challenges and Opportunities Offered by the Digital age to The African Information Society." In: Bothman, T. and Kaniki, A. (eds). *Progress in Library and Information Science-Proceedings of the 3<sup>rd</sup> Biennial DISSANET Conference*. Pretoria, South Africa, 28-29 October. Glenstantia: Infuse, pp. 21-40.
- Ngulube, P. (2010). "Challenges and Opportunities Offered by the Digital age to The African Information Society." *Progress in Library and Information Science-Proceedings of the 3<sup>rd</sup> Biennial DISSANET Conference*. Pretoria, South Africa, 28-29 October. Glenstantia: Infuse, pp. 21-40.
- Ngulube, P. (2011). "An overview of the management of public records and archives in the member countries of the East and Southern Africa Regional Branch of the International Council on Archives (ESARBICA)." *Journal of the Society of Archivists* 27(1):14.
- Nyamweya, J. (2007). "Public service reform and development: how far we have come and where to from here." manuscript, Public Service Reform and Development Secretariat, Cabinet Office, Office of the President, Nairobi.

- Obasanjo, O. (2005). International session of the Permanent Secretary of Bureau of Public Service Reform. Abuja: Servicom Office.
- Obuour, T. (2009). *The role of records management in promoting human rights, good governance and accountability*. Accessed on 5 June 2015 and available online <http://www.baobabconnections.org/article/>).
- Office of the President (2007). Directorate of Personnel Management Circular DPM.4/10A (9) on streamlining the performance of registries in government ministries, departments, local authorities, provinces and districts. Nairobi: Office of the President.
- Office of the President (2009). Permanent secretary to the cabinet and head of public service circular OP.39/2A on cases of missing and lost files and documents in the public service. Nairobi: Office of the President.
- Oluoko, C. (2009). "Research in Library and Information Sciences in Nigeria: Publishing to the Wrong Audience?" *African Journal of Library, Archives and Information Science* 13(2):93-106.
- Oluwu, D. (2002). "New Public Management: An African Reform Paradigm?" *Africa Development*. 27 (3&4):1-16.
- Omar, H.G. (2012). "Implementing strategies successfully." *Integrated Manufacturing Systems*, Vol. 13 No. 6, pp. 415-18.
- Omoyefa, P.S. (2008). *The politics of public sector reforms in Africa*. Lesotho: National University of Lesotho.
- Onyango, G. (2012). "Strategies to resolve departmental conflicts: reflections on Kenya Ministries." *International Journal of Public Sector Management*, Vol. 15 No. 4, pp. 296-306.
- Oracle Cooperation (2015). Introduction to Oracle database: Oracle Database Globalization Guide, 2015.
- Palmer, S. (2009). "Records Management and Accountability Versus Corruption, Fraud and Maladministration." *Records Management Journal* 10(2):61-72.
- Peter, C.B. (2001). *A Primer on Knowledge Management. Students Accountant*. (ACCA, UK), August, pp.30-36.
- Phele, P. S. (2001). Magneto hydrodynamics flow and heat transfer in a porous channel.
- Phelem, F.D. (2001). "Special Issue on New Public Management in Africa" *Africa Development*, Vol. 27(3&4).

- Photayanuvat, C., Flicke, J., Hollmann, F., & Engineers, I. C. (2006). Outline Design of the Blue Line South Underground Section–Extension of the Existing Bangkok MRT Subway Line. In *International Symposium on Underground Excavation and Tunneling* (pp. 85-96).
- Rabbitts, P. H., Watson, J. V., Lamond, A., Forster, A., Stinson, M. A., Evan, G., ... & Rabbitts, T. H. (1985). Metabolism of c-myc gene products: c-myc mRNA and protein expression in the cell cycle. *The EMBO journal*, 4(8), 2009-2015.
- Rao V. Bhaskara(2009)strategies of successful administrative reforms, Kakatiya University, Warangal India.
- Rashidprof, A.B.A., Hamzah, G., Jusohdr, H.M. Malek, J.M. (2008). *The implementation of e-Government in Local Authorities towards Enhancing Urban Governance Efficiency*. A Paper presented in the International Conference on Social, Development and Environmental studies. Global Change and Transforming Spaces”18-19th November 2008.
- Republic of Kenya (1989). The Government Financial Regulations.
- Republic of Kenya (1989). The National Social Security Fund Act Chapter 258.
- Republic of Kenya (1991). The Public Archives and Documentation Service Act.
- Republic of Kenya (1995). Sessional Paper No. 10 of 1965, Government printer: Nairobi.
- Republic of Kenya (1998). Office of the Prime Minister circular No.OP/48A/66 of November 1985 on destructions of non-current government records.
- Republic of Kenya (2004). Office of the President, Directorate of Personnel Management. Report on streamlining the operations of registries in government Ministries/Departments and Local Authorities for improved service delivery.
- Republic of Kenya (2007). The Employment Act Chapter 226.
- Republic of Kenya (2008). Personnel General Letter No. 1/2008 ref. no. DPM.12/6A VOL.I (71) dated 12<sup>th</sup> March 2008.
- Republic of Kenya (2010). The Constitution of Kenya.
- Republic of Kenya (2011). Ministry of State for Public Service, Strategy for improvement of records management in the public service.
- Republic of Kenya (2012). MSPS Integrated records management syestem for the public service user manual.

- Republic of Kenya (2012). The Kenya Vision 2030, Government printer: Nairobi.
- Republic of Kenya, Circular No.OP.39/2A (1999). Cases of missing and lost files and documents in the public service.
- Republic of Kenya, Income Tax Act Chapter 470 revised (1989).
- Republic of Kenya, Medium Term Plan 2008 – 2012. (Strategy for National Reconstruction)
- Republic of Kenya, Ministry of State for Public Service, Records Procedures Manual (2012).
- Republic of Kenya, Sessional Paper No. 1 of 1986, Government printer: Nairobi.
- Republic of Kenya, The Regulation of Wages and Conditions of Employment Act Chapter 229.
- Ridderstrale, J. (2000). Business Moves Beyond Bureaucracy. *Mastering Management*. Financial Times, November 6.
- Roberts, D. (2011). "The new Australian records management standard." Paper presented at the Annual Meeting of NAGARA, Sacramento CA, July.
- Sarrouy, O. (2013). "Software Studies. Records Management." *Educational Journal*, Volume 12, Number 3, 2002, 95-96.
- Simani, N. (2007.) *Press release: Kenya Anti-Corruption Commission presents training certificates to records management committee members*. Available from: (<http://www.kacc.go.ke/archives/>).
- State Records Authority of New South Wales, (2003). Recordkeeping in Brief 17- Strategies for documenting government business.
- Swan, J., Robertson, M. & Newell, S. (2002). "Knowledge Management: The Human Factor". in *KM Systems*, Thomson Learning what is software development life cycle. Published by VishwanathGs. 2010. Retrieved on 8 June 2015 from
- Terer, J. (2012). Cases of missing and lost files and documents in the public service. Press release. East African Standard 12 May: 1.
- Terer, P. (2009). Cases of missing and lost files and documents in the public service. Press release. East African Standard 12 May.



- Thornton, P. (2003). *New Deal for Disabled People for National Extension: Findings from the first Wave of Qualitative Research with Clients, Job Brokers and Job Center Plus Staff*, Social Policy Research Unit, New York.
- TOGAF (2006). *Developing Architecture Views. The Command and Control System Target Architecture (C2STA)*. Retrieved on 5 June 2015 from <http://asq.org/conferences/audit/docs/2012-audit-conference-brochure.docx>.
- UK Essays (2003). *The Role Kenya's Strategic National Interests Politics Essay*. Retrieved on 4 June 2015 from <http://www.ukessays.com/essays/politics/the-role-kenyas-strategic-national-interests-politics-essay.php>.
- UK Government (2008). "Green Paper: New Ambitions for Our Country: A New Contract for Welfare", Cm 3805, HMSO, London.
- UNDP (2012). *Managing records as the basis for effective service delivery and public accountability in development: An introduction to core principles for staff of the World Bank and its partners*. Available from: <http://web.worldbank.org/>. [Accessed: 29 September 2009].
- UNDP (2012). *Public Administration Reform Practice Note document*, [http://www.undp.org/governance/docs/PARPN\\_English.pdf](http://www.undp.org/governance/docs/PARPN_English.pdf).
- UNDP *Public Administration Reform* (2008). Available at website <http://www.undp.org/governance/public.htm>.
- UNDP, Kenya (2008). *Public Service Reform and Development Secretariat in Kenya*. <http://www.ke.uninterdp.org> [23.09.2008].
- UNDP's *Public Administrative Reforms, Practice Notes* <http://www.undp.org/policy/practicenotes.htm>.
- United Nations (2012). *The millennium development goals report*. Accessed 21 May 2006 and available: <http://www.unrecordsstats.un.org/unsdd/mi/pdf/MDG%20Book.pdf>.
- Upward, F. (2005). "Modeling the continuum as a paradigm shift in recordkeeping and archiving processes and beyond – A personal reflection." *Records Management Journal* 10(3), 115–139.
- Vishwanath, K. V., & Nagappan, N. (2010, June). *Characterizing cloud computing hardware reliability*. In *Proceedings of the 1st ACM symposium on Cloud computing* (pp. 193-204). ACM.
- Wallace, D. A. (2004). *Recordkeeping for accountability*. *Esarbica Journa*

- Wamukoya J. & Mutula, S. (2005b). Capacity-Building Requirements for E-Records Management: The Case of East and Southern Africa. Available: <http://www.emeraldinsight.com/Insight/viewcontentServlet?filename=published/Em...>9>.
- Wamukoya, J. & Mutula, S. (2005a). "Transparency and Integrity in Government: Building Capacity for Managing Electronic Records in the East and Southern Africa Region." A Proposal Prepared with Assistance of IRMT and Submitted to ESARBICA Board for Approval. 8 February. 2005.
- Wamukoya, J. (1996). *Records Management and Administrative Reform Programmes in Kenya*. Ph.D. Thesis. London: University College London.
- Wamukoya, J. (2007). "E-Government and Records Management: An Assessment Tool for E-Records Readiness in Government", *Electronic Library*, Volume 25, No. 3. 274 - 284.
- Wamukoya, J. (2009). "Public Sector Information in East and Southern Africa: Implementation for Democracy and Governance." *In East African Journal of Information Sciences*. Vol.No.002. 67-87
- Wamukoya, J. (2012). "Administrative reforms and national development in Africa." *Sage Journals Information Development*. Vol.3(43). 8-3.
- Wamukoya, J., & Mutula, S. M. (2005). Capacity-building requirements for e-records management: The case in East and Southern Africa. *Records Management Journal*, 15(2), 71-79.
- Wamukoya, J., & Mutula, S. M. (2005). E-records management and governance in east and southern Africa. *Malaysian Journal of Library and Information Science*, 10(2), 67.
- Williams, C. (2007). "The research imperative and responsible recordkeeping professionals." *Records Management Journal* 17(3), 150–156.
- Wingfield, M. (2006). "Petty bureaucracy and woolly-minded liberalism?" *Public Administration*, Vol. 74 No. 4, pp. 639-56.
- World Bank (2006). *Poverty reduction, Economic Management and Social Policy*. Sierra Leone: The role of rapid results approach in decentralization and strengthening of local governance. A briefing note. July 10.
- World Bank Group (2012). *Why records management? Records management as a key support for development effectiveness*. Accessed: 8 June 2015 and available from: <http://web.worldbank.org/>.

- Xiaomi, A. (2001). A Chinese view of Records Continuum methodology and implications for managing Electronic Records- available at <http://www.caldeson.com/RIMOS/xanuun.html>.
- Xiaomi, A. (2003). "An Integrated Approach to Records Management." *Information Management Journal*. July/August:24-30.
- Zambia Revenue Authority (2011). TechNet Africa. Technical and Financial Offer for a Solution Registry Electronic Records management. Retrieved in 4 June 2015 from [http://www.infotrendco.com/files/ZRA\\_technical\\_and\\_financial\\_offer.doc](http://www.infotrendco.com/files/ZRA_technical_and_financial_offer.doc).

**APPENDIX1: INTRODUCTION LETTER TO RESPONDENTS**

I am a postgraduate student at Moi University, School of Information Sciences, pursuing a Master of Philosophy Degree in Records and Archives Management. As part of the requirements for this degree, I am undertaking a research titled, “Evaluating the Role of Records Management in Supporting Administrative Reforms in the Directorate of Housing, Kenya:”

I kindly request you to grant me an Interview to assist me accomplish the research. All the information provided will be accorded the confidentiality it deserves and will only be used for this study.

Thank you in advance.

Emily WanguiNdungi,

## **APPENDIX 2: INTERVIEW SCHEDULE FOR SENIOR MANAGEMENT**

### **Section A: - Background Information.**

1. Designation/job title: .....
2. Directorate /Department.....

### **SECTION B: -**

1. Can you elaborate on the mandate of the Directorate?
2. Following the promulgation of the new Constitution of Kenya and Vision 2030, what reforms is the Directorate undertaking that are relevant to the Directorate's mandate?
3. What is the contribution of records management in the implementation of the reforms?
4. Have these reforms included any reforms in records management?
5. What is your assessment of the overall records management situation in the Directorate of Housing?
6. What support does your Directorate provide to the management of records in the Directorate in terms of budget, infrastructure, and personnel resources, etc.?
7. How important are records to the activities of the Directorate?
8. Where in the Directorate structure does records management fall?
9. What policy reforms are needed to make the management of records in the Directorate more efficient and effective?

### **APPENDIX 3: INTERVIEW SCHEDULE FOR TECHNICAL OFFICERS**

#### **Section A: - Background Information.**

1. Designation/job title: .....
2. Directorate /Department.....

#### **SECTION B: -**

1. Can you elaborate on the mandate of the Directorate?
2. How does records management contribute towards the attainment of this mandate?
3. Following the promulgation of the new Constitution of Kenya and Vision 2030, what reforms is the Directorate undertaking that are relevant to the Directorate's mandate?
4. What is the contribution of records management in the implementation of the reforms?
5. What is your assessment of the overall records management situation in the Directorate of Housing?
6. What records do you often require to do your work?
7. Do you face any challenges in accessing records in the Directorate?
8. What support does the Directorate provide to the management of records in terms of budget, infrastructure, human resources etc.?
9. How important are records to the work activities of the Directorate?
10. Does the Directorate of Housing have a written policy governing the management of records?
11. To what extent has ICT been applied to records management?

12. How are electronic records including e-mails handled in the Directorate?
13. To what extent have administrative reforms in the Directorate included reforms in records management?
14. What specific reforms would you like to see taking place in records management?

## APPENDIX 4: INTERVIEW SCHEDULE FOR RECORDS STAFF

### Section A: - Background Information.

1. Designation/job title: .....
2. Directorate /Department.....
3. What is your level of education: -?
  - i) College certificate: ----- [   ]
  - ii) College Diploma: ----- [   ]
  - iii) Higher Diploma-----[   ]
  - iv) Bachelor's Degree: ----- [   ]
  - v) Master's degree: ----- [   ]
  - vi) PhDs.: -----[   ]

Any other specify

4. Number of years worked in records management unit.
  - I. Less than 5 years: ----- [   ]
  - II. 6-10years: ----- [   ]
  - III. 11-15 years: ----- [   ]
  - IV. 16- 20 years: ----- [   ]
  - V. 20 and above-----[   ]

### SECTION B: -

1. How does records management contribute to the activities of the Directorate?
2. What support do you get from management towards the management of records?



State the areas they give support?

- i. Training
  - ii. Equipment
  - iii. Storage
  - iv. Resource allocation
  - v. Career development
  - vi. Others Please specify .....
3. What specific challenges do you face with regard to records management?
  4. The Directorate is currently undertaking administrative reforms; to what extent are you involved?
  5. To what extent do these reforms include reforms in records management?
  6. Does the Directorate of Housing have a written policy governing the management of records?
  7. Does the policy cover records in different formats?
  8. What areas does the records management policy cover?
    - a. Creation. \_\_\_\_\_
    - b. Circulation. \_\_\_\_\_
    - c. Use. \_\_\_\_\_
    - d. Maintenance. \_\_\_\_\_
    - e. Appraisal. \_\_\_\_\_
    - f. Disposal. \_\_\_\_\_
    - g. Storage. \_\_\_\_\_

h. Others specify \_\_\_\_\_

9. Has the Directorate automated its records management systems?

If yes, state which aspects have been automated

10. Who manages records that are generated electronically?

11. How do the automated business processes in the Directorate relate with the records management systems?

12. Are the staff managing records in the Directorate trained in records management?

If yes, to what level

- Certificate\_\_\_\_\_
- Diploma\_\_\_\_\_
- Higher Diploma\_\_\_\_\_
- Bachelor's Degree\_\_\_\_\_
- Master's Degree\_\_\_\_\_
- Others - Specify

13. Are the staff adequate in relation to the tasks and activities they are required to perform in the records units?

14. Do you have a records retention and disposal schedule?

15. Is there a disaster management program for records management?

16. What are the security measures in place for the records?

- Fire Alarms
- Smoke & Fire Detectors

- Burglar proof doors and windows
- Safes
- Strong rooms
- Disaster Preparedness drills

Any other - Specify

17. What reforms would you recommend to improve records management in the Directorate?

## APPENDIX 5: INTERVIEW SCHEDULE FOR ICT OFFICERS

### Section A: - Background Information.

1. Designation/job title: .....
2. Directorate  
/Department.....

### SECTION B: -

1. What is the role of ICT unit in the Directorate of Housing?
2. What role has the ICT unit played in the implementation of administrative reforms in the Directorate?
3. What relationship does your unit have with the records management unit?
4. Does the Directorate of Housing have a written ICT policy?
5. If yes does the policy say anything on the management of e-records?
6. Dose the Directorate maintain any automated system?
7. If yes, has the Directorate automated its records?
8. Who manages records that are generated electronically?
9. How are the records generated electronically managed?
10. What strategies would you suggest to improve the management of records especially e-records?

**APPENDIX 6: INTERVIEW SCHEDULE FOR SECRETARIES****Section A: - Background Information.**

1. Designation/job title: .....
2. Directorate  
/Department.....

**SECTION B: -**

- 1 As a secretary do you at any point handle official records?
- 2 How do records generally support the work of the Directorate?
- 3 What relation do you have with the records management unit?
- 4 What procedures do you follow if you have to request for records or return records to the records unit?
- 5 Are these procedures documented?
- 6 For records brought to your office, how are they handled and protected?
- 7 What electronic records do you generate?
- 8 How are these electronic records handled?
- 9 What challenges do you encounter in accessing records in the Directorate of Housing?
- 10 What strategies would you suggest to address the situation?

## 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

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

Date:

Ref: No.

5<sup>th</sup> November, 2013

**NACOSTI/RCD/14/013/1756**

Emily Wangui Ndungi  
Moi University  
P.O.Box 3900-30100  
**ELDORET.**

#### **RE: RESEARCH AUTHORIZATION**

Following your application dated *31<sup>st</sup> October, 2013* for authority to carry out research on "*Role of records management in supporting administrative reforms in the directorate of housing, Kenya,*" I am pleased to inform you that you have been authorized to undertake research in **Nairobi County** for a period ending **31<sup>st</sup> December, 2013.**

You are advised to report to **the Principal Secretary Ministry of Land, Housing and Urban Development** 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 Principal Secretary  
Ministry of Land, Housing and Urban Development.

**APPENDIX 8: - PRE-TEST CHECK LIST**

- i. Is the feedback received from respondents' documented?
- ii. Are the questions clear and understood?
- iii. Did the interview last for the required time?
- iv. Is there consistency of the research instruments?
- v. How easy it is to answer the interview questions?
- vi. Are there any biased or hypothetical questions?
- vii. Were there any possible missed questions
- viii. What were the general comments about the questionnaire?
- ix. Are the questions related to the role of records management in supporting administrative reforms in the Ministry of Housing and
- x. Was there counter checking the findings with the respondents to ensure correctness of the data collected