

UNIVERSITY OF KWAZULU-NATAL

RECORDS MANAGEMENT PRACTICES AND PUBLIC SERVICE
DELIVERY IN KENYA

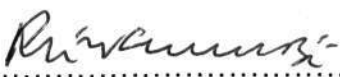
HENRY N. KEMONI

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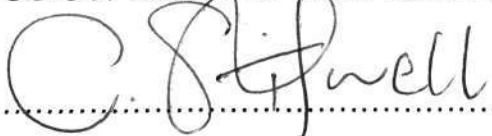
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Submitted in partial fulfilment of the requirements for the degree of Doctor of Philosophy (Information Studies) in the School of Sociology and Social Studies, Faculty of Humanities Development and Social Science, Information Studies Programme, University of KwaZulu-Natal, Pietermaritzburg, South Africa

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LIST OF ABBREVIATIONS AND ACRONYMS

CITRA:	International Conference of the Round Table on Archives
CSRS:	Civil Service Reform Secretariat
DROs:	Departmental Record Officers
ESARBICA:	East and Southern Africa Regional Branch of the International Council on Archives
FOI:	Freedom of Information
ICA:	International Council on Archives
ICTs:	Information and Communication Technologies
ISO:	International Organization for Standardization
IT:	Information Technology
IMF:	International Monetary Fund
IRMT:	International Records Management Trust
KNADS:	Kenya National Archives and Documentation Service
MDGs:	Millennium Development Goals
NARC:	National Alliance Rainbow Coalition Government
NARA:	National Archives and Records Administration
NEPAD:	The New Partnership for Africa's Development
PSRS:	Public Sector Reform Secretariat
SAPS:	Structural Adjustment Programs
SPSS:	Statistical Package for the Social Sciences
SWOT:	Strengths, Weaknesses, Opportunities and Threats
TNA:	Training Needs Assessment
UNESCO:	United National Educational Scientific and Cultural Organization
UN:	United Nations
UNDP:	United Nations Development Programme
USA:	United States of America
UK:	United Kingdom
WB:	World Bank
WSIS:	World Summit Information Society

CHAPTER ONE: BACKGROUND TO THE STUDY

1.0 Introduction and Study Rationale

Records are important sources of information and knowledge. They assist government to make timely and relevant decisions, and hence contribute to sustainable socio-economic and political development. There is a need to integrate records management more effectively with other information management functions in the enterprise, so that records management becomes a strategic management function for reaching a competitive advantage (De Wet and Du Toit 2000:73). Discussion among scholars concerning the impact of information, knowledge and records management on national development is documented (Castells 1996; Onyango 1997; Mazrui 1999; Stilwell, Leach and Burton 2001; Gregories, Dimitris, Abecker and Ron 2003; Durrant 2004; Britz 2004; Chen, Snyman and Sewdass 2005; Assudani 2005; Okemwa 2006).

According to Castells (1996:67), a new economy which he referred to as informational and global, to identify its fundamental distinctive features and to emphasize their intertwining had emerged in the past two decades on a wide-scale. Onyango (1997:111) pointed out that, in less developed countries, proper management of information resources was critical to national development at micro and macro levels, while Mazrui (1999:10) opined that information played an important role in the world today and that the distribution of real power was not based on "who owns what" but "who knows what". Stilwell, Leach and Burton (2001: v) observed that, in a global context, information had become one of the central features of efforts to chart a new world, characterized by globalization and interconnectedness. Gregoris, Dimitris, Abecker and Ron (2003:xi) argued that organizations were realizing that knowledge was their greatest competitive asset and a key strategic resource of the future. There was thus a need for organizations to develop a comprehensive understanding of knowledge strategies and for processes and tools for its creation, transfer and deployment.

Successful intelligence by the world's intelligence services to protect national interests always depended on the collection of information, as pointed out by Todd and Block (2003:35, 152). For example, in South Africa, a Bill seeking to intercept information relating to those posing a threat to national security had been enacted and passed by Cabinet and awaited the approval of Parliament, as noted by Monare (2006:3). The regulation of the interception of communications and provision of communication-related Information Amendment Bill would force cell phone and other providers to keep Short Text Message (SMS), e-mails and voice conversations in the form of an archive for future requirement by National Security spies and the police. Cell phone companies would have to send any communications or SMS of the intercepted target to the office of the Interception Centre of the National Intelligence Agency.

There is increased recognition of the vital role that scientific information and knowledge play in education, poverty reduction and sustainable development (Durrant 2004:63). The reverse case is also true – that unless access to information and knowledge was made available to all, the gap between the poor and wealthy countries would continue to widen. Britz (2004:192), concurring with Durrant (2004), stated that information poverty (the situation in which individuals and communities, within a given context, did not have the requisite skills, abilities or material means to obtain efficient access to information, or to interpret and apply it appropriately) would have a negative effect on the economic, cultural and socio-political development of Third World nations.

Information and knowledge are perceived as very important assets to organizations and managing documents, information and knowledge would contribute to business efficiency and effectiveness for organizational competitiveness (Chen, Snyman and Sewdass 2005). The assertion by the authors that "information and knowledge are perceived as very important assets" does not have universal truth, given the neglect or mismanagement of information resources including records in a majority of African environments

which are only slowly beginning to appreciate the value of information. Knowledge is increasingly recognised as being of importance to organizations in the contemporary knowledge and the rapid proliferation of the term (knowledge) through journals, conferences, managers and government agendas points to the increasing interest of academics, practitioners and policy-makers in "knowledge" as a source of economic rent and as a source of sustained development (Assudani 2005:31). Du Toit and Muller (2004) pointed out that without a proper and appropriate intelligence process and structure, it would be difficult to develop intelligence in an enterprise, while Du Plessis and Du Toit (2005) posited that knowledge was one of the most important assets of a law firm. Okemwa (2006:63) pointed out that knowledge was fast becoming a source of competitive advantage that made a difference between success and failure for both profit and non-profit organizations. Hughes (2003:5) underscored the role of records management in the knowledge economy, by emphasizing that knowledge management was at the heart of what records managers did every day, and the two disciplines shared several objectives and provided some similar benefits.

In recognition of the important role of information in society, The UN General Assembly Resolution 56/183 of 21 December 2001 endorsed the holding of the World Summit on the Information Society (WSIS), in two phases (International Telecommunication Union 2005). The first phase took place in Geneva from 10 to 12 December 2003 and was hosted by the Government of Switzerland, while the second phase took place in Tunis from 16 to 18 November 2005 and was hosted by the Government of Tunisia. To cater for the interests of the archival community worldwide, the International Council on Archives (ICA 2005a) took part in WSIS and had a stand located in the exhibition hall.

Records are vital sources of information. They enable public officers to render efficient and effective service to the public. Governments use records for wide-ranging purposes, including confirming the work of employees, confirming pensions, leave and health benefits and confirming or reviewing

policies and procedures, proving citizens' rights, such as land ownership and providing information about past actions or decisions, and enhancing transparency and accountability (Millar 1997:11; Griffin and Roper 1999:8; Mnjama 2004:1). The present study investigated recordkeeping practices in government ministries' headquarters and established how current recordkeeping practices impacted on public service delivery.

1.1 Discussion of Key Terms and Concepts

This section provides a discussion of key terms and concepts used in the current study and their application in society. The terms and concepts defined include record, records management, recordkeeping and archives. A discussion of the concept of "public service delivery" is provided in Chapter Two, Section 2.2. The definition and discussion of the terms defined took into account the debates and divergent views of recordkeeping scholars and practitioners, consultants, national archival institutions and professional records and archives management institutions and associations.

1.1.1 Record

The term "record" is defined in various ways and the definitions take into account the value for which a record was created, while others considered the medium in which records were created, for example paper or electronic medium (Walne 1988; Penn, Pennix and Coulson 1994; Yusof and Chell 1998; Roper and Millar 1999; International Records Management Trust 1999a; Freeman and Reilly 2000; Shepherd and Yeo 2003; ICA 1997, 2005).

There is no universally accepted definition of the term record and the varied definitions of the term record have led to confusion, which affected the formulation of theory to underpin the discipline that is archives management (Yusof and Chell 1998). These two authors argued that the definition of the term records evolved from an archives perspective, through a management perspective, to an information technology perspective and these changes led to changes in the status of records. Consequently, any new definition of the term record needed to take into account the component parts of the record: the information, the medium and the function.

A record is recorded information, regardless of form or medium created, received and maintained by an agency, institution, organization or individual, in pursuance of its legal obligations or in the transaction of business (Walne 1988:128). The definition is encompassing, as it takes into account records created in both paper and electronic formats, and represents the ICA perspective on what constitutes a record. The ICA (1997:7) defined a record as recorded information produced or received in the initiation, conduct or completion of an institutional or individual activity and that comprises content, context and structure sufficient to produce evidence of the activity, regardless of form or medium. The definition is more comprehensive than the ICA definition of a record, reflected by Walne (1988). The current definition took into account the record format, the role a record plays in providing evidence of activities and its key attributes, namely content, context and structure. The definition was influenced by the increasing use of computers to generate *electronic records*. It thus catered for records in both paper and electronic formats.

Records are documents, regardless of form or medium created, received, maintained and used by an organisation or an individual in pursuance of legal obligations or in the transaction of business, of which they themselves formed a part or provided evidence (Roper and Millar 1999:10). The definition largely borrowed from the ICA definition of records, as given by Walne (1988) and the ICA (1997). Roper and Millar's (1999) definition of a record took into account the various record storage media, as noted by Mays (1996:8), namely paper, computers, microforms, visual (magnetic tapes) and audio.

The International Records Management Trust (1999a) defined a record as a document, regardless of form or medium created, received, maintained and used by an organization (public or private), or an individual, in pursuance of legal obligations or in the transaction of business, of which it forms a part or provides evidence. The definition is all-inclusive as it catered for records in all formats, and emphasized the key role of records in providing evidence of

transactions. The definition is similar to that of Roper and Millar (1999) and the ICA definition of a record, as noted by Walne (1988) and the ICA (1997). This is hardly surprising, given that the ICA is the professional body that promotes and influences the development of the records and archives profession worldwide.

A record is any evidence of activity. The essential characteristic of a record is the evidence it provided for some specific activity (Shepherd and Yeo 2003:2). As evidence of an activity, a record needs to have the following characteristics: content (fact about the activity), context (information about the circumstances in which it was created and used) and structure (relationships between their constituent parts). Shepherd and Yeo's (2003) definition of a record emphasized the evidential nature of records and this needs to be reflected in the characteristics of a record.

The ICA (2005b) noted that to support business functions, a record needs to possess certain characteristics, namely authenticity, reliability, integrity and usability. It pointed out that records would be classified according to two criteria, namely function (for example, case files, subject files and personnel files, website documents) and form and format (for example, word processed documents, databases, hypertext documents, images, spreadsheets, emails, voice mails and video).

The National Archives and Records Administration of the United States of America (2004) defined a record as information regardless of physical form or characteristics, made or received by an agency in connection with the transaction of public business and preserved by the agency or legitimate successor as evidence of the organisation or other activities or because of the information value. The definition mirrored the ICA (1997) definition of records.

1.1.1.1 Uses of Records

Records are created in an organization to support and manage work, to record why, when, where, in what capacity and by whom what actions were

carried out (Ketelaar 1999). Cox and Wallace (2002:2, 3, 10) stressed that various case studies presented in a volume they co-edited, entitled Archives and the Public Good: Accountability and Records in Modern Society, demonstrated that accountability could be served or undermined by recordkeeping practices in many contexts. The fourteen contributions in the volume revolved around four closely related themes tying the importance of records for accountability in society, namely explanation (making lay people understand what records mean), secrecy, memory and trust.

Records are created, preserved and used by people in a given culture and provide reliable and authentic evidence of a process and their purpose was to ensure accountability (Harris 2001a). Chinyemba and Ngulube (2005) pointed out that a record constituted one of the key resources of an organization that needed to be managed like the other corporate resources such as finance and human resources. The uses of records include verification of facts, compilation of reports and studies, research, policy formulation and planning and implementation, handling of legal claims, project planning and evaluation, administration and protection of national interests (Mazikana 1990:13). Roper and Millar (1999:94) noted that records were required for the following purposes: developing and implementing policy, planning and making decisions, keeping track of actions, achieving consistency in decision-making, providing effective service to citizens and achieving greater efficiency and productivity. Other purposes include meeting legal and regulatory requirements, protecting the interests of the organization, reducing risks involved and documenting the organization's achievements.

Corporate information and records would be used for sustainable development, corporate accountability and corporate social responsibility through sustainable verifiable sustainability reporting (Chachage, Ngulube and Stilwell 2005). Ngulube and Tafor (2006:57) pointed out that public records and archives contain information which is the cornerstone of holding government accountable and fostering good governance.

The use of documentary evidence was evident during the sittings of a Commission of Inquiry into one of Kenya's greatest financial scandals, "the Goldenberg Affair". According to Ouko and Ameyo (2003:260, the government convened a commission of inquiry to unearth the scandal, the Judicial Commission of Inquiry into the Goldenberg Affair. According to Kikechi and Kihuria (2005: 32), a forensic accountant, Melville Smith, produced documents to back his claim that over Kshs. 50 billion was either siphoned out of the country or paid to individuals through cheque kiting, and the country lost Kshs. 13.5 billion through export compensation and another Kshs. 5.7 billion from the consolidated fund.

The extermination of Jews by the Hitler regime during the Third Reich was perhaps the worst case of human genocide in the twentieth century. Documentary evidence was crucial in convicting one of the Nazi icons of the regime, David Eichmann (Cesarani 2004:1, 230-232,252). Records can be used as instruments of repression and abuse of power (McKemmish 2005: 15). Ketelaar (2005: 285-291) observed that records would act as tools of repression, liberation, capturing people, controlling memories and violation of human rights: the right to life, liberty, security of persons and property, freedom from slavery, torture or cruelty, inhuman or degrading treatment or punishment and freedom from any kind of discrimination.

Destruction of records to hide crucial evidence relating the actions of individuals in society has been recorded. Guttenplan (2001:4-5,7) pointed out that in the closing days of the Second World War, the Nazi's raced to eliminate the evidence of what they had done. The Nazi camps at Belzec, Sobibor and Treblinka were reduced to rubble, documents were burned and the prisoners who disposed of the corpses, tended the crematoria and emptied the gas chambers were executed.

In Kenya, Mugo and Munene (2003:1) pointed out that that thousands of documents which adversely mentioned former President Moi, for social, political, or financial reasons, were ordered to be destroyed by James

Kanyotu, the man who served as Moi's Intelligence Chief for 13 years, in a letter dated 22 February 1990. The documents could have covered the former president's activities during one of the most sensitive periods in Kenya's history, which included the Mwakenya trials in the mid-1980s and the beginning of the Goldenberg Scandal, which was uncovered in 1991.

The destruction of records in Kenya was described by Kantai (2003:26), who opined that, at the end of colonial rule, a massive effort was launched by the colonial administration to wipe out evidence of widespread human rights abuses during the Mau-Mau emergency. In the period prior to the 27 December 2002 general election, given that changes were due in Kenya, there were persistent rumours of documents being burnt and shredded in government offices. Records were crucial tools in demonstrating accountability (Akotia 2005:4). The ICA (2004) observed that records provide evidence of human activities and transactions, underlie the rights of individuals and states and are fundamental to democracy and good governance. For example, Adami (2003:9) stated that records at the International Criminal Tribunal for Rwanda (ICTR) were assisting genocide victims to obtain justice and to aid the reconciliation process within Rwanda.

Records and archives are a form of 'social glue', which holds together, sustains, and sometimes unravels organizations, governments, communities, individuals and societies, as noted by Wallace (2004:1-5). 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, while in Czechoslovakia, Poland, Germany and Romania, debates were raging over whether access to Soviet-era records would do more harm than good in coming to terms with the past.

Documentary evidence was used to indict public officials accused of corruption related charges, as witnessed in South Africa recently. Sole (2005a:2) stressed that documentary evidence was crucial in indicting businessman Schabir Shaik of corruption-related charges and of having had a corrupt relationship with the then Deputy President of South Africa, Jacob Zuma. Sole (2005b:3-9) observed that, although Judge Hillary Squires found a corrupt relationship between businessman Schabir Shaik and Zuma, among the obstacles to Zuma's prosecution was the problem of going through the mass of documents submitted as evidence against him.

Records have been useful in highlighting human rights abuses by despotic regimes, for example in Iraq. According to Montgomery (2001:69-70), an enormous cache of secret police records, seized by Kurdish rebels during a rebellion, revealed several human rights abuses perpetrated by the Iraqi police against the Kurds, during an uprising by the Kurds in the late 1980s, known as the 'Anfal' genocide. Montgomery (2001) emphasised that the records had great international significance, as they comprised the evidentiary centrepiece of a broad-based international campaign by human rights groups and the United States Government to indict, and bring to justice, Saddam Hussein and his top leadership before an international tribunal.

The death of the late Palestinian leader Yassir Arafat has been a subject of discussion in political and medical circles since his death in 2004. A report from Jerusalem (2005), published in the Daily Nation Newspaper, revealed that French medical records obtained by The Associated Press shed some light on the possible causes of Arafat's death. The records, from the Percy Military Hospital in Paris, where Arafat died in November 2004, offered the first independent glimpse at the Palestinian leader's final days. Arafat's wife, Suha, and Palestinian officials, did not give a definite cause of death and kept Arafat's medical records a closely guarded secret. The records indicated that a "massive brain haemorrhage" was responsible for the death of Yassir Arafat, though it remains unclear what led to the rapid deterioration in his health. According to the French doctors, Arafat suffered a digestive ailment

about 30 days prior to his death. He also suffered an "acute" case of blood disorder called disseminated intravascular coagulation (D.I.C.) and Arafat's stroke was caused by D.I.C. that stemmed from an unidentified infection, though it dispelled two widespread rumoured cause of death: HIV/AIDS or poisoning.

1.1.2 Records Management

There is no universally accepted definition of the term "records management". This is an indication that the discipline of records management was dynamic (Yusof and Chell 1999:9). A review of literature indicated that scholars defined records management from various perspectives, for example as a subdivision of information management (Makhura and Du Toit 2005:215) and as a managerial activity within the context of records life-cycle theory (Johnson and Kallaus 1987; Penn, Pennix and Coulson 1994; IRMT 1999b; NARA 2004), Archives Ireland 2005).

Records management is also defined from the perspective of meeting business, transparency and accountability needs (Taylor 1996; National Archives and Records Service of South Africa 2005), or from the managerial and policy perspective (Wamukoya 1996), or from the perspective of managing records during their entire life-cycle, to preserve evidence of transactions (Wikipedia 2006).

Records management may be viewed as a subdivision of information management and information management entails the management of all the information in an enterprise, as well as the management of the people, hardware, software and systems that provide the information (Makhura and Du Toit 2005:215). The definition emphasizes records management as being a component of information management and stresses the link between records management and information management. The definition considers the various environments in which records would be created and managed, for example in paper and electronic environments.

Records management is the process of planning, organizing, staffing, directing and controlling all the steps involved in the life of a record, from creation until final disposal (Johnson and Kallaus 1987:4; The National Archives and Records Administration (NARA) 2004; Archives Ireland 2005). The definition perceived records management as a managerial function, within the context of the records life-cycle theory. This is hardly surprising, given that modern records management and the records life-cycle theory originated from the United States of America, as was pointed out by Yusof and Chell (2000:135). Defining records management from the perspective of the records life-cycle theory, Penn, Pennix and Coulson (1994:5) felt that records management was a logical and practical approach to the creation, maintenance, use and disposition of records and, therefore, of the information that those records contained. They observed that a complete records management programme encompassed a multitude of disciplines, including forms, reports, correspondence, directives, mail, files and copying, retention scheduling, vital records protection, archival preservation and ultimate disposal.

The IRMT (1999b) stated that records management was that area of general administrative management concerned with achieving economy and efficiency in the creation, maintenance, use and disposal of the records of an organisation throughout their entire life-cycle and in making the information they contain available in support of the business of that organisation. The IRMT (1999b) definition emphasized the need for efficiency and economy in recordkeeping and records management activities took place within the records life-cycle context. The definition emphasised the evidential nature of records, as described by Shepherd and Yeo (2003) and ICA (2005).

Records management is the discipline and organisation function of managing records to meet operational business needs, accountability requirements and community expectations (Taylor 1996:11). The definition placed emphasis on records management in meeting transparency and accountability in society. The definition reflected the growing perception among recordkeeping scholars

and practitioners in Africa that the records and archives management profession in Australia had broken new ground by linking records management with transparency, accountability and a good governance agenda. With the end of the Cold War, issues of democratization, transparency, accountability and good governance took centre-stage in Africa. The National Archives and Records Service of South Africa (2005) defined records management as the process of ensuring the proper creation, maintenance, use and disposal of records to achieve efficient, transparent and accountable governance. The definition emphasizes the role of records management in meeting transparency and accountability needs, within the context of the records life-cycle theory. The definition is similar to Taylor's (1996) definition of records management.

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 (Wamukoya 1996:7). The definition emphasizes aspects relating to records policies, systems, professional and managerial roles that captured information to enhance organizational efficiency. Wikipedia (2006), quoting ISO 15489 Standard on Records Management 2001, defines records management as the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including the processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records. The definition contextualises records management within the records life-cycle concept and emphasizes the evidential nature of records.

The working definition of records management adopted in this study is that by Wamukoya (1996), Roper and Millar (1999), IRMT (1999b), NARA (2004) and the National Archives and Records Service of South Africa (2005). The definitions capture the records management issues that this study investigated and which were of a managerial, policy and practice nature. For

example, the thesis investigated the procedures and systems used for managing records throughout their continuum. The managerial and policy issues that affect recordkeeping practices in government ministries surveyed included the presence of registry mission statements, records management policies and manuals, registry funding and registry staff training. Other issues investigated included how current recordkeeping practices impacted on public service delivery.

1.1.2.1 Aims and Benefits of Records Management

Records management has various aims and objectives (Griffin and Roper 1999; IRMT 2002; Blake 2005; Cook 2006). According to Griffin and Roper (1999:8), the aims of records management include:

- Managing records during their life cycle;
- Providing services to meet the needs and protect the interests of the organization, staff and clients;
- Capturing complete, accurate, reliable and usable documentation of an organization's activities, to meet legal, regulatory, evidential and accountability needs;
- Managing records as a resource; and
- Promoting efficiency and economy through sound recordkeeping practices.

Other aims of records management not stated by Griffin and Roper (1999) include ensuring that records are protected from deterioration and integrating records management into the total organizational structure and operations.

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

government by making reliable information available for sharing, extraction and summarisation and supporting various specific legislation and regulations which require a need to demonstrate the authenticity of records for legal admissibility purposes.

x Records management aims to achieve an accurate and complete documentation of the policies and transactions of an organization, controlling, refining and simplifying records and records systems and the judicious preservation and disposal of records (Cook 2006).

1.1.3 Recordkeeping

According to Pederson (2005:51), recordkeeping provided the intellectual infrastructure that underpins all human endeavours and effective recordkeeping was essential if organizations had to maximise the use of records in meeting organizational objectives. Recordkeeping is the process of creating and maintaining complete and accurate records of organisational business activities. The aim of recordkeeping is to control the processes of creating, identifying, organising, accessing, using, maintaining, storing and disposing of records (Roper and Millar 1999:19-20). The ICA (2005c) stated that recordkeeping systems guaranteed the maintenance and preservation of authentic, reliable and accessible records over time. If systems were to fulfil these requirements, then appropriate recordkeeping functions need to be implemented throughout the life-cycle of the records continuum.

Discussing the need for adhering to standards in recordkeeping, Palmer (2000:68-69) said that documentary evidence, like verbal testimony in court, was only useful if it could be guaranteed as credible, authentic and complete. The qualities of good recordkeeping included records being compliant, reliable, systematic, complete, comprehensive, adequate, accurate, authentic and usable.

A recordkeeping system needed to have the following components (Flynn 2001:79):

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A recordkeeping system needed to have the following components (Flynn 2001:79):

- Records practitioners;
- Records users;
- Authorized policies, procedures and practices;
- Assigned responsibilities;
- Policy statements, procedure manuals and user guides;
- Records themselves;
- Specialized information and systems used to control records; and
- Software, hardware and other equipment.

A good recordkeeping system needs to have certain characteristics, as described by Lipchak (2002:3), and these include determining information needs, creating and acquiring information, distributing and sharing records and information, evaluating and using information to solve problems and documenting activities and actions. Other characteristics include determining responsibility for managing and protecting records, identifying, organizing, storing and disposing records, providing sufficient staff, training and other resources and evaluating the performance of the records system.

The National Archives of Australia (2004) stated that good recordkeeping was essential to the core business of government agencies, promoted accountability and enhanced the public's understanding of the role of government and its relationship with the people. Harris (1997) linked recordkeeping with the concept of globalization by pointing out that the recordkeeping paradigm could be typified as a phenomenon of globalization and that, in recordkeeping, there were traces of those familiar dynamics, the push for standardization, the sanctification of "business" and "management" and the commoditization of knowledge.

In view of the debates surrounding the use of the concepts "records management" and "recordkeeping", it is essential to provide some clarification regarding their usage. The terms "records management" and "recordkeeping" refer to a discipline, profession as well as practice with a body of theoretical and knowledge base that entails how records are managed during their

continuum. Scholars such as Pederson (2005:51) refer to recordkeeping as an activity and practice of creating and maintaining complete and accurate records of organisational business activities. The aim of recordkeeping is to control the processes of creating, identifying, organising, accessing, using, maintaining, storing and disposing of records (Roper and Millar 1999:19-20). Records management aims to achieve an accurate and complete documentation of the policies and transactions of an organization, controlling, refining and simplifying records and records systems and the judicious preservation and disposal of records (Cook 2006).

The aims of records management as expressed by Cook (2006) are similar to those of recordkeeping as expressed by Pederson (2005) and Roper and Millar (1999). It can therefore be inferred that the terms "records management" and "recordkeeping" mean the same thing. What creates the difference is their application and usage in the global records and archives management environment. In Africa, Europe and North America, the term "records management" is commonly used rather than "recordkeeping". In line with the records life-cycle theory, "records management" denotes the measures taken to ensure the efficient and effective management of records during their current, semi-current and non-current phases. This is distinct from the archives administration phase. Although the records life-cycle theory creates demarcation between records management and archives management activities as noted by Atherton (1985:44), archivists in Africa, Europe and North America provide records management advice to public record creating agencies.

In Australia, the term "recordkeeping" is commonly used rather than "records management" to denote the unification of records management and archives management activities into one activity, referred to as "recordkeeping". This is in conformity with the philosophy of the records continuum model, whose origins is traced to Australia. The records continuum model advocates that managing records is a continuous process in which one element of the continuum passes seamlessly into another (Shepherd and Yeo 2003:9). In a

continuum, there are no separate steps. Thus, there is no distinction between the roles and responsibilities of records managers and archivists.

1.1.4 Archives: Definition and Uses

The ICA Dictionary of Archival Terminology (Walne 1988:22) defined the term 'archives' from three perspectives. First, archives refer to non-current records preserved, with or without selection, by those responsible for their creation, or by their successors, for their own use or by an appropriate archive. Second, it refers to an institution responsible for the acquisition, preservation and communication of archives and, finally, archives refer to a building or part of a building in which archives are preserved and made available for consultation. This building is also called an archival repository.

The ICA definition of archives, as given by Walne (1988), did not take into account the question of selection, which was vital to determining if non-current records are selected as archives due to their evidential value. The definition assumed that records become archives when they attain non-current status, contrary to the practice whereby records can be appraised, even at the creation stage, and be declared archives if they possessed some value. Millar, Roper and Stewart (1999:4) defined archives as records usually, but not necessarily, non-current records of enduring value, selected for permanent preservation, which would normally be preserved in an archival repository. The definition takes into account the fact that records became archives if found to have some value, at any stage of the records' life-cycle. This is contrary to Walne's (1988) definition of a record.

The word "archives" was popularly used to refer to older papers or computer files that had been consigned to secondary storage and, sometimes, the terms archives and records had been used as synonyms (Shepherd and Yeo 2003:5). The authors pointed that archives are also perceived as records kept for research purposes. However, in records management terms, archives may be defined as any records that are recognized as having long-term value. The word archive is also used to mean an institution or business unit responsible

for managing records of long-term value.

Archives have various uses in society. McKemmish (1997:8) posited that some records of activity were preserved as instruments of power, legitimacy and accountability, facilitating social interaction and cohesion; as a source of our understanding and identification of us, an organization or our society, and as vehicles for communicating political, social and cultural values. The ICA (2005b) stated that archives constituted the memory of nations and societies, they shape their identity and were the cornerstone of the information society. It pointed out that, by providing evidence of human actions and transactions, archives supported administration and underlined the rights of individuals, organizations and states. By guaranteeing citizen' rights of access to official information and to knowledge of their history, archives were fundamental to democracy, accountability and good governance.

The role of archives in the protection of human rights is emphasised by the ICA. The International Conference of the Round Table on Archives (CITRA) Conference (2003), held in Cape Town, South Africa, had the theme "Archives and Human Rights". The conference accepted that, in the modern age, archives and records services had become a requirement for the effective exercise of the individual and collective rights of citizens, as they kept the records on which these rights were based and which permitted them to exercise their right to information and to know their history.

Discussing archives within the context of his experiences, both as a South African and practising archivist, and the drama of South Africa's journey from apartheid to democracy, Harris (2001b) linked archives with the notion of justice and observed that under apartheid the terrain of social memory, as with all social space, was a site of struggle. Harris called for "deconstruction" and "refiguring" of archives, that is, inspiring a radically activist practice of archives, in which archives served as instruments of justice.

The role of archives as a tool to aid democracy in South Africa was recently underscored by the South African Deputy Arts and Culture Minister, Ntombazana Botha, and South Africa's National Archivist, Graham Dominy who, speaking in Pretoria during the launch of the First National Archives Week, stated that the lessons learned from the past through the use of archives would help in the development of the new democratic society "envisioned" in the Constitution (Helfrich 2006:8). The Deputy Minister urged students to visit the archives and see for themselves "untruths and inconsistencies" in the records of the prior government, as well as the proceedings of the Truth and Reconciliation Commission that, "to a certain extent", addressed the distortions.

Various examples can be used to highlight the uses of archives in society, as presented in the following discussion. The Director, Kenya National Archives and Documentation Service (KNADS) (2000), recognised that public records and public archives of the Republic of Kenya were a most vital resource, provided an irreplaceable administrative tool and constituted the most important component of the "Memory of the Nation". Kemoni, Wamukoya and Kiplang'at (2003:38) pointed out that archival information had been utilized to shed light on legal issues such as the evolution of the constitution in Kenya while reviewing its constitution before the 2002 general elections (efforts to review the constitution are on-going, even after the 2002 general elections).

Archives were used to provide an indication of the private life of Albert Einstein, the German-born scientist and outstanding genius of the 20th Century, who gave the world the famous equation $E=MC^2$. According to an undated report from City of London (2005) by a Standard Newspaper reporter, documents exhibited to mark Einstein year at the Jewish Museum in London's Camden Town, showed that he had many extra-marital affairs during his two marriages and did not contact his family when he fled Europe for the United States of America. Records at the exhibition showed that during his years at Princeton University, U.S.A; where he fled in 1933, aged 54, he had little contact with his own three children by his first wife, Mileva Maric, and before

his marriage with Maric ended, Einstein had several affairs and had begun a relationship with his cousin, Elsa, whom he married after divorcing Maric in 1919, the year his theory of relativity was proved and he became famous.

A report from Washington (2005), published in the Daily Nation newspaper (2005:13), indicated that papers declassified by the National Security Agency pointed to a series of bungled intelligence findings on the purported clash in the Gulf of Tonkin, that led Congress to endorse President Lyndon Johnson's escalation of the Vietnam conflict in August 1964. Among the documents released was an article written by National Security Agency historian Robert Hanyok, for the agency's classified publication, Cryptologic Quarterly, and in it he declared that the review of complete intelligence shows beyond doubt that no attack happened that night. The report quoted John Prados, specialist on the Gulf of Tonkin at George Washington University's University National Security Archive, which is not affiliated to the National Security Agency, as saying that the parallels between the faulty intelligence on the Gulf of Tonkin and the manipulated intelligence used to justify the Iraq War made it all the more worthwhile to re-examine the events of August 1964, in light of new evidence.

According to a Reuters (2004:11) report, published in The Witness, one of the greatest mysteries in medical circles over the last 80 years has been what caused the death of the great Russian revolutionary and Soviet Union icon, Vladimir Lenin. The Reuters report, citing an article published in the European Journal of Neurology, pointed out that a posthumous diagnosis by three Israeli doctors, two psychiatrists and a neuro-surgeon confirmed that Lenin died an agonising death from neuro-syphilis and not cerebral-arteriosclerosis, which was given as the official cause of his death. The doctors based their findings on a retrogressive diagnosis, using records released after the 1991 fall of the Soviet Union, which included Lenin's medical chart, autopsy results and memoirs by the physicians who treated him and were sworn to silence after his death in 1924. The Witness (2004) pointed out that, although the results of Lenin's blood tests were not part of the records that were released and

analysed by the doctors, the records reviewed affirmed that the symptoms exhibited by Lenin during the last two years of his life, such as mental changes, dementia and irritation, were compatible with those caused by the disease (neuro-syphilis) during its advanced stages. The report concluded that the disease and a decades-old cover-up by the Soviet authorities, who turned Lenin into a deity, highlighted the dangers of hiding the mental health of leaders who held the fate of millions in their hands.

1.1.5 Introducing the Concept of "Public Service Delivery"

The concept of public service delivery is associated with the discipline of political science and, more specifically, with the public administration component and the New Public Management (NPM) paradigm. The term NPM appeared in the early 1990s and designated the ongoing public sector reforms in Anglo-Saxon countries (Lane 2005:5). The language of NPM was different from that of traditional public administration, as well as that of public policy. The key words listed under NPM included service to customers, leadership or entrepreneurship, contracting, governance and re-engineering government. A more detailed discussion of the concept of public service delivery, including its evolution, relationship with recordkeeping and the attainment of the United Nations Millennium Development goals in Kenya is provided in Chapter Two, Sections 2.2, 2.2.1 and 2.3.

1.2 Records Management and Public Service Delivery

A properly functioning public service is necessary for the economic and social well-being of any nation. This status can only be met if there is integrity and accountability in the public service (Muthaura 2003:27). Integrity and accountability refer to the removal of negative traits, within the public service, which may hinder provision of efficient and effective services. These include breakdown of discipline, ineffective supervision, weak management structures, corruption and non-delivery of services.

The public service exists for the following reasons: to render service to the country's citizens, to provide social services and infrastructure, to translate

government policies and programmes into activities to achieve development goals and to create an enabling environment conducive to individual and private sector initiatives (Murungaru (2003:27). Records management is key to public sector management (Schellenberg 1956; Thurston and Cain 1996a; Wamukoya 1996; Maranga 1999; Lipchak 2002; Ngulube 2003; Akotia 2003; Akotia 2005).

According to Schellenberg (1956: 38), a renowned American archival theorist, scholar and practitioner, the most important aspect of records management is the use of records for the conduct of government operations. Records constitute the basic administrative tools by means of which the work of a government is accomplished. The efficient management of public records is key to government and government efficiency would often be measured by the efficiency with which its records are managed. Although Schellenberg's view was expressed 50 years ago, recordkeeping scholars, practitioners and consultants, globally, have vindicated his thesis regarding the link between records management and public service delivery.

Poor records management undermines civil service reform programmes, since the ability to retrieve information about government services was a major criterion to successful public sector management (Maranga 1999:13). Ngulube (2003: 136) stressed 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. In Ghana, Akotia (2003:108; 2005:5) argued that the provision for records management improvement marked a shift in the development management strategies of Ghana. Effective management of public sector financial information was a crucial factor in providing capacity for public sector efficiency and governance.

Many countries in Africa, including Kenya, were 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: 93) 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.

To ensure compliance with its conditionality, the IMF conducted surveillance by monitoring economic and financial developments and consulting with the authorities of member countries (IMF 2005:3). Structural adjustment programmes are unpopular in many countries (including Kenya), because of their negative effects such as loss of jobs, flooding of imports and the donor dependency syndrome. Nwokediuko (2003:5) observed that the contribution of SAPs to the economic development of African countries has been and continues to be a subject of debate. Despite donor support, Africa starts the 21-century as the poorest, most technologically backward, most debt stressed and most marginalized continent in the world. Although Africa accounts for 12.5 percent of the world population, it produces only 3.7 percent of global GDP. Stone (2004:577) noted that analysis of monthly data on 53 African countries from 1990 to 2000 shows that IMF loans-for-reform contract lacked credibility because donor countries intervened to present rigorous enforcement.

Efficient records management is key to the implementation of structural adjustment programmes (Mazikana 1996:9). Mazikana (1996:6) pointed out that the implementation of donor conditionalities in Africa had been unsuccessful because of the poor state of information and records management infrastructure. Poor records management hindered the implementation of public sector reforms in Africa (Thurston and Cain 1996a:11-12). In developing countries, poor records management also hampered the government's ability to manage resources and effectively comply with international agreements and donor conditions and fulfil its responsibilities.

Studies dealing with recordkeeping and good governance in sub-Saharan Africa concluded that governments were unable to implement effective public sector reforms (Lipchack 2002:5), in part because of the following:

- Not having information to develop and support reform policies and processes;
- Not knowing what information was needed to undertake various government functions;
- Not being able to rely on available information; and
- Not using available information in decision-making or analysis.

In view of the demonstrated link between records management and public sector management, the present study examined recordkeeping practices in 18 out of 24 ministries and how existing recordkeeping practices impacted on public service delivery. A list of the surveyed ministries is given in Appendix 10.

1.3 Current State of Recordkeeping in the Kenyan Public Sector

In many countries, including Kenya, archival institutions are mandated by existing records and archives legislation to advise on the proper management of records in the public sector. Thurston (1996b:187) underscored this aspect by observing that national archival institutions in Africa had statutory responsibility for records management in the public sector and, thus, any attempt to understand the development of records management in the public sector in Africa needed to focus on the national archives. A literature search indicated that archival institutions worldwide were involved in the management of public sector records.

The National Archives (2004) in the United Kingdom advised government departments and the wider public sector on best practice in records management. In Australia, the National Archives (2004) provided advice to government agencies by developing policies, standards, guidelines and by providing training and advice about modern recordkeeping. In the USA, the

National Archives and Records Administration (2004) helped preserve the nation's history by overseeing the management of all federal records.

The key mission of the National Archives and Records Service of South Africa (2004) is to foster national identity and protect rights by promoting efficient, accountable and transparent government, through the proper management and care of government records. The National Archives of India (2005) engaged in devising a suitable mechanism to streamline the management of public records. In Brazil, Oliveira (2002) observed that, since the enactment of Law 8.159 of 8 January 1991, the functions of the National Archives of Brazil had expanded its mission in the management and transfer of records created by federal public agencies and their preservation.

In Kenya, the KNADS (2000) pointed out that the institution continued to, among other functions, advise public offices on proper records management, in line with its mission. The records management responsibilities of the KNADS were further spelt out in the existing archival legislation. 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 officers under him/her, has the mandate to examine public records and advise on their care, preservation and custody. Despite the efforts made by the KNADS to improve recordkeeping in government ministries, the state of recordkeeping in many ministries was far from satisfactory (Obudho 1999; Office of the President and Directorate of Personnel Management 1999; Terer 2000; Eastern and Southern Africa Regional Branch of the International Council on Archives (ESARBICA) Executive Board 2003).

Many public offices in Kenya once experienced records management problems, for example reports of lost, missing and misfiling of records are a common feature in many ministries and departments (Obudho 1999:2). The poor state of recordkeeping in Kenyan public offices and its impact on public service delivery has been a matter of concern to the government, as evidenced through distribution of records management circulars to permanent

secretaries' and other accounting officers. For example, the Permanent Secretary, Secretary to the Cabinet and Head of Public Service, Office of the President, issued a circular Ref. No. OP. 39/2A, dated 14 April 1999, entitled "cases of missing and lost files and documents in the public service", which was addressed to, among other public officers, all permanent secretaries in the public service.

The circular noted that cases of missing and lost records were a common experience in public offices and this had been caused by poor records management practices in government ministries, departments and parastatals. This had had adverse effects on the efficiency and effectiveness of the public service and had undermined the integrity of public servants. The circular directed permanent secretaries to ensure that public records were properly managed and directed them to seek professional advice from the Director of KNADS, in accordance with Section 4 (1) a of the Public Archives and Documentation Service Act Cap 19.

A further circular, dealing with the same subject, was issued by the same office, ref. no OP.39/2A, dated 14 November 1999, and was also addressed to all permanent secretaries. It encouraged the public, including civil servants, to submit formal complaints, in writing, to the Director of KNADS whenever the service they required was unduly delayed, on grounds that files or documents were "missing". It required officers in government to place greater emphasis on good recordkeeping. To emphasise the importance of these circulars, a press release on the same subject was issued by Terer (2000:1), then Permanent Secretary, Office of the Vice-President and Ministry of Home Affairs. It pointed out that missing and lost files and documents resulted in delayed service to citizens and in a poor image of the public service. The press release invited members of the public, including public servants, to make formal complaints in writing to the Director, KNADS, whenever services they required were unduly delayed as a result of missing or lost files and documents. Furthermore, the Director of KNADS was required to submit quarterly reports of such cases for further action.

The poor state of recordkeeping in Kenyan public offices was highlighted in the country reports, recorded in the minutes of the ESARBICA Executive Board Meeting (2003:8). According to a presentation by the then Director, Kenya National Archives and Documentation Service, during the ESARBICA Executive Board Meeting, held in Maputo in 2003, the size of the staff complement was affecting the capacity to deliver services such as records surveys and appraisal. The Government of Kenya had appointed a task force to investigate the causes of poor records and information management in the public sector. The study examined current recordkeeping practices in government ministries' headquarters and established how the practices impacted on public service delivery.

1.4 Background to the Statement of the Problem

As noted in section 1.3, recordkeeping scholars and practitioners, senior government officers and the Office of the President and Directorate of Personnel Management expressed concern regarding the current state of recordkeeping in the Kenyan public sector. In particular, they expressed concern over the inability of registries to manage records and their failure to meet the information requirements of parent ministries, thus affecting public service delivery.

Kenya underwent a political transition in December 2002, when it held general elections, resulting in the loss of power by then ruling party, the Kenya African National Union (KANU), to a combined force of opposition parties, known as the National Rainbow Alliance Coalition (NARC). Inadequate recordkeeping practices were likely to hamper the new NARC administration campaign manifesto pledges, such as economic recovery, restoration of good governance, provision of basic services and ensuring the rule of law (NARC manifesto 2002:vii).

As the new NARC government attempted to eliminate corruption in government, officials were turning to records to extract relevant information.

According to a report by Namunane (2003), which appeared in the Daily Nation newspaper of 30 January 2003, the Ministry of Local Government was in the process of repossessing plots and commercial properties illegally allocated to many influential government individuals and organizations under the KANU regime. These included playing fields, public toilets, health centres and dispensaries, as well as water and sewage works. The then Minister for Local Government, Mr. Karisa Maitha, lamented that property files or deeds at the Land's Office relating to controversial plot allocations were not properly maintained and titles and plot files for council properties were removed from the registry strong room without any records being kept, making it difficult to trace their movement. Government attempts to recover all the property were thus being made even more difficult because proper records were not maintained.

The report stressed that recordkeeping was equally bad in other ministries. In the Ministry of Lands and Settlement, the then Commissioner of Lands, Ms. Judith Mangu, said that the poor state of recordkeeping was responsible for the provision of sub-standard services in the Department. As the government sought to repossess illegally allocated land, there was a need to streamline records management practices.

In the Ministry of Justice and Constitutional Affairs, the state of records management was far from satisfactory (Onyango 2003:12). Cases of missing files in the ministry were prevalent, thus promoting corruption and defeating the cause of justice. A review of the records and archives management scenario in Kenya by Mnjama (2003:91-101) established that recordkeeping in the Kenyan Public Sector was not satisfactory. The study attributed this state of recordkeeping to problems within the public institutions themselves and the failure of the Kenya National Archives and Documentation Service to effectively play its role as the main advisor to the government on the management of public records.

Due to the poor state of recordkeeping in Kenyan public offices, the Government of Kenya appointed a Task Force in the year 2003 to investigate the causes of poor recordkeeping in government ministries. According to a draft Office of the President, Directorate of Personnel Management document (2003:2), the Task Force, which was to report to the Programme Director, Civil Service Reform Secretariat, was formed after the government realized that poor records and information management undermined efficiency and effectiveness in the public service and that records management in the public sector was in a very poor state, from the registries, where current records were found, to the records rooms, where semi-current and non-current records were stored. Some of the Task Force terms of reference included analyzing the records management situation in government ministries and departments, analyzing the role played by registries in the management of records in the public sector, establishing the constraints that affected the performance of registries and preparing an action plan on how to address all the constraints identified, in order to correct this unsatisfactory situation.

The poor state of recordkeeping in the Kenyan public sector was pointed out by Musila Musembi (2004:12), long-serving Director of KNADS, (1984-2005), who lamented that records management in many public service delivery departments and units was appalling, especially for file registries, and the consequences were devastating. For example, delayed and poor service delivery and frustrations on the part of the public created opportunities for corruption.

The present study thus investigated existing recordkeeping practices in government ministries headquarters and established the extent to which they affected public service delivery.

1.5 Aim and Objectives of the Study

1.5.1 Aim of the Study

The aim of the study was to examine records management practices in Kenya in order to establish the extent to which they affected public service delivery in government ministries' headquarters.

1.5.2 Objectives of the Study

The specific objectives of the study were to:

- Determine and evaluate the strategies used for managing records throughout the records continuum;
- Determine the extent to which the Kenya National Archives and Documentation Service assisted registry staff to effectively manage records throughout the records continuum;
- Examine the strengths, weaknesses, opportunities and threats (SWOT analysis) of records and archives legislation in Kenya and the extent to which it facilitated the management of public sector records in Kenya;
- Establish the extent of computer applications in registry management and the resulting challenges;
- Ascertain the professional knowledge and skills of staff responsible for managing records;
- Identify factors which contributed to the current state of recordkeeping in government registries; and
- Propose recommendations to address the problems or challenges identified by the study.

1.6 Research Questions

In order to address the objectives of the study, answers to the following research questions were sought:

- How efficient and effective were the existing strategies for managing records throughout the records continuum?
- What role did the KNADS play in advising registries to manage records?

- What were the strengths, weaknesses, opportunities and threats of the existing records and archives legislation and to what extent did it facilitate the management of public sector records in Kenya?
- What was the extent of computer applications in registry management and what were the resultant challenges?
- What professional knowledge and skills did registry staff responsible for managing records possess?
- What factors contributed to the current state of recordkeeping in government ministries?
- How would the identified problems be addressed?

1.7 Significance of the Study

The study is significant in various ways. Records provide evidence of human activities and transactions, underlie the rights of individuals and states and were fundamental to democracy and good governance (ICA 2004). In view of the role of records management in enhancing democracy and good governance, the study examined recordkeeping practices in government ministries' headquarters and the extent to which they affected public service delivery. The study was the first comprehensive investigation into recordkeeping in Kenya and could thus make some contribution towards improving recordkeeping practices to enhance public service delivery. This is a vital contribution, as recordkeeping underpins all aspects of public administration, is a key factor in the on-going government restructuring efforts, as part of implementing donor conditionalities, the fight against corruption in the public service and is the cornerstone of good governance (Wamukoya 1996:235).

The study supplemented research that had been carried out on the status of records management in Kenya, such as by Mnjama (1994) and Wamukoya (1996). Mnjama (1994) examined records management at the Kenya Railways Corporation and its predecessor organizations, the Kenya and Uganda Railways, the Kenya and Uganda Railways and Harbours, the East African Railways and Harbours Corporation and the East African Railways

Corporation. Wamukoya's study (1996) explored the link between records management and administrative reform programmes in Kenya. The current study investigated new issues such as the link between records management and service delivery, the extent of computer applications in records management and the resultant challenges surrounding the management of electronic records.

The current study was in line with the recommendations made by Tafor (2001:81), who conducted a study to determine the state of recordkeeping within the member states of the East and Southern Africa Regional Branch of the International Council on Archives (ESARBICA) region. As an aspect of further research, the study recommended that researchers should conduct studies to determine the state of recordkeeping within the individual countries of the ESARBICA region. The study was timely and relevant, since Kenya was a member of ESARBICA. It established the current recordkeeping practices in government ministries and how they impacted on public service delivery. Very few studies in records and archives management reported in the literature were based on empirical evidence (Ngulube and Tafor 2006:58). The study findings would be of significance, as they were based on empirical research. The findings would be of use to record and archives management scholars/educators/consultants/researchers and students undertaking studies into records management practices in the public sector within and outside Kenya.

Originality is a key component of higher level research (Birley and Moreland 1998; Wisker 2001; Tinkler and Jackson 2004; Pearce 2005). In conducting research, which leads to the attainment of a higher degree, the research needed to make some contribution to theory and originality, for example research demonstrating methodological advances, in terms of a new methodology *per se* (Birley and Moreland 1998:9). A doctorate is a contribution to research development culture, in a specific area. It is disciplinary or interdisciplinary and tends to be larger, broader and more

original, covering more ground, whether in breadth or depth, and contributing something new, which was well founded and grounded (Wisker 2001:23).

A research project at doctoral level needs to be designed to make an original contribution to knowledge and the questions posed and answered by the knowledge would be 'significant' in moving the discipline forward in terms of knowledge or methodology (Tinkler and Jackson 2004:7-8). Originality was one of the key criteria by which a PhD (across all disciplines) was judged and which was used to distinguish it from other 'lesser' higher degrees such as a Masters and an M.Phil, although some institutions made originality a condition of the latter (Pearce 2005:55).

Issues of originality were catered for in the current study. Although the study built on previous studies on records management in Kenya, it broke new ground by specifically focusing on recordkeeping practices and how they impacted on public service delivery. Although survey methodology was employed in the study and had previously been used by other researchers in Kenya, such as Mnjama (1994) and Wamukoya (1996), observation technique, with the aid of an observation checklist, was used to supplement data gathered from questionnaires and interview schedules. The records continuum model was used as the theoretical foundation of the current study and attempted to indicate its suitability to the current study. A synthesis of literature cited was made, including empirical studies reviewed, and an attempt was made to show their relevance in the current study.

The study tried uncover new evidence on old issues (Pearce 2005), in defining key concepts such as record, records management, archives and public service delivery. It discussed their application in various socio-political and economic contexts, globally. An inter-disciplinary approach to the study was attempted by linking records management issues to the concept of public service, whose theoretical foundation is in the discipline of political science and, more specifically, the domain of public administration. The study was enriched by various concepts and their applications sourced from other

disciplines, for example economics, political science, sociology, history and psychology and medicine. These concepts included public service delivery, modelling and theories.

The study established the factors that contributed to the current state of recordkeeping in government ministries and sensitized government officers to the need to manage records as a public resource, in order to enhance service delivery. The recommendations of the study will be disseminated to various stakeholders such as registry personnel, senior administrators responsible for the management of registries, policy-makers and KNADS archives staff. Dissemination of the research findings was considered absolutely essential in extending the frontiers of knowledge. Research findings also needed to be communicated to those people who contributed information to the study (Steel and Ells 1993:167; Aina 2003:59; Nwakanma 2003:93).

The recommendations of the study, if adopted and implemented, may lead to the *re-engineering of recordkeeping systems in the public service*. Since the ministries under study have decentralized their operations to provincial and district levels, the findings of the study may be of benefit to heads of departments, registry personnel, at provincial and district levels, in terms of sensitising them to the prevailing records management problems, to ways of addressing the records management problems identified and to adopting the new records management systems in their respective ministries.

The study contributed to the development of records management in Kenya by recommending appropriate measures to improve the state of recordkeeping practices in government ministries. It contributed literature to the field of records and archives management and, overall, contributed towards the improvement of records management theory, practice, methodology and policy formulation in Kenya. The study extended the frontiers of knowledge regarding the recordkeeping situation in the Kenyan public sector, by linking recordkeeping with the concept of public service delivery and attainment of the UN Millennium Development Goals.

1.8 Assumptions of the Study

The study was based on the following assumptions:

- Provision of accurate and complete information was key to the performance of public servants;
- Good records management underpinned the provision of efficient and effective public services by public officers; and
- Archival legislation was key to sound records management practices in the public service.

1.9 Methodology

The study utilized the survey research. Survey research provided researchers with a methodology for asking people to tell researchers about themselves, by the use of questionnaires and interview schedules (Cozby 2001:104). Babbie and Mouton (2001:230) thought that survey research was the most frequently used design in the social sciences. The study investigated recordkeeping practices in 18 government ministries and how the practices impacted on service delivery. No sampling of the units of analysis (ministries) was carried out. The study target population consisted of 173 respondents, who were distributed as follows: 157 registry personnel, 10 senior ministerial officers and six archives personnel from Nairobi Records Centre and the KNADS headquarters.

Quantitative and qualitative data collection techniques were adopted in the current study, through use of a triangulation technique. Questionnaires, interviews and observations were employed as the data collection instruments. The triangulation technique was found suitable and appropriate, for example the use of interviews and the observation checklist enabled the researcher to validate data obtained from questionnaires. The advantages of combining qualitative and quantitative techniques in research were given by Odera (2003:131), who pointed out that the method triangulated and complemented the results obtained from each of these approaches and minimized the methodological problems that resulted from the weaknesses inherent in any of the research designs. Qualitative design served to clear ambiguity and verified the results obtained from the dominant quantitative

design.

A discussion of the research methodology employed in the current study is presented in Chapter Four.

1.10 Scope and Delimitations of the Study

All research projects needed to have a starting and end point, which necessarily meant that one set distinct boundaries to orient readers and make the study manageable and a research proposal needed to demonstrate that one had been able to demarcate or delimit the study (Bak 2004: 23).

The study examined the effect of records management on public service delivery. The public service in Kenya was made up of 24 ministries, as constituted by the National Rainbow Coalition Government (NARC) Government in January 2003 (Wachira 2003:1-3. However, in February 2005 the government carried out a reshuffle of ministers, which led to an increase in the number of ministries. Some ministries were split into two, for example the Office of the Vice-President now houses the Immigration Ministry, formerly a department, and consequently the number of ministries went up to 26. The researcher conducted a survey of recordkeeping practices in 18 (see Appendix 10) out of 24 government ministries as constituted before February 2005. Those ministries created after February 2005 were not included in the study.

Although the ministries under study have decentralized their services to the districts and provinces, the current study was only based in Nairobi, the capital city of Kenya, and the headquarters of the ministries surveyed. However, it is expected that the results of the study will positively influence recordkeeping practices in the provinces and districts as well.

Literature from various sources was reviewed, for example from textbooks, professional journals, periodicals, government publications, technical reports and the Internet, and all the sources reviewed were those published in the

English language. The researcher did not consult sources that were presented in languages other than English. This explains why very few sources were cited from Latin America. To capture the recordkeeping situation in the Asian public sector and, in particular, the successes attained and challenges faced in managing public sector records, the researcher wrote letters to the Directors of the National Archives of India, Sri Lanka and Malaysia. Only the Director General of Archives, Government of India (2005), responded, as indicated in Appendix 9. The discussion regarding the recordkeeping situation in the Asian public sector was thus limited to recordkeeping developments in India.

Various players were involved in the management and use of records in government ministries. These included policy-makers (undersecretary and above), action officers (middle level), registry superintendents and registry clerks. For practical reasons, only policy-makers (under-secretary and above), registry superintendents and registry clerks were involved as respondents in the current study. Middle level action officers were therefore not involved in the study. Middle level action officers constitute a segment of key players in the provision of services and implementation of projects and programmes in ministries. They are involved in day-to-day operational and service delivery-related matters. Although middle level action officers were not involved in the present study, the researcher considered archives personnel as being fundamental to monitoring and evaluation of recordkeeping practices in government ministries. Archive personnel were therefore in a position to verify the information that was obtained from registry personnel.

The National Archives had various cadres of professional staff working in the records management and archives administration divisions. Only archives personnel from Nairobi Records Centre and KNADS Headquarters who were directly involved with formulating records management policy or conducting field surveys and appraisal visits to government ministries within Nairobi Province were involved in the study. They were deemed suitable to provide

answers that addressed the study objectives. Archives personnel involved with archives administration activities were not involved in the study.

1.11 Ethical Issues

Ethics is a rational effort to systematize the rules, principles and ideas to which people appeal in justifying actions as right and their moral characters as good (Tong 1997:9). Ethics provides a number of analytical tools and action guides with which to pursue individual and collective goals "rightly", whether these goals were minimalist ones, such as personal survival, or maximalistic ones such as universal love. Ethical issues in research revolve around the researcher's accountability and privacy, anonymity and confidentiality of participants (Grbich 2004:88). One of the key ethical problems that face researchers in institutions of higher learning is that of plagiarism, which is a great scourge. While the potential for plagiarism and other forms of malpractice had always been endemic to academia, the electronic age had given rise to unprecedented levels of abuse (Vadilevu 2004; Loughram 2004; Bolowana 2005; Pearce 2005).

Awareness of ethical issues in research protects the integrity of the researcher and ensures honest research results. Some of the ethical issues related to both the researcher and the research subjects included avoiding plagiarism, mis-using privileges, for example, using collected data to stigmatize or entrap somebody, and maintaining the confidentiality and privacy of the human subjects (Mugenda and Mugenda 1999:190-191). Other ethical issues included ensuring anonymity of respondents, ensuring validity and informed consent of the human subjects, avoiding embarrassing questions that caused psychological harm to respondents and concealing research findings after completion of the research.

Ethical issues were addressed in conducting the study. For example, to avoid plagiarism, all sources used in the study were acknowledged and a general picture of data collected was presented at the analysis stage, to ensure confidentiality and privacy of respondents. No particular set of data was

attributed to any ministry, senior ministerial officer, registry personnel or archives personnel. A research permit was obtained from the Ministry of Education and the researcher obtained research endorsement from accounting officers in the ministries surveyed. Consent was sought from respondents before administering questionnaires on registry personnel and conducting interviews with senior ministerial officers and KNADS archives personnel. The questions posed to respondents sourced data regarding recordkeeping practices in government ministries, and did not embarrass or cause psychological harm to respondents. Further discussion of ethical issues in the thesis is presented in Chapter Four, Section 4.9.

1.12 Outline of the Thesis

The thesis is divided into seven chapters. Chapter One (background to the study) provided an introduction to the study. Definitions of key terms and concepts used in the study were given. Other issues presented in the chapter included records management and public sector delivery, current state of recordkeeping in the Kenyan public sector, statement of the problem, study aim and objectives, research questions, study assumptions and significance. The scope and delimitations of the study, methodology adopted and ethical considerations were also briefly presented. The chapter was vital, as it set the foundation for other chapters, by narrowing down the issues to be investigated.

Chapter Two contextualized the study by providing background information about Kenya, where the current study took place. The issues discussed included an overview of Kenya's history, politics and economy, and unpacked the concept of "public service delivery" and public service delivery and attainment of Millennium Development Goals (MDGs). Other issues discussed included existing records and archives management legislative environment and records management and improvement of the prevailing socio-economic and political environment in Kenya. The chapter made readers appreciate and understand the context within which the current study was based.

Chapter Three presented the theoretical framework of the study and a review of the literature, including a review of empirical studies. The chapter discussed the importance and qualities of a good literature review and how these were catered for in the current study. Existing records management models, including the records continuum model and its relevance to the current study, were described. Other issues discussed in the chapter were an overview of the public sector records management situation, globally, application of IT in records management, and a review of empirical studies. The chapter provided a picture of the records management situation in Kenya. Finally, document management strategies were discussed

Chapter Four presented the study research design. The issues discussed were the use of survey research, the study population and justification, data collection instruments, the validity and reliability of instruments and data collection procedures. Other issues addressed in the chapter were problems encountered during data collection, the processing and analysis of data, ethical considerations and an evaluation of the research methodology.

Chapter Five revealed data findings according to study objectives and provided a summary of data findings, while Chapter Six provided an interpretation of the data. Finally, Chapter Seven provided a summary of the findings of the study, conclusions, recommendations and suggestions for further research. Appendices were placed at the end of the thesis and these included data collection instruments, an introductory letter from the School of Graduate Studies, Moi University, a research authorization letter from the Ministry of Education and a list of surveyed ministries.

1.13 Summary

Chapter One provided the background to the study and introduced the issues that the current study investigated, including the methods of achieving the stated objectives. The issues included the study rationale, definition of key terms and concepts, records management and public service delivery, current state of recordkeeping in Kenyan public sector, statement of the problem, aim

and objectives, research questions and the significance of the study. Other issues included assumptions of the study, methodology, study scope and delimitations, ethical issues and an outline of the thesis.

The key themes which emerged from Chapter One are 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. There was a link between effective recordkeeping practices and implementation of public sector reform programmes, including improving public service delivery. Finally, it emerged that existing policies and practices for managing records in government ministries in Kenya were not effective and affected public service delivery. Chapter One narrowed the research problem and laid the foundation for the contextualization of the study, as discussed in Chapter Two.

CHAPTER TWO: CONTEXT OF THE STUDY

2.0 Introduction

Chapter Two provides an overview of Kenya's history, politics and economy. It introduces the concept of "public service delivery" and attempted to link recordkeeping with public service delivery and attainment of MDGs. The chapter highlights the existing records and archives management legislative environment in Kenya and its effect on recordkeeping and records management and the improvement of Kenya's socio-economic and political environment.

2.1 Overview of Kenya's History, Politics and Economy

Kenya is one of the countries that constitute the East African Community. Its capital city is Nairobi (Robowen 2004). It lies across the equator on the east of the African continent and its neighbouring countries are Ethiopia to the North, Somalia to the East, Tanzania to the South, Uganda to the West and Sudan to the Northwest. In the year 2004, Kenya was in the news when Professor Wangari Maathai was awarded the Nobel Peace Prize (Norwegian Nobel Peace Prize Committee 2005). It was given in recognition of her contribution to sustainable development, democracy and peace through the Green Belt Movement. Professor Maathai became the first African Woman to win the Nobel Peace Prize since it was created in 1901 by Norwegian physicist, Alfred Nobel. The Kenya Demographic and Health Survey (2003:1) noted that Kenya was divided into eight provinces and 72 districts and had diverse physical features such as:

- The Great Rift Valley, which runs from north to south;
- Mount Kenya, the second highest mountain in Africa;
- Lake Victoria, the largest fresh water lake on the continent;
- Lake Magadi, because of its soda ash; and
- A number of rivers, such as the Tana, Athi, Yala, Nzoia and Mara.

The geographical features of Kenya are indicated in the map of Kenya (see Appendix 11 on page 510).

Kenya was a British colony from 1874-1963 and resistance to British rule started when, in a system of racial discrimination, British settlers dispossessed the African population of much of the country's best farmland and denied Africans access to meaningful employment and political representation within the colonial order (Barkan 1994:1-45). The Kikuyu were the first to organize systematic resistance to British rule and ultimately formed the nationalistic movement, the Mau Mau. More than 15 000 British troops were used to suppress the ensuing insurgency, which lasted from 1952 to 1954. The Mau Mau insurgency put Kenya on the road to independence, and Kenyans were allowed to form political parties.

The British reaction to Mau Mau was brutal and the campaign left tens of thousands, perhaps hundreds of thousands, dead (Elkins 2005: ix-xiv). When Kenya attained independence in 1963, Jomo Kenyatta took over the country's leadership (1963-1978). He was followed by Daniel arap Moi (1978-2002) as recorded by Barkan (1994). The governance styles of Kenyatta and Moi polarized Kenyan society and fatally wounded the body politic they were meant to serve in accordance with the oath of office they took to defend the constitution (Barkan 1994:1-45; Ochieng 1996:83-84; Aseka 2004:5). During the last decade, Kenya underwent a series of profound political changes, culminating in multi-party politics, which resulted in a series of political power struggles between different political leaders (Appolos 2001:114-115). During the first multi-party elections in 1992, KANU defeated the opposition parties and was to retain power in the 1997 elections. Opposition parties united under one party, NARC, and easily beat the KANU presidential nominee in the 2002 presidential and parliamentary elections. Mwai Kibaki, NARC's presidential candidate, became the third president of Kenya. The next elections are scheduled for the year 2007.

Regarding Kenya's economy, the Government of Kenya (2004) recognised that agriculture was the mainstay of Kenya's economy, contributing to over one third of the Gross Domestic Product (GDP). The Kenya National Development Plan 2002-2008 (2000:1) observed that the macro-economic

performance of the Kenyan economy since independence can be characterized into four phases, namely a rapid growth phase over 1964-1973, an era of external shocks over 1974-1979, dominated by oil price increases and a coffee boom, a period of stabilization and structural adjustment in the 1980s and an era of liberalization and declining donor inflows from 1990 to date. The overall effect of these changing circumstances has been a declining trend in economic performance.

One of the major challenges facing Kenya in the revival of the economy is the elimination of corruption in the public service, an issue which donors had raised with the government. Transparency International (2005) defined corruption as an abuse of entrusted power for personal gain. Chetwynd, Chetwynd and Spector (2003) pointed out that the effects of corruption included disruption of governance practices, destabilizing governance institutions, reducing the provision of services by government, reducing respect for the rule of law and reducing public trust in government and its institutions.

Kenya is a member of The New Partnership for Africa's Development (NEPAD). NEPAD was spearheaded by Presidents Thabo Mbeki of South Africa, Olusegun Obasanjo of Nigeria and Abdelasiz Bouteflika of Algeria, to combat poverty and social development in Africa (Okumu 2002:227). One of the key aspects of NEPAD was the African peer review mechanism, in which member states evaluated each other on their commitment to promote democracy and human rights. Ilorah (2004:223-224) posited that NEPAD recognized the need to meet the United Nations Millennium Development Goals and targets, adopted by the United Nations in September 2000. These included problems of poverty, illiteracy, gender inequality, infant and child mortality, maternal mortality, poor health services and environmental degradation.

Records management could play a role in addressing the political, economic and social challenges that Kenya is facing, as discussed in Section 2.5. These

challenges include implementing SAPs, reviving the economy, reducing corruption and enhancing transparency and accountability in the public sector. Records management would further facilitate public service delivery, including public sector reform programmes and the attainment of UN Millennium Development Goals, as highlighted in Sections 2.2 and 2.3.

2.2 Public Service Delivery

The role of public service delivery in achieving development goals was highlighted when the Government of Kenya set aside a day to showcase its performance to the public. According to Chesos (2006), the head of the Public Service and Secretary to the Cabinet, Francis Muthaura, directed ministries and their departments to report to Kenyans the progress made in meeting performance targets. This coincided with the United Nations Public Day on 23 June 2006, earmarked by the UN in 2003 for special events to highlight the contributions of the public service to national development.

As earlier indicated in Chapter One, Section 1.1.5, Lane's (2005) thesis on the concept of public service delivery, with regard to its evolution in Kenya, indicates that it is associated with the introduction of structural adjustment programmes in the public sector, at the behest of bilateral and multi-lateral donors, in the early 1990s. The concept is associated with the struggle for multi-party democracy and the clamour for transparency and accountability in the public sector. With the introduction of public sector reform programmes, as required by donors, public sector organizations in Kenya developed strategic plans (2004-2009) in order to meet their mission and vision and improve service delivery in all government ministries.

Public administration is the key to the delivery of public service. Public administrators comprise the bulk of government employment and activity (Peters and Pierre 2003:1-2). These authors pointed out that many public administrators in central governments were responsible for providing services and the principal activity of public administration was implementing laws and influencing policy by advising the politicians responsible for making laws.

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 (IMF 2003:44-45). To be an effective instrument of development, the public service needs to be guided by certain principles and values (Brereton and Temple 1999:457). These authors pointed out that the set of core values which informed the behaviour of bureaucrats in the United Kingdom included accountability, honesty, impartiality, serving the community, altruistic motivation, quality of service and a sense of loyalty to the community, profession and organization.

A synthesis of Brereton and Temple (1999) core values and principles that formed behaviour of public servants indicated that, within the context of Kenya, public servants lacked the attributes of accountability, honesty, impartiality, quality of service, professionalism and motivation. Chesos (2006) reported that the head of the Public Service and Secretary to the Cabinet, Ambassador Francis Muthaura, had lamented that, in the recent past, the public service had been perceived as an obstacle to development and yet was central in meeting various needs. These needs included security, formulation and implementation of policies, disaster management, dispensing justice, regulation of social and commercial activities and facilitating development.

2.2.1 Reforming the Public Service in Kenya to Enhance Public Service Delivery

A sound state can only be brought about by good governance that results from the capacity of public organizations to provide service to its citizens in an effective, efficient and accountable manner, under the rule of law and individual liberties (Mule 2001:72). Mule pointed out that, to improve the performance of the public service as an agent of development in Africa, development partners made reform of the public service one of the donor-driven programmes. Public sector reform programmes in Africa focussed on reforming the public service, by making it an affective tool for

national development (Mutahaba and Kiragu 2002:48). Examples of African countries where public sector reform programmes concentrated on reforming the public service include Ghana, Kenya, Tanzania, Uganda and Zambia. The reform programmes emphasised public service capacity building, planning, budgeting, performance improvement and human resource management.

Various countries took measures to reform the public service to enhance public service delivery, for example Canada, Singapore and the USA. McIntosh (1997:123-129) described the changes that had taken place in the Canadian public service to make it more responsive to the citizens needs. These included introduction of new management techniques, organizational structures and approaches to governance and a less bureaucratic style of public management that put greater emphasis on client service. Other changes included merging departments, to make it easier to develop and co-ordinate policies within the public service and the introduction of information technology which radically altered the internal operations of the public service and enhanced service delivery.

In Kenya, measures were taken to reform the public service and these included implementing public sector reforms to speed up service delivery, timely completion of projects and programmes. Chief executives of state corporations were to be placed on performance contracts (Kibaki 2004:5). The next phase of performance contracts would include permanent secretaries and heads of departments.

The Kenyan public sector was characterised by mismanagement, wastage of resources and delays, resulting in poor public service delivery. To reverse the situation, the government created the Public Sector Reform Secretariat (PSRS), under the Permanent Secretary/Director, Directorate of Personnel Management, and Office of the President (Ongombe 2004a:2-3, 2004b:3-11). The PSRS was to spearhead public sector reform initiatives in the Kenyan public service. One such initiative was the WB funded Public Sector Technical Assistance Project (PSMTAP). It sought to enhance the capacity of the public

sector to efficiently and effectively play its role in the economic and social development of Kenya by restructuring the functions and operations of the public sector so that it served as an effective channel for reform.

To further enhance public service delivery, the Government of Kenya had introduced performance contracts, which became operational on 1 July 2005 (Office of the President 2005:20). The Government of Kenya also introduced e-government as a way of improving the performance of the public service in Kenya. The Kenya National Development Plan (2002-2008: 114) recorded that government recognized that the use of information and communication technology (ICTs) would enhance the performance of the public service, through the creation of an e-governance. The move towards e-governance promised greater opportunities for increased transparency and accountability of government services and, in the longer term, give people a greater role in government.

The government had created the Department of E-government, to be headed by an ICT Secretary, under the Cabinet Office (Public Service Commission of Kenya 2004). The ICT Secretary would be responsible for the provision of strategic direction, policy development, management and administration of the department and support the government in formulating, articulating and implementing the e-government strategy. E-government would lead to better delivery of government services, improved interactions with business and industry, citizen empowerment through access to information. The resulting benefits would lead to less corruption, increased transparency, greater convenience, revenue growth and/or cost reductions (Mnjama and Wamukoya 2004:5).

2.3 Records Management, Public Service Delivery and United Nations Millenium Development Goals

There is a link between effective records management and enhanced public service delivery. Records management is a key component of any public sector reform programme, the efficiency of which includes enhancing the

efficiency and effectiveness of the public service (Thurston 1996d: 2). To prove her thesis on the link between records management and public service delivery within the context of Africa, Thurston (1996) pointed out that the state of recordkeeping in many African countries was far from being satisfactory, as government officers suffered embarrassment on a daily basis and were unable to take action when information was needed.

The MDGs emphasized public service delivery in order to, among others, eradicate poverty. 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 recordkeeping 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. Wamukoya and Mutula 2005:3 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. NEPAD was one of the avenues which Africa hoped to use to attain UN MDGs (Ilorah 2004).

The United Nations Development Programme (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.

The United Nations Development Programme (2006b) 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. Existing data indicated that achieving the MDGs would be an up-hill task, notwithstanding the fact that there was significant progress

towards realizing some of the goals, for example goal two (achieving universal primary education) and goal six (combating HIV/AIDS, malaria and other diseases).

As noted earlier, good recordkeeping practices would enhance public service delivery and lead to attainment of MDGs in Kenya. Records were key tools for allocating resources and for decision-making in relation to the following aspects of national development namely:

- Maintenance of law and order;
- Management and rehabilitation of social deviants;
- Financial management and accountability;
- Planning national development issues;
- Foreign policy and regional co-operation;
- Maintenance and management of roads and public works;
- Education, science and technology;
- Management of agricultural resources,
- Addressing health matters such as HIV/AIDS as well as infant mortality;
- Efficient management of local authorities;
- Addressing matters of gender and equality, including empowerment of women;
- Provision of adequate water, housing and energy;
- Promoting issues of trade and development of industry;
- Ensuring environmental management and sustainability; and
- Respect for, and protection of, democracy, human rights and other citizen's entitlements.

2.4 Records and Archives Management Legislative Environment

This subsection presents a discussion on existing records and the archives management legislative environment, with particular emphasis on the Public Archives and Documentation Service Act Cap 19.

2.4.1 The Public Archives and Documentation Service Act Cap 19

The enactment and implementation of comprehensive, up-to-date records and archives legislation is a critical prerequisite for the establishment of an effective, integrated system for managing records and archives throughout their life-cycle (Roper 1999a:3). The responsibility of managing public records and archives in the Kenyan public service was vested in the KNADS, as stipulated in the Public Archives and Documentation Service Act Cap 19 of the laws of Kenya (1965).

Existing records and archives legislation in Kenya is modelled on the British archives and records legislation. As stated earlier, the KNADS derived its mandate from the Public Archives and Documentation Service Act Cap 19 and was divided into 15 sections. The KNADS is a government department, under the office of the Vice-President and Ministry of Home Affairs (VPMHA), as explained by Muoria (2002:1). The Department's main objective is to provide advisory services to public offices on all matters relating to the creation, care, control and general management of public records. The records management division offered records management advisory services to public offices through record centres.

Records centres play a significant role in the management of public records (Kuchio 2002:6). The centres' records management activities include interpretation of the Public Archives and Documentation Service Act Cap 19, planning and co-ordination of records management programmes, record surveys, advising on disposal of ephemeral records and reviewing and drawing records classification schemes. Other functions include drawing records retention schedules, conducting records management seminars for heads of departments and officers in charge of registries, guiding students pursuing post-graduate, under-graduate, diploma and certificate courses, while on attachment, and providing advice on proper records management practices.

The records management division faced various challenges in managing current, semi-current and non-current records in the public service (Maranga 2002:3, 6). These include lack of adequate manpower caused by resignations, secondments or desertion, a government embargo on recruitment imposed in 1993 and decreased financial and personnel resources in the face of increased responsibilities.

2.5 Records Management and Improvement of Socio-Economic and Political Challenges in Kenya

Section 2.1 presented the prevailing socio-political and economic situation in Kenya. For records management to play a meaningful role in addressing these challenges, public record-creating agencies, in consultation with the KNADS, need to adopt good recordkeeping practices. This involves managing records throughout their continuum. In the records management phase there is need to manage records during their current life in the registries, including their appraisal and disposal. Managing records in the archives management phase involves making provision for their acquisition and accessioning, arrangement, description, access and use, preservation and promotion.

Management of records during their continuum would facilitate the addressing of the prevailing socio-economic and political challenges Kenya is facing, including enhanced public service delivery. For example, there is a relationship between poor recordkeeping systems and political instability, economic decline, human rights violations and corruption (IRMT 1999c). Tucker (2005) posited that accountability was a crucial component of democracy and good recordkeeping was an integral part of accountability.

2.6 Summary

Chapter Two has provided an overview of Kenya's history, politics and economy. The chapter discussed the concept of public service delivery and attempted to indicate the role of recordkeeping in facilitating public service delivery and the attainment of MDGs. Other issues included the existing records and archives management legislative environment.

The key themes which emerged from Chapter Two were that Kenya faced various socio-political and economic challenges, such as reviving the economy, fighting corruption and reforming the public service. There was a link between good recordkeeping practices, enhanced public service delivery and the attainment of MDGs. Records management would play a key role in addressing the socio-political and economic challenges of the country. The chapter is important as it made readers understand and appreciate the context of the current study, paving the way for the subsequent chapter, the theoretical framework and the literature review.

CHAPTER THREE: THEORETICAL FRAMEWORK AND LITERATURE REVIEW

3.0 Introduction

A chapter on the literature review/theoretical framework needs to have boundaries, as one would not review everything. There is also a need to state how one decided to limit the field (Bak 2004:84). Chapter Three provides the theoretical foundation of the study, as well as a review of the literature and empirical studies. It highlights the benefits and qualities of a good literature review and presents an overview of existing records management models. It discusses, in detail, the records continuum model which formed the theoretical framework for the study, including its relevance to the study.

The review of the literature is structured around the following themes, as they relate to the objectives of the study: an overview of public sector records management from a global and African perspective, the impact of information technology on records management, the current state of records management in the Kenyan public sector and document management strategies to enhance public service delivery.

3.1 Benefits and Characteristics of a Good Literature Review

The benefits of conducting a literature review in any study were highlighted by various scholars (Peters 1994; Saunders, Lewis and Thornhill 1997; Birley and Moreland 1998; Stilwell 2000, 2004; Kaniki 2002; Kothari 2004; Pearce 2005). Birley and Moreland (1998:80) pointed out that a literature review assisted in the achievement of a critical analysis of the existing literature in the proposed research area, in clarifying and framing research questions as it discovered what has been done and not done, prior to the proposed research, and in the provision of a comparative account of the suitability, advantages and disadvantages of particular research methodologies chosen in the past, which are relevant to the study. Other purposes include the literature review being useful in discovering research findings and how they relate to the existing appropriate literature.

The characteristics of a good literature review include being exhaustive but not necessarily bulky, representative, directly related to the research problem and being reviewed in chronological order (Peters 1994:29). Other characteristics are the review being critical and analytical and not resorting to castigating other scholars if they fell short of a researcher's expectations. Saunders, Lewis and Thornhill (1997:45) observed that a literature review needed to be critical and should incorporate key academic theories within the chosen area of study and show how the research related to previous published research. It also needs to assess the strengths and weaknesses of previous work, including omissions or bias, taking into account central arguments and justifying arguments by referring to previous research.

A good literature review needs to indicate the different views, agreements, disagreements and trends of thought on the topic of research and be accurately portrayed and acknowledged in the text (Stilwell 2000:173). It needs to produce a conceptual framework, including philosophical stances and theoretical assumptions and key assumptions and theoretical problems or contradictions, that is, the problems or issues set on the theory and structured around a clear focus on the research objectives. The essential requirements of a successful literature review are its evaluation, as well as its citation of the field and its attempt to relate the work(s) reviewed to the thesis itself, either directly or indirectly (Pearce 2005:57).

There are various types of literature review (Kaniki 2002:17). These are:

- Historical reviews, which considered the chronological development of the literature, and broke the literature into stages or phases;
- Thematic reviews, which were structured around different themes or perspectives and often focused on debates between different schools;
- Theoretical reviews, which traced the theoretical developments in a particular area, often showing how each theory was supported by empirical evidence; and
- Empirical reviews, which attempted to summarize the empirical findings on different methodologies.

The study reviewed various sources of literature, for example professional and scholarly journals, theses and dissertations, periodicals, government publications, key professional textbooks and Internet searches. In reviewing the literature, an attempt was made to indicate the strengths and limitations of the sources used and how the current study benefited from the sources used. The literature review was also divided into sections that focus on themes that relate to the objectives of the study and to research questions. A combination of thematic, theoretical and empirical approaches to the literature review was used, as advocated by Kaniki (2000).

3.2 Theoretical Framework

The role of theories in scientific research has been highlighted by various scholars (Dale 1998; Mugenda and Mugenda 1999; Stacks and Hocking 1999; Cozby 2001). According to Dale (1998:246), theories enabled researchers to draw new conclusions, improve action and generate more sophisticated theories. Theories were drawn from observation and confirmed by observation, for example Isaac Newton, who saw the apple fall and developed the theory of gravity.

A theory was a system of explaining phenomena by stating constructs and the laws that inter-related these constructs to each other (Mugenda and Mugenda 1999:6). Scientific theory serves several purposes, namely to show commonalities in phenomena that may seem isolated at a glance, to help in making predictions and controlling events, to help to organize isolated findings from different research studies into an explanatory framework and to help researchers to maintain consistency in any field of study. Theories are a set of interrelated constructs (concepts, definitions and prepositions) that present a systematic view of phenomena by specifying relations among variables, with the purpose of explaining and predicting the phenomena (Stacks and Hocking 1999:29-30). Theories have four purposes in scientific research, namely description, explanation, prediction and control. Theories generate new knowledge and new hypotheses about behaviour, which could be confirmed

or contested through research and research could reveal weaknesses in a theory and force researchers to modify or develop a new and more comprehensive theory (Cozby 2001:17).

Models can be used to explain theories. The role of models in research is documented (Koutsoyiannis 1979; Katz and Harvey 1994; Dwivedi 2001; Kebede 2002). A model is a simplified representation of a real situation, including the main features of the real situation it represented. There are two main purposes of a model namely analysis and prediction (Koutsoyiannis 1979:3). The validity of a model could be judged on several criteria, namely its predictive power, the consistency and realism of its assumptions, the extent of information it provided, and its generality and simplicity. The physical world is too complicated to be studied without recourse to models. A model is a description of phenomena that is abstracted from the details of reality (Katz and Harvey 1994:4). "Abstracting" from details means ignoring those details that are not directly essential to the understanding of the phenomenon at hand, hence enabling individuals to concentrate on important factors. Katz and Harvey (1994) established the link between theories and models by quoting the great theoretical physicist, Stephen Hawking, who noted that a theory was a good theory if it satisfied two requirements: accurately describing a large class of observations on the basis of a model that contains a few arbitrary elements and making definite predictions about the results of future observation.

The relevance and applicability of models to the real world depends on three factors, namely realism of the model assumptions, consistency of the assumptions with one another and accuracy of the data to validate the assumptions (Dwivedi 2001:17). Kebede (2002:8-9) posited that models are useful for specifying what constituted the phenomena of interest, identifying research focuses and advancing theory in relation to the phenomena they modelled.

3.3 Existing Records Management Models

Various records management models have been developed by national archival institutions, archives schools, international professional records and archives management organizations and records and archives management scholars. According to Shepherd and Yeo (2003:5), all the models originated from the records life-cycle and records continuum approaches. Models focus on the management of electronic records, while others emphasize the management of both paper and electronic records. A literature search revealed the following as examples of existing records management models :

- The ICA Electronic Records Management Model;
- The National Archives of Australia Records Management Model
- The National Archives and Records Service of South Africa Model
- The Public Record Office Model
- The Victorian Electronic Records Strategy Model (VERS)
- The University of Pittsburgh Electronic Records Management Model;
- The Italian Model for Records Management;
- The Records Life-cycle Model; and
- The Records Continuum Model.

In the discussion that follows, each of the above models are presented, including their key elements and relevance to the current study. A detailed discussion of the records continuum model, which formed the theoretical foundation of the study, is presented in Section 3.3.9.

3.3.1 The ICA Electronic Records Management Model

The ICA model (2005d) was developed by the ICA committee on electronic records and was designed to help archival institutions reposition themselves to address the management of archival electronic records. The model discussed the technological, organizational and legal trends that impact on the ability of organizations, including archives to keep and manage records that are in electronic form. The key issues addressed by the model are: records in a database environment; records and archives in the electronic age; strategies for managing electronic archives; preservation of electronic

archives, access and legal and policy implications for electronic archives.

Some of the electronic records management elements advocated by the model are described in the thesis. For example, the study investigated the extent of computer applications in records management and the resultant challenges and types, access, storage, preservation, appraisal and disposition of electronic records in government ministries.

3.3.2 The National Archives of Australia Records Management Model

The National Archives of Australia Records Management Model is based on the Australian Records Management Standard AS4390 (Swan, Cunningham and Robertson 2002:79-86). The State Records of New South Wales (2005a) stated that the Australian Records Management Model elements included:

- Policy, referred to government policy applying across the whole government structure;
- Legislation, seen as an instrument for achieving the governments policy objectives for records and archives management and derives from them;
- Standards, referring to the type of standard that is mandatory, measurable and subject to a regime of compliance;
- Codes of best practice, benchmarks against which an organization can measure its records management practices and systems;
- Guidance and manuals, representing a means of providing practical guidance in support of the standards and codes of practice; and
- Training services and support, human resource development in archives and records management.

The present study investigated some of the issues advocated by the records continuum model. For example, it investigated whether or not records management policies and manuals existed in government ministries, the extent to which current records and archives legislation in Kenya affect recordkeeping practices in government ministries and current education and training levels of registry staff.

3.3.3 The National Archives and Records Service of South Africa Records Management Model

According to the National Archives of South Africa Records Management Model (2005), the responsibility for records management should be shared between record creating organizations, record users and the National Archives and Records Service. According to the model, the elements of a sound records management programme for both paper and electronic records are the presence of records management procedures, records management policy and records classification systems. Other elements include the presence of record control mechanisms, record appraisal and disposal training programmes for records staff.

Some of the issues that the thesis investigated were covered by the model, for example current systems and procedures used for managing records, presence or absence of records management policy, and record classification schemes used, and procedures for the control of records. Other issues covered by the South African Records Management Model that the present author investigated included determining if records appraisal and disposal was conducted in government ministries and the provision of records management education and training to registry staff.

3.3.4 The Public Record Office (PRO) Records Management Model

According to Blake (2005), the PRO model is based on the British Records Management Code. The British Records Management Code is meant to assist public authorities in assessing conformance of their records management systems to the records management code, issued by the Lord Chancellor, under Section 46 of the Public Record Act of 1958. The elements of the PRO Records Management Model include the following:

- Records management function, needed to establish records management as a strategic corporate function and close links between records management and Freedom of Information Legislation, data protection and other information management functions;

- Records management policy statement, supported and mandated by senior management across the organization;
- Roles and responsibilities clearly defined and provision of training awareness to records staff,
- Active records management, records creation and recordkeeping;
- Records maintenance through adequate storage facilities, tracking systems, access controls and business recovery plans;
- Records disposal through use of retention and disposal schedules,
- Establishing an appropriate records access regime to manage requests for information under the FOI Act 2000; and
- Risk evaluation and development of records mitigation strategies.

The thesis addressed some of the PRO Records Management Model elements. For example, it investigated issues such as presence of records management policy statement and levels of staff training, including provision of records management training to registry staff. Other PRO model elements investigated included the strategies used to classify, access, maintain, appraise, dispose and preserve records.

3.3.5 The Victorian Electronic Records Strategy (VERS) Model

The VERS Model (2004) developed in Australia is a framework of standards, guidance and implementation projects which were centred on the goal of reliability and authentically archiving electronic records created or managed by the Victorian government. The model had the following functions: it specified long-term format for the capture of electronic records, ensured that all records were stored in a long-term format to facilitate viewing; and specified ways and forms in which to capture information about records and detailed methods of securing electronic records. The model was applicable to electronic record-keeping studies. The thesis investigated issues advocated by this model, for example methods of capturing and securing electronic records in government ministries.

3.3.6 The University of Pittsburgh Electronic Records Management Model

The University of Pittsburgh Electronic Records Management Model (2004) was developed as a result of a research project undertaken by the School of Library and Information Sciences at the University of Pittsburgh, United States of America (USA). The model integrated and built upon three existing branches of knowledge: business process improvement, information systems development and electronic records management and archival requirements. The model aimed at integrating records and archives management requirements and systems development methodologies in an electronic records management environment. The model was more suitable to studies dealing with the design and implementation of electronic records management systems.

3.3.7 The Italian Model of Records Management

The Italian Model of Records Management was based on a unitary definition of archives and a uniform method of management (Guercio 2001: 255). The model was a coherent system of principles, methods and rules for the production, maintenance and use of records. It was based on the organization of records in the active, semi-active and non-active stages. In contrast to many European systems (for example the French, Spanish and British), the model did not provide a responsibility for an autonomous structure for intermediary archives, that is through the maintenance of semi-active records by a third party. The thesis investigated issues advocated by this model, for example management of government ministry records at the active, semi-active and non-active stages.

3.3.8 The Records Life-cycle Model

The development and application of the Records Life-cycle Model in records management is a subject of discussion (Penn, Pennix and Coulson 1994; Mnjama 1996; Millar 1997; Yusof and Chell 2000; Shepherd and Yeo 2003; Ngulube and Tafor 2006).

The Records Life-cycle Model was developed in the USA after the First World War, by the then National Records and Archives Administration (Penn, Pennix and Coulson 1994:12). Mnjama (1996:25) observed that under the records life-cycle, records passed through three stages, namely creation, semi-active and non-active stages. Yusof and Chell (2000:135) stated that the development of the records life-cycle concept began in the USA in the 1930s and was invented by the National Archives of the USA, in response to the ever-increasing volume of records produced by organizations. The records life-cycle concept had been regarded as a theory which provided the framework for the operation of a records management programme.

According to Millar (1997:7), the records life-cycle concept was an analogy of the life of a biological organism, which was born, lived and died and, in the same manner, a record was created, used as long as it had continuing value and was subsequently transferred to national archives or destroyed. The records life-cycle concept had four phases, namely creation, distribution, maintenance and use, and appraisal and disposition. Shepherd and Yeo (2003:5) observed that since the 1950s, many variants of the records life-cycle concept have been modelled and most models aimed to show a progression of actions taken at different times in the life of a record: typically, its creation, capture, storage, use and disposal. Some writers showed this as a linear progression, while others described it as a loop or circle.

Though the records life-cycle concept has influenced the development of records and archives management in many parts of the world, it has had its own critics. Atherton (1985:44, 47) opined that the records life-cycle theory created a distinction between the roles of records managers and archivists during the records life-cycle. He proposed that the records life-cycle be changed into a more unified model consisting of four instead of eight stages, hence the records continuum model. Atherton (1985) argued that although the records life-cycle concept had been useful in promoting a sense of order in the overall management of records, strict adherence to its principles undermined any trend towards greater co-operation and co-ordination among

archivists and records managers and hence ignored the many ways in which records and archives operations were interrelated.

The weaknesses of the records life-cycle concept, particularly, its application in managing electronic records, was noted by Yusof and Chell (2000:137). The authors pointed out that the records life-cycle concept would not be used in managing electronic records and needed to be replaced by a model which appropriately reflected the special characteristics of electronic records.

Discussing the weaknesses of the records life-cycle model, in relation to management of electronic records, Yusof and chell (2000) emphasised that, as technology changed, the record was prone to transformation and conversion. The concept of the records continuum had thus been promoted in the records management world as it addressed the management of paper and electronic records.

The perceived weaknesses of the records life-cycle concept led to the development of the records continuum model. Although Ngulube and Tafor (2006:59) stated that the whole of the ESARBICA region subscribed to the records life-cycle framework, the present thesis utilized the records continuum model as the theoretical framework of the study, due to the perceived weaknesses of the records life-cycle concept. The researcher considered the records continuum model as an improvement of the record life-cycle model and consequently was more applicable to the present study.

3.3.9 The Records Continuum Model

The records continuum model formed the theoretical foundation of the current study, as it is an all-encompassing model that included all the records management issues that the current study investigated. It also covered the aspects taken into account by other existing records management models. The records continuum model has gained acceptance worldwide as the best practice model for managing records and archives, including electronic records as pointed out by An (2001). The author opined that the evolution of

the concept of records continuum shows the processes of records management and archives management moving towards integration. The advantages of the records continuum model over the life-cycle model demonstrate that the mechanism behind the best practice is the integration of the management of documents, records and archives. Integrated approaches, integrated control and integrated framework can be components of a best practice framework.

The present researcher concurred with An's (2001) view that the records continuum model was more applicable in records and archives management studies and therefore used it as the theoretical foundation of the study. The model elements catered for the issues investigated in the study, such as recordkeeping practices for managing records and the extent to which the KNADS provided advice to registry personnel. Other issues included current archival legislation and the extent to which it facilitated the management of public records and computer applications in records management.

The records continuum model is a subject of discussion by records and archives management scholars and institutions (Atherton 1985; Millar 1997; Sletten 1999; Picot 1999; Upward 1998; McKemmish 1998; An 2001; Pemberton 2003; Shepherd and Yeo 2003; State Records New South Wales 2004; Curtin University of Technology 2005). The following discussion presents the model and its relevance to the study.

The records continuum model consolidated the eight stages of the record life-cycle concept into four stages, namely creation, classification, scheduling and maintenance and use of information (Atherton 1985:44). Under the records continuum model, archivists and records managers would be involved in all the stages of managing records. The following would thus be realized: ensuring the creation of the right records containing the right information in the right formats; organizing the records to facilitate their use; systematically disposing of records no longer required and protecting and preserving records.

The records continuum model originated from Canada, but was developed and adopted in Australia (Bantin 2002:69). McKemmish (1998:3) recorded that the continuum model was developed by her Australian colleague, Frank Upward. The model provided a graphical tool for framing issues about the relationship between records managers and archivists, past, present and future, and for thinking strategically about working collaboratively and building partnerships with other stakeholders. Shepherd and Yeo (2003:9) stated that the records continuum concept was developed in the 1980s and 1990s, in response to criticism of the life-cycle models. In a continuum there were no separate steps. Managing records was seen as a continuous process in which one element of the continuum passed seamlessly into another.

Concurring with Shepherd and Yeo (2003), Pemberton (2003:547) felt that the records continuum concept was a variation of the records life-cycle concept and that it took a higher-order intellectual view of records, since it followed an integrated model rather than one made up of stages. The model stressed the need for records professionals to be involved in the earliest planning stage of information systems. The four actions of records care under the records continuum model were (Millar 1997:14):

- Identification and acquisition - records management actions are the creation or acquisition of records, while archives management actions relate to the selection and acquisition of archives.
- Intellectual control - records management actions include classification of records within a logical system, while archives management actions relate to the arrangement and description of archives.
- Access - records management actions relate to the maintenance and use of records, while archives management actions relate to the description of archives.
- Physical control - records management actions are the disposal by destruction of records, or their transfer to the national archives, while archives management actions relate to the preservation of archives.

The structural principles of the records continuum model, as presented by Upward (1998:9-10), relate to the concept of "records" which was inclusive of records of continuing value and which stressed their uses for transactional, evidential and memory purposes and which unified approaches to archiving/recordkeeping. Other structural principles focus on records as logical rather than physical entities, regardless of whether they are in paper or electronic form. Institutionalization of the recordkeeping profession's role requires a particular need to integrate recordkeeping into business and societal processes and purposes.

According to the State Records New South Wales Recordkeeping Manual (2004), the records continuum model offers an integrated approach to managing records, particularly electronic records. The model recognized that records passed through identifiable stages, but the stages acted as a point of reference rather than as functions of records management. The model allows records managers and archivists to operate at the appropriate stages of the records continuum to meet their sometimes different but harmonious objectives.

Citing the Australian Records Management Standard, AS 4390, Sletten (1997:17) defined the records continuum model as a consistent and coherent regime of management processes, from the time of records creation to their preservation and use as archives. Under the model, records do not pass through distinct stages, the records continuum model stages, as implied in the records life-cycle model. These stages were interrelated in the records continuum model, forming a continuum on which both records managers and archivists are involved to varying degrees in the management of recorded information.

Discussing the benefits of the records continuum model, McKemmish (1998:12) explained that the model provided a way of conceptualizing recordkeeping in organizations. It had the following features:

- Identified key evidential, recordkeeping and contextual features of the

continuum and placed them in relationship to each other;

- Represented the multidimensional nature of the recordkeeping function;
- Mapped the evidential, recordkeeping and contextual features of the continuum against the dimensions of the recordkeeping function; and
- Was itself placed in a broader socio-legal and technological environment.

According to Curtin University of Technology (2005), the records continuum model helped clarify the nature and scope of recordkeeping in organizations and society. The model presented an overview of a seamless and dynamic recordkeeping regime that transcended time and space to capture and manage records for as long as they were required to satisfy business, regulatory, social and cultural requirements.

Although the records continuum model has been, and continues to be, of benefit to recordkeeping professionals, the model has generated certain concerns and fears amongst them. For example, Picot (1999:1) observed that the model and notions of its theory generated a certain reaction of fear and loathing in many people in the records and archives industry. The fear was that records managers and archivists shared both territory and professional competencies and thus, posed a threat to their autonomy. She cautioned that, though the model would be invoked to justify restructuring, job cuts or changes in workplace practices, these would not invalidate its usefulness.

The records continuum model was relevant to the present study, since it advised that records should be managed at each stage of the life-cycle on a continuing basis. The thesis examined current policies and practices employed to manage records and how they impacted on public service delivery. The model further advocated that the various stages of a records life-cycle formed a continuum, on which both records managers and archivists were involved to varying degrees, with respect to the management of records (Millar 1997). These stages are identification and acquisition, intellectual control, access and physical control.

3.4 Review of Related Studies

This section provides an overview of the records management picture from a global perspective. Studies from Australia and New Zealand, North America, Europe, Central America, Asia and Africa are reviewed. Other issues include the impact of information technology on records management and the records management situation in Kenya. The discussion that follows highlights each of these aspects.

3.4.1 Management of Public Sector Records: An Overview of the Global and African Picture

A literature search revealed contrasting developments regarding the development of public sector records management in Australia, New Zealand, the USA, Canada, Britain, Central America and Africa. An analysis of the literature review suggested that Australia leads Europe and North America in the development of public sector records management programmes. The IRMT (1999c) pointed out that, even as recordkeeping had declined in many developing countries, there had been advances in the field of records management in other countries, particularly in Europe, North America and Australia, and these advances had made little impact on the countries in the developing world that most required good management of public sector records.

The literature review revealed that public sector records management programmes in Africa were plagued by various problems, due to the inability of registries and national archival institutions to play their roles effectively. Studies of recordkeeping practices in the public sector focussed on the role played by registries and the support they provided in managing public sector records during the stages of records creation, distribution, storage, maintenance and disposition, to meet the information needs and business objectives of parent organizations.

Discussing the records management situation in Australia, David (1994) stated that records management was very nearly, if not absolutely, as

advanced in Australia as it was in North America and, in some areas, it would be fair to point out that Australia leads the way. He argued that Australia had many characteristics which were favourable for the development of records management. The five major ones were:

- A large and sophisticated economic system:
- A government and legal system conducive to records management development:
- A long tradition of organizational support for recordkeeping systems;
- The fact that records management, to a considerable degree, had evolved from the archival profession into its own distinctive field of endeavour; and
- A relatively advanced and broad-based national records management infrastructure, including a substantial community of vendors of records management products and services.

Although David's (1994) assertion, that records management in Australia was very nearly, if not absolutely, as advanced as it was in North America, was made in 1994, recent evidence suggested that his assertion was still valid and Australia had made more advances in the field of records management than the rest of the world. This was reflected in a recent book from Australia, published in the year 2005 and entitled "Archives: Recordkeeping in Society", edited by leading Australian recordkeeping theorists and practitioners, Sue McKemmish, M. Piggot, B. Reed and F. Upward. The various contributions in the volume by leading recordkeeping scholars and practitioners from within and outside Australia reflected the recordkeeping advancements the country had made.

The records management situation in Australia was described in The New South Wales (NSW) State Records Management Survey Report (2004). It stated that many public offices in Australia continued to implement better records management practices and processes in order to improve performance and comply with the State Records Act. In spite of the noted improvements in public records management practice, there were a few areas

which posed a potential threat to government business. These areas included counter disaster planning, email management and technology dependent records. The public offices surveyed did not store long-term archives in environmentally controlled storage conditions.

In New Zealand, Tucker (2003) pointed out that Archives New Zealand launched a new government recordkeeping programme, "Continuum: Create and Maintain", which sought to assist government agencies to create and maintain full and accurate records and assist them reach best practice recordkeeping standards. It adopted a whole-of-government approach, which recognized that good recordkeeping would help all public sector organizations to achieve their business aims and meet accountability requirements.

According to Cox (2000), no coherent system of archives and records management existed in the USA. The lack of a coherent system of archives and records management was a major barrier to the successful protection of the nation's documentary heritage and the scheme between archivists and records managers and between records managers and other information professionals. Furthermore, the National Archives and Records Administration (NARA) had not provided the required professional leadership in improving the records management situation in the USA and called for a new form of professional leadership.

The National Archives and Records Administration of the United States of America (2005a) observed that its records management programme was developed in the 20th century in a paper environment and had not kept up with a Federal Government that created and used most of its records electronically. To improve the state of recordkeeping in federal agencies, NARA developed a strategic plan which laid out a redesigned records management programme.

Some of the strategies and tactics by NARA (2005a) to achieve the goals outlined by the strategic plan relate to focusing resources on programme

areas/work processes that were core to the functions of government, for example the electronic records management initiative, and expanding its advocacy role within the government. Others included providing guidance and training to federal agencies based on ISO 15489, including establishing a training, certification and monitoring programme, conducting inspections/evaluations of records management practices within and among federal agencies, conducting records management studies on techniques designed to save time and effort in records management and changing the scheduling and appraisal of records by developing appraisal criteria.

In Canada, Wilson (2004), Librarian and Archivist of Canada, presenting the institution's 2003/2004 performance report, pointed out that one of the challenges the institution faced related to facilitating information management in government institutions throughout their life-cycle. Citing a 2003 Report of the Auditor General of Canada to the House of Commons (<http://www.oag-bvg.gc.ca>), she observed that archival heritage was at risk, as federal government departments had given little attention to information management in recent years. The report recommended the need for the National Library and National Archives of Canada to develop a comprehensive plan to implement the New Management of Information Policy adopted by the government in 2003-2004.

It was observed by Wilson (2004) that The Library and Archives Canada had started to implement the recommendations for improving the protection of Canada's heritage. The challenge in supporting the implementation of the Management of Government Information Policy was to ensure that they had the capacity to provide leadership and guidance on many information and knowledge management issues. These included metadata standards, records management, business activity and the structure of classification systems, content management, long-term access and preservation of information technologies. The other challenge related to the need to acquire resources, to develop a robust information technology infrastructure for the long-term preservation of, and access to, government records.

In the United Kingdom, Tyacke (2004), Chief Executive, the National Archives, highlighted some of the achievements of the PRO, in the institution's Annual Report and Resource Accounts of the National Archives (the Public Record Office and the Historical Manuscript Commission), for the financial year 2003/2004. Tyacke (2004) stated that the PRO continued to support recordkeeping professionals across government in putting in place digital records systems and improved work practices and chairing the cross-governmental group on electronic records management. A public consultation document on the possible provisions of new legislation for records management and archives had been issued, as the PRO Act, which was 40 years old, was deemed to need revision. Other measures taken included launching a Records Management Advisory Service in May 2003, for the wider public sector, based on experience in central government of digital records management issues and providing training, information and advice to archives staff.

In India, the Director General of Archives, Government of India (2005), in a letter to the researcher dated 3 August 2005, and whose subject was "Regarding Current State of Records Keeping", provided an overview of recordkeeping developments in the Indian public sector. The letter said that the Government of India had passed the Public Records Act in 1993, to be read with the Public Records Rules, 1997. The Act was applicable to all government offices, as its provisions covered records management systems, to be followed by records-creating agencies. The Public Records Act (1993) Sections 5, 6 and 7, required every record-creating agency to nominate one of its officers as a records officer, whose duties included proper arrangement, maintenance and preservation of public records. Adoption of such standards, procedures and techniques, as may be recommended from time to time by the National Archives of India for improvement of records management system and maintenance of security of public records, was also one of the records officer's duties.

The poor state of recordkeeping in the Jamaican public sector was described by Emmerson (2003). He felt that recordkeeping in Jamaica had been an arcane and often overlooked field and continued to be perceived as a low-level administrative/clerical function, largely focused on the management of public records at the end of their life-cycle. In most Jamaican government ministries/departments/agencies, there had been difficulty in convincing senior management on the many benefits to be gained from a proper records management programme. Often, senior managers inflicted deductions in spending on the records department and did not factor training of records personnel into the overall budget of the organization, as records management was usually perceived not as a core business function. To reverse the situation, there was need for the professionalization of records management in Jamaica.

In many countries, particularly in developing countries such as in Africa, offices and corridors were piled high with closed files and filing cabinets were crammed with files that had ceased to be active (Thurston and Cain 1995). Classification systems were breaking down and unsatisfactory systems existed for managing the creation, use and storage of these records. This had serious consequences for officers who depended on files to define and implement policy, thus compromising public service delivery. The findings of Thurston and Cain regarding the poor state of recordkeeping in many developing countries, reported in 1995, concurred with the observations made by the IRMT (1999d; 2002), and Mnjama (2004).

In many countries of the world, particularly in developing countries, public sector recordkeeping systems were not just weak, but had actually collapsed and did not function at all (The IRMT 1999c). This collapse had been particularly evident in countries that had once been part of the European-dominated colonial regimes. The IRMT (1999c) observed that, following independence in these countries, this situation deteriorated progressively, as part of a general decline in public administration. People employed in the registries had limited training or experience with

recordkeeping work and file classification and indexing systems originally designed to meet the recordkeeping requirements of the colonial period became unwieldy and ultimately unmanageable. Over the last several decades there had been deterioration in the management of official records in developing countries, with consequences for efficiency, effectiveness, accountability, the protection of human rights, provision of service to citizens, poverty reduction strategies and the rule of law (IRMT 2005).

In recognition of the challenges faced by recordkeeping professionals in managing records in developing countries, including Africa, the WB and the IRMT in the year 2000, organized a programme entitled: Evidence Based Governance in the Electronic Age. It built upon effective partnerships between the WB and the IRMT. To achieve the stated objectives, the following were organized:

- A video conference workshop on current records management, poverty reduction, and corruption control was held in June 2001. It involved high-level civil servants from Ghana, Tanzania and Uganda;
- The Information for Accountability Workshops project, completed in June 2001, educated civil servants, records managers and archivists from Tanzania and Ghana on the importance of well-managed evidence; and
- The From Accounting to Accountability project, completed in March 2001, defined issues for managing financial records and created tools for evaluating and monitoring the performance of recordkeeping systems.

Poor management of records as a resource was evident in many African and Central American countries (Mnjama 2004). Based on some of the records management projects this author participated in, and which were funded by the IRMT and the WB, among other donors, in Kenya and Botswana and from visits to Tanzania, Ghana, The Gambia, Sierra Leone, Guyana and Belize, Mnjama concluded that the management of records was plagued by many problems. These included poor layout of, and untidiness in, the records

storage area, regular loss of files and information, lack of file indexes and registers and lack of control of file movements. Other problems were the lack of retention and disposal schedules, poor supervision of records staff and lack of knowledge of the importance of information.

Discussing the practice of records management in the public sector in Zimbabwe, and the extent to which records management within Zimbabwe could be regarded as a profession, Ngulube (2000), stated that records were mishandled and abused, suggesting a lack of ethics. Records managers did not have training in records management and lacked a code of ethics and Ngulube concluded that records management has not yet been professionalized in Zimbabwe. The author called for the development and adoption of a records management code of ethics.

The recordkeeping situation in Namibia was far from satisfactory (Nengomasha 2003:68). This author pointed out that record surveys in government ministries confirmed a lack of records management systems in place, with absence of the use of classification schemes, retention schedules and systematic disposal of records, resulting in heavy congestion of offices and poor retrieval of information. She called for the improvement of records management practices, as well the introduction of a legal and regulatory framework that supported records management, e-government and knowledge management.

Discussing the recordkeeping situation in the Ghanaian public sector, Akussah (1996) observed that the root of the problem of records management in Ghana could be traced to the lack of a comprehensive policy regarding an integrated holistic approach to the management of the whole cycle of records. Akotia (2003:114) felt that the revision of archival legislation had assisted in enhancing records management practices in the Ghanaian public sector. The new law acknowledged the life-cycle as the framework for records control. Systems and procedures had been put in place to provide a sound, systematic records management programme.

The state of records management in Kenya was generally poor (Ombati 1999:35). Mnjama (2003:91-101) decried the inadequate state of recordkeeping in Kenya and emphasised that the factors contributing to the current state of recordkeeping included failure by senior management to establish acceptable records management goals and practices, as well as the non-implementation of various recommendations dealing with improvement of records management in the Kenya public sector. The inadequate state of recordkeeping in Kenya and its impact on public service delivery was admitted in the various records management circulars issued by the Office of the President and Directorate of Personnel Management (see Section 1.4 and Section 3.5.2).

3.4.1.1 Management of Public Sector Records: Review of Empirical Studies

Few studies have been conducted on the state of recordkeeping in the African public sector (Akotia 1995; 2002; Tafor 2001; Akussah 2002; Tough 2003; Garaba 2005; Chachage 2005; Ngulube and Tafor 2006). The discussion that follows presents these studies.

An investigation into the management of public sector financial records in The Gambia, and the implications for good governance, was conducted by Akotia (1995). Records in the ministry of finance, the accountant-general and the auditor-general's departments were examined. The study revealed that public sector financial administration was governed by legislation enactments, namely the financial provisions of the Constitution and the Finance and Audit Act. No systematic recordkeeping existed. Storage conditions were ill-suited for records storage and no procedure existed to govern the management of accounting records. It was established that there was failure to integrate accounting and registry systems, with the result that essential information was lost. The study recommended the need to establish a financial records management system, with a clear set of strategic goals, including adequately trained records staff to manage financial records.

Unlike Akotia's (1995), study which specifically focused on management of financial records in The Gambia and its implications for good governance, the current study investigated management of administrative and personnel records. However, some of the issues investigated by Akotia were addressed in the current study, for example the extent to which existing records and archives legislation sufficiently catered for the management of public records in Kenya and whether or not computers were applied in records management and the resulting challenges. The current study, like Akotia's (1995) study, adopted a survey approach.

A study was conducted by Akotia (2002) to determine how public sector recorded financial records underpin good governance in Ghana. A case study of financial records in the Ministry of Finance, the Accountant General and Auditor General Departments and the National Development Planning Commission was carried out. The study established that well-managed financial and accounting records provided a sound basis for financial and accounting control and hence accountability. It established that the failure to strengthen the link between financial management business processes and recorded information led to the inability of the government to improve the effectiveness of public expenditure programmes, mobilize domestic resources and manage external controls. Akotia's (2002) study recommended the need to forge effective partnerships among accounting officials, information technology specialists, recordkeeping professionals and educators, to develop a robust and sustainable documentary financial records infrastructure. Although the current study surveyed recordkeeping practices at the Ministry of Finance among other ministries, it did not specifically focus on financial records but investigated the extent to which recordkeeping practices impacted on service delivery.

A study was conducted by Akussah (2002), to establish the care and handling of records in government ministries and departments in Ghana and implications for preservation, through a survey of 69 government

departments. The study established that registries used wooden shelves, wooden cabinets, metal shelves and steel drawer cabinets for the storage of records. Registries did not use procedure manuals and public records at the semi-current stage were not properly stored and managed. Most of the registries did not have any idea about disaster preparedness. Akussah's study recommended the need to preserve records at an early stage (creation phase), that government departments adhere to registry procedures manuals and that the National Archives of Ghana implement provisions of the Public Records and Archives Administration Act of 1997 with regard to the management of public records and the need for policy makers to make provisions for adequate registry funding.

Other recommendations of Akussah's study included the need for the National Archives and the Department of Information Studies, University of Ghana, to embark on an awareness drive to sensitize public servants to the proper record handling and management procedures, in order to prevent their deterioration. The study investigated some issues relating to care and handling of records in government ministries, as in Akussah's (2002) study, for example records storage facilities, disaster management, vital records programmes, records preservation, appraisal and retention scheduling and policy issues that affected management of records, such as registry funding. As in Akussah's study, the current study adopted the survey approach methodology.

Tafor (2001) conducted a study to investigate, assess and evaluate the strategies used in managing archives and records within the ESARBICA region. Data was obtained through self-administered questionnaires that were sent to 13 member states that make up ESARBICA. Literature from various sources such as books and journal and information from the Internet was reviewed and analyzed. The study established that national archives within the ESARBICA region encountered numerous financial and human resource problems. Legislation governing archives and records management in most of these institutions was outdated, thus making it difficult to adopt and implement

the latest technologies and management strategies pertaining to records and archives. Consequently, the institutions were unable to efficiently and effectively manage records and archives, as stated in their mission statements. Tafor's study recommended that ESARBICA strengthen its attachment programmes to enhance staff training, governments increase budget allocations to archival institutions and archival institutions should develop staff retention programmes. Other recommendations included the need for ESARBICA member states to increase the number of staff dedicated to the management of electronic records and the need to set up mechanisms and strategies to ensure that proper records and archives practices were implemented by individual archival institutions.

As in Tafor's (2001) study, the current study investigated the extent to which the KNADS, which is a member of ESARBICA, had assisted government ministries to manage their records during their entire life cycle. It established the factors which affected the provision of records management advice by the KNADS to public offices in Kenya, including the suitability of existing records and archives legislation. The study utilized self-administered questionnaires to collect data from registry clerks, supervisors and senior ministerial officers.

In order to establish the level of current awareness, utilization of, and attitudes towards records management standards in the African countries of the Commonwealth, Tough (2003) conducted a study which was carried out by means of a questionnaire sent to 17 Directors of National Archives and by email interviews sent to educators and consultants. Ten out of the 17 directors returned the questionnaires. The study established that eight out of ten archival institutions had policy and procedure manuals for records management in the public sector. Other findings of the study were that ministries and departments disregarded the use of the manuals, there were difficulties experienced in achieving compliance in their use and seven out of ten directors had heard of ISO 15489 and other standards for records management, while six out of the seven directors who had heard of ISO 15489 had plans to use it.

It was established by Tough's (2003) study that lack of senior management support and insufficient resources were the major obstacles to the implementation of records management standards. The National Archives of South Africa was well ahead in terms of laying the framework for the implementation of records management standards in the public service. Tough's study recommended the use of records management standards to improve records management in the public sector and to improve filing classification schemes through collaborative efforts among the archival institutions. Archival institutions were encouraged to use the National Archives of South Africa records management model to manage public sector records. Although the current study did not investigate awareness and utilization of records management standards in government ministries, it investigated some issues that were examined: Tough's (2003) study, for example, presence of policy and procedure manuals in government ministries and factors that affect the current state of recordkeeping in government ministries.

A study to develop a model for corporate records management system, with special reference to sustainability reporting in the Iringa region, Tanzania, was conducted by Chachage (2005). The study population consisted of nine cases of companies from the Iringa region and data was collected through interviews and physical observation. Although the study investigated recordkeeping practices in the Tanzanian private sector, it was found relevant to the current study, as its findings generally depicted the recordkeeping situation within the public and private sectors in the East African Region. The major findings of the study were that general sustainability related records were kept by all companies, except environmental related records, which were not comprehensively kept. Companies used an administrative officer with higher education to head records management systems. Other findings were that most of the administrators had in-house or para-professional records management training and all companies used computers. Their major uses were e-mail, word processing, spreadsheets and the Internet.

It was established by Chachage's (2005) study that companies used a combination of centralized and decentralized records management approaches, did not have vital records programmes and disaster management plans and did not have an integrated policy to guide records management activities. The major recommendations of Chachage's study were that environmental related records with global impacts be comprehensively captured, universities and recognized institutes be used for records management training, file tracking systems be established and semi-current and inactive records programmes be established. Other recommendations were that there was a need to establish records management committees, an adoption of the proposed hybrid system in the corporate records management system (COREMS) and a formulation of strategies to fully utilize top management support.

Unlike Chachage's (2005) study, which explored records management issues in relation to sustainability reporting, the current study explored recordkeeping practices in government ministries in relation to their impact on public service delivery. The present study investigated the extent to which the Kenya National Archives and Documentation Service assisted government ministries in managing their records, unlike Chachage's study (2005), which did not investigate whether the National Archives of Tanzania provided records management advice to companies in the Tanzanian private sector. Some of the issues investigated in Chachage's (2005) study constituted the current study research objectives; for example the existing policies and practices for managing current, semi-current and non-current records and policy issues that affected recordkeeping practices in government ministries. Others included the presence of disaster management plans, computer applications in records management and education and training levels for staff managing records in government ministries.

A study to investigate archival appraisal practices in member states of ESARBICA was conducted by Garaba (2005). The investigation examined the methodologies, strategies, policies and standards used to regulate the

appraisal process and sought to establish the competencies of those staff engaged in records appraisal. Questionnaires, interviews and observation techniques were employed as data collection methods. The major findings of the study were that archival appraisal was not being conducted in a professional manner and this threatened the future of historical research, corporate memory and the national heritage of ESARBICA member states. Other findings of the study were that the various pieces of legislation in existence were archaic and were in urgent need of review. Lack of expertise to carry out the process constituted an impediment to appraisal. Where qualified staff were in existence, many tended to leave for greener pastures due to poor salaries and unfavourable working conditions.

Among the recommendations of Garaba's (2005) study was the need for member states of ESARBICA to overhaul their legislative framework, in order to fully operationalize archival appraisal and adopt the hybrid model in their appraisal endeavours. Garaba's study was relevant to the current study as, among the recordkeeping issues the study investigated, was whether or not registry staff conducted appraisal of semi-current and non-current records. The present thesis investigated the extent to which existing records and archives legislation in Kenya facilitated management of public sector records, by using a SWOT analysis approach. Whereas Garaba's study investigated the competencies and skills of those tasked with appraisal work, the current study went a step further and investigated the records management skills registry personnel required to manage records throughout their continuum. It also investigated the presence of continuing education programmes to update the knowledge and skills of registry personnel.

The findings of a cross-sectional study, conducted between 2004 and 2005 to determine the extent to which archival institutions within the ESARBICA region managed public records and archives, were reported by Ngulube and Tafor (2006). Data for the research were obtained by interviews, content analysis of documents and self-administered questionnaires that were mailed to the 13 member states that comprised ESARBICA. The study revealed that

national archives within the ESARBICA region had limited resources for records management functions and records management processes were neither governed by standards nor guided by a professional code of ethics. Other findings of the study were that records management staff was not adequately trained, electronic records were in danger of being lost due to neglect, archival legislation that mandated archival institutions to manage records throughout their life-cycle was not comprehensive, in certain instances, and strategies used for public programming activities were rather limited, and not clearly targeted, at some archival institutions. The study established that there was growing recognition that stakeholders were best served by the management of records throughout their life-cycle.

Among the recommendations of the Ngulube and Tafor (2006) study was the need for ESARBICA to support the development of comprehensive and sustainable records and archives programmes in the region, promote formal training of archivists who did not have adequate knowledge in the management of records and archives generated by digital technologies and encourage research into the management of records and archives, irrespective of format. Other recommendations of the study were the need for ESARBICA to support the formulation and use of a code of ethics in the management of records and archives, support the use of standards in the use of records and archives, facilitate the updating of archival legislation and promote resource sharing and transfer of expertise on managing records and archives.

Some of the issues investigated in Ngulube and Tafor's (2006) research were addressed in the present study. For example, the study established the extent to which the KNADS provided records management advice to government ministries and departments, a SWOT analysis of existing records and archives legislation in Kenya and the extent to which it facilitated the management of public sector records and the challenges records and archives staff faced in managing electronic records. Other issues which Ngulube and Tafor (2006) investigated, and which were catered for in the

current study, include the knowledge and skills of registry staff in records management, including their training needs in records management, and the factors which contributed to the current state of recordkeeping in the Kenyan public sector. Whereas the Ngulube and Tafor (2006) study investigated the management of records and archives within the ESARBICA region, the current study was confined to Kenya. Although issues of public programming emerged as one of the factors which contributed to the current state of recordkeeping in Kenya, the study did not have the specific objective to investigate aspects relating to public programming of records management in the Kenyan public sector, as was the case in Ngulube and Tafor's (2006) study.

3.4.2 Impact of Information Technology on Records Management: An Overview

Information technology (IT) is an imprecise term frequently applied to a broad area of activities and technologies associated with the use of computers and communication, but generally implied to the application of computers to storage, retrieval, processing and dissemination of data (Keary 2000:6). The introduction of IT in organizations impacted on the way records were created, stored, processed and disseminated (Moss 1992; Shepherd 1993; Hayness 1994; Scott 1995; Parrot 1999; Wamukoya 1996; Holswich 1999; Wato 1999; Keary 2000; Barry 2001; Kimberly, Kutzner and Wamukoya 2001; Ngulube 2004a; Mnjama and Wamukoya 2004; Wamukoya and Mutula 2005a; Wamukoya and Mutula 2005b; Makhura and Du Toit 2005).

Computers have led to the creation of electronic records in many organizations and there was an increasing focus on the management of organizations with electronic files, which are documents created, communicated, received and used in electronic form (Barry 2001). Computerization has led to rapid and dynamic changes in the way organizations operate, and the strategies adopted for integrating and managing paper and electronic records were changing over time, as well (Kimberly, Kutzner and Wamukoya 2001).

Developments in information technology in the last three decades, including the development of the Internet, and particularly the World Wide Web, have created problems and opportunities for records management (Makhura and Du Toit 2005:215-216). Enterprises were increasingly replacing paper files with electronic records in order to save space. It was essential that the management of electronic records be addressed within the broader context of policies, standards and practices that dealt with the management of all forms of recorded information. With the advent of IT, Moss (1992:19) recommended that archivists and records managers should question existing practices and procedures which were not appropriate to IT systems and needed to update their skills in order to manage electronic records.

Electronic data reside on magnetic, optical and other types of media (Kandur 1992:102). Electronic records are created and maintained in a variety of hardware and software environments and have brought new challenges that records managers have to contend with (Hayness 1994:3; Holswich 1999:3; Shepherd 1993:17). These challenges include difficulties in defining the many different types of electronic records and, even when dealing with electronic documents, text and graphics, there is a problem defining individual records. Discussing the impact of IT on records management, Scott (1995:18) stressed that records managers needed to respond by becoming involved in the selection, design and implementation of automated information systems. Parrot (1999:6) observed that records management definitions and practices had been forced to adapt to changes that had been introduced by the introduction of IT, from the era of paper-based registry files through to the present personal computer networked environment.

The challenges posed by electronic records include non-availability of stable electronic media which would be considered archival, capturing the content, context and structure of electronic records, acceptance of electronic records as evidence, technological obsolescence and impermanence and acquisition of information technology skills (Wato 1999). Harris (1997), discussing the

question of law, evidence and electronic records from a global perspective, noted that the degree to which the legal status of records and, in particular, the tests of evidence applied to records by courts of law, was at the centre of archival theory, the nexus between record-keeping and societal processes. He posed the question as to whether or not electronic records fell within the ambit of archival law and how far that ambit reached.

With the advent of electronic records, the challenges for records managers were great (Barry 2001). A long-standing lack of resources and organizational priority were exacerbated with the advent of electronic records. As with archivists, records managers needed to overcome skills gaps in the use of modern information management and engineering methods and tools. Kimberly, Kutzner and Wamukoya (2001) felt that electronic records posed certain challenges, as they were entirely dependent upon technology, both for their creation and their storage and, as a result, they needed to be managed over time in a computerised environment. Tafor (2003:72) emphasised that some of the difficulties associated with electronic records included electronic records being duplicated with ease, dependence on hardware and software technology and the fact that hardware technology on which electronic records depend would become obsolete within a short time. Other challenges included electronic records being easily changed, with little or no trace left, and the shorter lifespan of the storage media of electronic records than that of paper.

Discussing the challenges faced by information professionals in managing electronic records, Ngulube (2004a:21) pointed out that the opportunities and challenges offered by the use of digital technology were similar to the proverbial double-edged sword. Information professionals in Africa had tended to concentrate on the advantages offered by ICTs, without paying much attention to the processibility and readability of digital resources in the future. This, Ngulube (2004a) felt, would plunge Africa into the "digital dark ages" and jeopardize the chances of future generations of using and accessing the collective documentary memory of humankind. Garderen (2002) stated that the World Bank faced a myriad of issues related to the

management of electronic records. For example, the Bank lacked a comprehensive plan for the systematic management of the Bank's electronic records. This exposed the Bank to a number of risks, such as the loss of records, by failing to capture them when they are created, technology obsolescence and a lack of intellectual control. He recommended the need for the Bank to establish an electronic records repository and a conceptual framework for the management of electronic records.

To manage electronic records, Barry (1994: 11-15) saw the need to document and maintain laws, regulations and standards for electronic records to cover their definition, creation, capture, use, preservation and disposal. Other methods of managing electronic records proposed by Barry (1994) included linking electronic records to organizational business practices, applying appropriate retention schedules, capturing the context and content of electronic records and providing measures to prevent common assaults to electronic records. Katuu (2000:34) posited that the management of electronic records by archival institutions could be seen from two perspectives, namely digitization of paper records within the premises of an archive, also referred to as automation, and the management of records that were already in electronic form, but were outside the premises of the institution.

Many countries in sub-Saharan Africa lack the capacity to manage electronic records, as noted by Kimberly, Kutzner and Wamukoya (2001). Mnjama and Wamukoya (2004) pointed out that, while many governments had systems and procedures for managing paper based records, the same could not be said of electronic records. They called for a critical examination of laws, policies and procedures that were necessary for successful implementation of an e-records programme that supported e-government. To enhance capacity building in electronic records management within the ESARBICA region, Wamukoya and Mutula (2005a) stated that they had prepared a proposal which set out a strategic plan for developing the skills and capacities needed to ensure that electronic 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. The proposed capacity-building strategic plan fitted well with the NEPAD development agenda on behalf of Africa, in general, and the EASRBICA member countries, in particular.

The present study investigated the extent of computer applications in records management and the extent to which registry personnel and archives personnel were conversant with issues surrounding the management of electronic records.

3.4.2.1 The Impact of Information Technology on Records Management: Review of Empirical Studies

Few studies have been conducted on the uses of computers in records management and the state of electronic records management, particularly in the ESARBICA region. (Abbot 1999; Mutiti 2002; Sejane 2004; Ngulube 2004b; Wato 2005).

To provide an overview of the state of electronic records management in South Africa, Abbot (1999), conducted structured interviews with members of the National Archives and Records Service of South Africa on the use of documentary records. The major findings of the study were that electronic records were being produced in both the public and private sectors and the National Archives of South Africa had established an electronic records management programme based on three control strategies. These were involvement of the National Archives in the design and maintenance of electronic records systems, the transfer of electronic records deemed of archival value into archival custody and the identification of electronic records of archival value that should remain in the possession of the creating body.

Abbot's (1999) study established that the National Archives and the State Information Technology Agency (SITA) were involved in a project to establish standards for electronic records management in government bodies, relating to metadata, migration strategies, preservation format and security for

electronic records management in government institutions. The two institutions were also co-operating in developing specifications for an integrated document and records management solution for state departments that took into account the South African context. The National Archives and Records Service was planning to run a number of in-house pilot projects utilizing commercially available records management applications, in order to gain hands-on experience with such systems. The study recommended the involvement of the National Archives in the planning and design of electronic systems that contain records.

As in Abbot's (1999) study, the present study investigated issues pertaining to computer applications in records management in the ministries surveyed and revealed the challenges that registry staff faced in managing electronic records. It investigated the role that the KNADS played in managing records of electronic nature generated in the public service and the challenges the institution faced in managing these records. Unlike Abbot's study, which employed the use of interview and documentary sources as data collection methods, the present study utilized interview, questionnaire and observation techniques.

A study to determine the application of computers in records and archives management, and issues of electronic recordkeeping within the ESARBICA region, was conducted by Mutiti (2002). To collect data, a search of the websites of archives institutions in the ESARBICA region was conducted. In addition, questionnaires were sent to archival institutions. It found that computers were used to fulfil a variety of recordkeeping functions, namely word processing, control of holdings, retrieval of records and document imaging. Other findings of the study were that electronic recordkeeping systems were absent, the responsibility of managing electronic records systems was vested in national archival institutions, such as in Botswana, Kenya, South Africa and Zimbabwe, and many archivists were not conversant with ways of managing electronic records. It recommended that national surveys of public institutions be undertaken to take stock of electronic records.

As an aspect of further research, as recommended by Mutiti (2002), the present study not only sought to establish computer applications in records management but investigated the challenges registry personnel faced in managing electronic records. Based on the research findings, the present study proposed recommendations which would lay a sound basis for managing electronic records in Kenyan public offices.

A study to investigate the management of electronic records in the public sector in Lesotho was conducted by Sejane (2004). The author looked at the electronic records which were currently created and the strategies and policies used in managing them. Interview schedules and observation were employed to collect data from records management personnel from 19 ministries and the National Archivist. The study established that the public sector in Lesotho was not managing its electronic records satisfactorily. It was further established that the public sector did not only have legislation that specifically dealt with managing electronic records, but also lacked written policies, strategies and guidelines. There were no qualified personnel with the expertise and skills to manage electronic records in the public sector.

Sejane's study recommended the need for the public sector to be allocated more resources and IT infrastructure, that staff be trained and policies formulated. Other recommendations were that legislation be amended to accommodate electronic records and that the public sector adopted the South African Electronic records management model. Sejane's (2004) study was relevant to the current study, as it investigated computer applications in records management and the challenges that registry staff and archives personnel faced in managing electronic records. Unlike Sejane's study, in which interviews were used to collect data from records management personnel, the present study utilized questionnaires to collect data from registry personnel, supplemented by interview and observation.

A study to establish how electronic records were managed in sixteen selected countries in sub-Saharan Africa (SSA) was conducted by Ngulube (2004b).

Data was collected through questionnaires administered on 34 respondents drawn from the National Archives of Angola, Botswana, Kenya, Lesotho, Mozambique, Malawi, Mauritius, Namibia, Seychelles, South Africa, Swaziland, Tanzania, Uganda, Zambia, Zanzibar and Zimbabwe. The major findings of the study were that the surveyed institutions had computers used for word-processing activities. South Africa and Kenya were the only institutions that had procedures for the appraisal and disposition of electronic records, manuals and guidelines, for the management of electronic records in public agencies, as well as personnel with formal training in managing digital records. Other findings were that there was an acute shortage of staff trained to deal with information generated by modern computer technology. Out of the 16 institutions surveyed, only one (6.3 percent) had procedures for periodically migrating records. South Africa was the only country with legislation that specifically addressed the management of electronic records.

Ngulube's (2004b) study recommended the need to for archivists to formulate policies that specifically addressed the management of electronic records, as well as their access. There was a need for archivists to be involved in the entire life-cycle of records. Other recommendations included the need to make a deliberate effort to increase the pool of archivists with ICT skills, by entering a partnership with institutions of higher learning in SSA, and the need for legislation to protect electronic records, skills development, funding and use of appropriate document management strategies and models. The current study investigated computer applications in records management and the challenges registry and archives personnel faced in managing electronic records.

Wato (2005) investigated e-records readiness in the ESARBICA region. The specific issues studied were policy and legislation, standardization, authenticity, preservation, training and physical infrastructure concerning electronic records. Questionnaires were sent to all National Archives in the ESARBICA region and responses were received from Botswana, Kenya, Mozambique, South Africa, Swaziland, Tanzania, Zambia, Zanzibar and

Zimbabwe.

The major findings of the study were that only Tanzania and Mozambique had a national ICT policy. South Africa recognized e-records as authentic records, as supported by the Archives Act. All nine respondents described e-records skills among their staff as inadequate. With regard to empowerment of creators, six respondents (Kenya, Tanzania, Botswana, South Africa, Mozambique and Zanzibar) sensitized record creators on e-records issues. All nine respondents indicated that their national archives had not carried out a survey on the status of e-records created by government bodies. They had no capacity to preserve electronic records due to lack of specialized storage facilities, skills and controlled environment.

Six respondents (Kenya, Tanzania, Botswana, South Africa, Mozambique and Zambia) rated their ICT infrastructure as moderate, while three (Zambia, Swaziland and Zanzibar) rated their ICT infrastructure as poor. Only four respondents (South Africa, Tanzania, Zanzibar and Swaziland) addressed the unique issues of e-records in their archives legislation. Among the recommendations of the study was the need for archival institutions in the EASRBICA region to shift focus from management of paper records to electronic records, to upgrade ICT skills of their staff to allow archivists to understand operations of technology and its impact on the creation, use, maintenance and preservation of e-records and for ESARBICA to formulate minimum standards for e-records.

Some of the issues investigated by Wato (2005) were addressed in the present thesis. For example, the study investigated the extent to which archives personnel were involved in the management of electronic records in government ministries and also the challenges they faced in managing electronic records. As in Wato's (2005) study, the current study sought to establish the extent to which current records and archives legislation in Kenya facilitated the management of records, including electronic records. Whereas Wato's (2005) study concentrated on the ESARBICA region, the current study

was confined to Kenya.

3.5 Records Management: The Kenyan Picture

The state of recordkeeping in the Kenyan public sector has been a subject of discussion by Kenyan records and archives management scholars and practitioners, international records management consultants and the Government of Kenya (Maclean 1978; Musembi 1983; Musembi 1984; Sareen 1981; Droguet 1986; Hall 1990; Githaka 1996; Kemoni 1998; Wamukoya 1999; Mnjama 2003; Office of the President 2003a; Office of the President 2003b).

The state of recordkeeping in Kenya during the colonial period is captured by Musembi (1984:9), who observed that no efficient recordkeeping practices existed in Kenya during the colonial period. The colonial administration authorized the destruction of valuable documents, for example records pertaining to the Mau Mau. Poor recordkeeping practices existed during colonial times, despite the issuance of memoranda and records management circulars by the colonial authorities. These included:

- A memorandum issued on 10 May 1910 by the governor of the then East African Protectorate, Sir Percy Girouard, to all provincial and district commissioners, advising them to adopt efficient and effective records management techniques;
- The Colonial Office circular no. 7020/47 of 11 March 1948 advised the provincial administration to survey, appraise and dispose off non-current records with no continuing value;
- Archives Circular no.1 of 1956, attached to the administrative secretary letter addressed to all permanent secretaries, heads of departments and provincial commissioners, outlined proposals aimed at stimulating good records and archives management practices; and
- Archives circular no.2 of 12 January 1965, issued by the administrative secretary, which emphasized the contents of Archives Circular no.1 of 1956, particularly on how to manage the backlog of non-current records in government offices.

Records management in Kenya was officially formalized in Kenya in 1965, when the Public Archives Act Cap 19 was passed by parliament (Githaka 1996:8). Section 4(1) of the Act gave the Director powers to examine any public records and advise on their care, preservation, custody and control and also required the transfer to his custody public records which he considered should be housed in the national archives.

Poor management, mismanagement of personnel resources and poor supervision were identified by Musembi (1983:39-43) as some of the factors that had impacted negatively on the development of records and archives management in Third World countries, including Kenya. He warned that the KNADS involved itself in non-core functions during the 1970s and early 1980s, at the expense of enhancing records management in the Kenyan public service.

The challenges KNADS faced in managing public records related to the non-existence of concrete departmental policies regarding the manner in which registries were run and lack of enthusiasm in records management by senior officers whose portfolios included management of registries (Wamukoya 1988:7-8). Other challenges included delegation of records management duties to junior officers not trained in records management. People deployed to work in registries were not trained and suffered low morale. Due to the failure of KNADS in effectively performing its records management functions, various consultancy missions were sent to Kenya, as part of international assistance to improve the records management infrastructure in Kenya.

3.5.1 Records Management Consultancy Missions

Due to the poor state of recordkeeping in the public sector, a number of records management consultants visited Kenya, as part of international assistance from UNESCO and the Commonwealth Fund for Technical Co-operation, to assess and provide recommendations to improve recordkeeping

infrastructure in Kenya. The records management consultancies carried out included:

- Maclean's Records Management Consultancy Mission (1978)
- Sareen's Consultancy Mission on Records Management (1981)
- Walford's Records Management Consultancy Mission (Mnjama 2003)
- Droguet's Records Management Consultancy Mission (1988)
- Hall's Records Management Consultancy Mission (1990)

The consultancy mission by Maclean (1978) sought to implement a records management programme, in line with UNESCO Technical Report RP/ 1977-1978/5.1.3 on Kenya Development of Information Infrastructure (1978). The consultant's mandate also included suggesting ways of running a records management programme for both public and private sectors, giving recommendations to improve the state of registries and suggesting amendments to archives legislation. He recommended the need for KNADS to take greater responsibility for records management, to modify existing filing systems, to establish records centres and to conduct appraisal and disposal of old files in government offices. Other recommendations included the need for the KNADS to train registry staff and to revise the Records Disposal Act Cap 14 that governed the disposal of judicial records.

The mandate by the consultancy mission of Sareen (1981) was to draft records management legislation, plan and conduct staff training in records management at the national archives and other government agencies and prepare a report covering all aspects of the mission, with recommendations for future action. The major findings of the consultancy mission were that the KNADS was involved in activities that were not in line with its mission, as stipulated in archival legislation, registry systems were not efficient and lacked storage space, no appraisal and destruction of records took place and the staffing and training levels at the KNADS were inadequate. It recommended the necessity to review existing archives legislation and registry systems, to establish effective ways of destroying public records and that the Kenya government provide suitable accommodation for the establishment of records

centres.

According to Mnjama (2003), Walford's (1982) mission sought to evaluate the functions performed by the KNADS and recommend to the Kenya government those functions that were relevant and not relevant to the KNADS, taking into account the existing archives legal framework. The consultant established that the KNADS was performing functions that were not core to its mandate, as stipulated in the Public Archives Act, such as the oral traditions programme. This had contributed to the poor recordkeeping culture in the Kenyan public service. The consultant recommended that the KNADS do away with its non-core functions, as a way of improving records and archives management programmes.

A consultancy mission to evaluate all the functions performed by the KNADS and to make an assessment of their effectiveness within the context of archival networking in Kenya was conducted by Droguet (1988). Droguet recommended the need to appoint records officers in the ministries, to establish provincial record centres in each province and to review the grading structure of archives personnel. Hall (1990) conducted a consultancy mission to evaluate the implementation and the development of archival networking projects. Hall established that, although much progress had been made in enhancing management of public sector records, in line with the recommendations of Droguet (1988), the government had not appointed records officers. He recommended that KNADS create records management role models, develop a new records management strategy, enhance the marketing of records management in the provinces and establish district record centres in line with the government's District Focus for Rural Development Strategy.

Various record and archives management practitioners and scholars, as well as senior Government of Kenya officials, proposed various measures which would help improve the recordkeeping situation in the Kenyan public sector. Kemoni (1994:3-14) called for the development and enactment of a code of

ethics for archivists and records managers in Kenya, as a way of addressing records management issues that they faced in the course of handling records during their entire life-cycle. Ombati (1998:25) called for improvement of filing systems in public offices and registries, timely disposal of records, publishing registry manuals and convincing the government to establish cadres of records officers in the civil service.

The KNADS needed to develop a good records management infrastructure, backed by a strong legal and administrative framework, to ensure that public records were properly managed (Obudho 1999:2). Wamukoya (1999:2) proposed an integrated approach to the management of government records, a revised records and archives law and a definition of the role and powers of the agencies responsible for managing government records through their life-cycle. Mnjama (2003) recommended greater co-operation between the KNADS, ministries and departments, if an effective records management programme was to succeed throughout the public service. There was also a need to have a training programme for registry staff, including developing a scheme of service for registry staff. Musembi (2004:12) recommended innovativeness on the part of registry staff and empowering them with the necessary records management knowledge and skills.

Various records management circulars were issued by the Office of the President and the Directorate of Personnel Management. They reflected the Government of Kenya's proposals to enhance recordkeeping practices in the public sector. The discussion that follows presents the various records management circulars and their proposals.

3.5.2 Records Management Circulars

To enhance the management of public sector records in Kenya, the Office of the President and the Directorate of Personnel Management issued records management circulars, which contained various proposals to enhance recordkeeping in government ministries and departments. These circulars were:

- Office of the President circular OP/48A/66 of 28 November 1985, on the Destruction of Non-current Records;
- Office of the President, Permanent Secretary, Secretary to the Cabinet and Head of the Public Service Circular OP. 39/2A of 14 April 1999, on Cases of Missing and Lost Files and Documents in the Public Service;
- Office of the President, Permanent Secretary, Secretary to the Cabinet and Head of the Public Service Circular OP.39/2A of 14 November 1999, on Cases of Missing and Lost Files and Documents in the Public Service;
- Office of the President, Permanent Secretary, Secretary to the Cabinet and Head of the Public service Circular OP.40/1/1A dated 6 June (2003a), on Improvement of Records Management for Good Governance; and
- Office of the President, Directorate of Personnel Management circular, DPM.4/10A (9) of 27 October (2003b), on Streamlining the Performance of Registries in Government Ministries, Departments, Local Authorities, Provinces and Districts.

Office of the President Circular, OP/48A/66 of 28 November 1985, on the "destruction of non-current records", drew the attention of accounting officers to the provisions of the Public Archives Act Cap. 19: destruction of public records and archives. The circular stated that, in the past, some important documents had been destroyed or lost through unsatisfactory recordkeeping practices. Among its key proposals was that no public records or archives should be destroyed without proper authority, as specified in Section 7 of the Public Archives Act. Cap. 19.

Office of the President Circular, OP/39/2A of 14 April 1999, on "cases of missing and lost files and documents in the public service", stated that cases of missing and lost files in the public service was caused by poor records management practices and this undermined public service delivery. It directed permanent secretaries to ensure that records were well managed. Office of the President circular, OP/39/2A of 14 November 1999, on "cases of missing

and lost files and documents in the public service", encouraged members of the public to report cases where service delivery was delayed due to missing and lost files. It asked government officers to put greater emphasis on recordkeeping.

Office of the President, Permanent Secretary to the Cabinet and head of the Public Service issued circular no. OP.40/1/1A dated 6 June 2003, on "Improvement of Records Management for Good Governance". The circular warned that, despite the records management instructions issued in the past, the state of records management in public offices continued to be unsatisfactory. Among the recommendations of the circular was the need for accounting officers to personally spearhead awareness-raising on the adverse effects of poor records and information management.

3.5.3 Records Management Task Force

The Records Management Task Force was formed by the Office of the President, Directorate of Personnel Management (2003c), to review the causes of poor records management in the public service. It proposed practical solutions to improve the performance of registries in government ministries/departments and an action plan on how to address all the constraints identified.

To highlight the findings of the task force constituted in March 2003, the government issued a circular, Office of the President, Directorate of Personnel Management circular, DPM.4/10A(9) of 27 October (2003b), entitled "Streamlining the Performance of Registries in Government Ministries, Departments, Local Authorities, Provinces and districts". It noted that the Task Force had concluded that most registries in ministries, departments, local authorities, provinces and districts were in a poor condition. This implied that the registries, given their current state, were unable to provide accurate records and information needed for quick and timely decision-making.

The circular pointed out some of the issues which constrained effective

performance of registries and which needed to be streamlined by accounting officers. These included stock taking and inventorying of files, appraisal and disposal of non-active files, updating existing file classification/indexing systems and the efficient management of mail. Others included accurate recording of files, improving the security/working by ensuring service counters were in place, providing fire extinguishers, undertaking mock fire drills for disaster preparedness and enhancing performance improvement by ensuring that action officers acted on files within two days.

3.5.4 The Public Sector Reform and Development Secretariat and the Kaizen Institute Project

According to the Office of the President, Public Sector Reform and Development Secretariat Waste Free and Clean-Up Kenya (2005b:2) booklet, the Kaizen Waste Free Clean-up Kenya Project was aimed at reforming the public service by introducing a result based management culture. The government embraced the project as a means of implementing the recommendations contained in the Directorate of Personnel Management (2003) Task Force. The programme focused on eliminating wasteful or non-valuable adding activities at the workplace, as wasteful activities created obstacles that hindered the smooth flow of services to citizens.

According to the Kaizen (Japanese word meaning continual improvement) philosophy, improvement in the public sector was driven by focusing on the following three Ps:

- Processes - improving internal work/office processes through elimination of wasteful components or any obstacle to the smooth flow of an activity/process;
- Physical environment - improving the physical environment where these processes happened or were delivered; and
- People - involving people at the workplace and empowering them to do the above-mentioned two Ps (processes and physical environment).

The Government of Kenya convened a Board of Survey which targeted

removal of old equipment and files from government offices (Ochieng (2005). KNADS archives personnel were incorporated in the project since, in the cleaning exercise, officers were likely to encounter old records and the expertise of archivists was required in advising how to dispose off valueless records. Six archivists from Nairobi Records Centre were involved in the project and had dealt with (appraised and disposed of) old files in 16 government ministry's headquarters and government parastatals within the Nairobi area, such as the Kenya Wildlife Service and the Kenya Broadcasting Corporation. The disposal of old files had moved to the provinces and had taken place in provincial offices at the Coast and Eastern and Rift Valley provinces of Kenya. Other provinces targeted were Nyanza, Western, Central and North-Eastern and the disposal of old files, as part of the cleaning project, would eventually extent to the districts.

3.6 Records Management in Kenya: Review of Empirical Studies

Few empirical studies have been conducted on the state of records management in the Kenyan public sector (Mnjama 1994; Wamukoya 1996; Kemoni 1998). A study to establish the management and exploitation of railway records in Kenya and its predecessor organizations, the Kenya and Uganda Railways, the Kenya and Uganda Railways and Harbours, the East African Railways and Harbours Corporation and the East African Railways Corporation, was conducted by Mnjama (1994). It examined the techniques, procedures, facilities and staff available for the management of records. It considered the requirements for their creation, retention, storage, retrieval, preservation and final disposal. The study discussed the role of records management within the context of administrative reform programmes at the Kenya Railways and examined the role of the Kenya National Archives and Documentation Service in the management of public records.

Among the major findings of Mnjama's (1994) study were that, during the colonial period, attempts to develop a records management programme were hampered by the lack of a strong national archives service to oversee records management practices. The study demonstrated that the success of

administrative reform programmes, to a large extent, depended on a records management policy and programme to enhance standardization in the handling, storage and retrieval of information. Among the recommendations of the study was the need to develop records management policies and procedures to underpin administrative reform programmes at the Kenya Railways and to comply with legal requirements, particularly in relation to records retention and disposal. Other recommendations included the need to employ records administrators and records managers to handle the corporation's records and the need to establish a centralised storage facility to provide security, accessibility and economical storage for inactive records. The current work investigated records management issues that Mnjama's (1994) study investigated. First, the present study examined the effectiveness of the procedures and systems used in managing records in government ministries throughout their continuum. Second, the present study investigated education and training levels of registry staff and, finally, as in Mnjama's (1994) study, it investigated the extent to which the KNADS was involved in providing advice on good recordkeeping practices to government ministries.

A study to determine the impact of records management on administrative reform programmes in Kenya was conducted by Wamukoya (1996). Questionnaires, interviews, observations and a documentary review were used as the data collection instruments. The study findings indicated that poorly managed records undermined government efficiency and accountability. The Kenya government had not taken full advantage of the opportunities afforded by public sector reforms to re-examine policies concerned with the management of public sector records. Other findings were that public agencies relied upon the KNADS to provide professional leadership and guidance on matters concerning management of public sector records. Although computers were part of development assistance, there was need to sensitize donors to the view that computers in themselves were not a solution to information problems unless issues relating to records management were addressed. Wamukoya's (1996) study recommended that any attempt to find sustainable solutions to the problems of managing public

sector records in Kenya must involve the KNADS. There was a need for further research to establish the effects of records management on the government workplace.

The current study investigated some of the issues raised in Wamukoya's (1996) study, such as determining the extent to which the KNADS had assisted public offices to manage their records. It investigated computer applications in records management and the challenges registry personnel faced in managing these records.

A study to establish the impact of record centres on the management of public sector records in Kenya was conducted by Kemoni (1998). The researcher utilized questionnaires as the data collection instrument. The results of the investigation indicated that record creators experienced problems on a recurring basis in managing records. The study established that the Public Archives and Documentation Service Act (Cap 19) had weaknesses which undermined the ability of the KNADS to effectively manage public sector records. Among the recommendations of the study was the need to revise the Public Archives and Documentation Service Act (Cap 19), in order to give record creators greater responsibilities in managing their records.

Whereas Kemoni's (1998) study investigated the role of record centres in managing public sector records, the current work went a step further and investigated recordkeeping practices in government ministries', headquarters. It investigated the factors which contributed to the current state of record-keeping in Kenya and its impact on public service delivery, an aspect which was not covered by Kemoni (1998). The study used a SWOT analysis approach to examine existing archives and records legislation in Kenya and the extent to which they facilitated public service delivery, an aspect not covered by Kemoni (1998). Finally, unlike Kemoni's (1998) study, the current study investigated the extent of computer applications in records management and the resultant challenges.

3.7 Document Management Strategies

Records in the public sector need to be well managed in order to enhance their access and use to improve public service delivery. This calls for the utilization of appropriate document management strategies to cover the management of records during their continuum. The following presentation discusses how records would be managed during their active phase in the registries and during their archives management phase. The discussion presents the various records management guidelines which have been developed to address the management of paper and electronic records.

3.7.1 Managing Records in Current Records Systems

Proper management of records in the registries during their active phase involves making provisions to ensure that registries meet the needs of users. Registry personnel need to be conversant with the symptoms of poor registry systems (Southwood undated: 1). These are confusion between the responsibilities of staff and users, registry staff not understanding users' needs, users knowing little about registry work, lack of formal criteria for staffing registries and papers not being located when speed was essential. Registry staff need to have assessment criteria (Mnjama (1996: 24-32). These include establishing procedures for handling incoming and outgoing mail, developing rules and standards relating to records security and disaster management, existence of a records manual and the presence of retention and disposition schedules. There is a need to organize and control records at the points of creation and use (IRMT 1999b), for example, analysing and restructuring current systems, developing and implementing records schedules, appraising records and disposing of valueless, non-current records.

Records appraisal is an important activity in managing records during their active and semi-active phases in the registry (Millar, Roper, and Steward (1999:4; Reed 1997:173-174). McKemmish, Reed and Piggot (2005:174-175) pointed out that appraisal is a relatively new archiving process and appraisal has been redefined in various ways, including the Canadian system of macro-

appraisal. Cook (2000) observed that the primary focus of macro-appraisal was to preserve selected records which document the deliberations, decisions and actions of government in relation to its assigned business functions, programmes and records which establish the sovereignty, organization and administration of government.

The theory of macro-appraisal formulated by Terry Cook and implemented as the practice of the National Archives of Canada, emerged from a critique of the deficiencies of traditional appraisal theory and strategies (McKemmish, Reed and Piggot 2005:178). The deficiencies of the traditional appraisal theory and strategies include their records-centric worldview, their reliance on taxonomies of values and their fragmented bottom-up approach. Other deficiencies include inability to cope with the inevitably vast quantities of records, given the timing of their application, and their irrelevance to records created in the electronic environment of the modern office. With regard to the appraisal of electronic records, Duranti (1997:60-64) noted that, due to the fragility of the medium and the obsolescence of the technology, appraisal decisions need to be reviewed periodically, as often as the obsolescence problem occurred.

Disposition of records is an important phase in the management of records, following their appraisal. According to ISO 15489-1 (2001: 16), disposition actions may encompass the following: immediate physical destruction, including overwriting and deflection, retention for a further period within the business unit, transfer to an appropriate storage area.

3.7.1.1 Managing Records in the Archival Phase

The purpose of a records management service is not to manage the creation of archives and, in more recent years, the life-cycle and continuum concepts of records and archives management have been followed more widely (Cook 1999:1, 9). The two fields of records management and archives administration are closely interwoven (Cook 2006). The term "archivist" is sometimes used to cover the activities of both records managers and archivists, but it is not

intended to suggest that these groups are identical, or that one should be subordinate to the other.

The division of activities into records management and archival phases, with the consequent division of responsibility between the records manager and the archivist, is seen by some as artificial and restrictive (Millar 1997:14). Both records managers and archivists are involved in managing records of social and organizational activity (McKemmish 1997:18-19). It could be argued that, operating in tandem, records managers and archivists could better serve both current and future purposes.

Archives management is defined by Millar, Roper and Stewart (1999:4) as the area of management concerned with the maintenance and use of archives. Schwirtlich (1997:69-730) provided an overview of the functions and work activities of an archives management programme. These are the acquisition and appraisal, arrangement and description, preservation, reference, user education and public relations. Hunter (2003:4-5) pointed out that a cyclical expression of the archival mission includes activities such as acquisition, accessioning, arrangement, description, access and reference, security, preservation, outreach and promotion, reappraisal, conducting surveys and appraisal.

Acquisition of records entails two related, but distinct, components: physical custody and legal title (Hunter 2003: 87). One of the key phases in archives management is arrangement and description. These are aspects of intellectual control, one of the four actions of records care under the records continuum model. They are equivalent to classification of records under a logical system in records management (Millar 1997:14). Arrangement of archives is governed by the key principle of *respect des fonds*, that is respect for the creator of records or archives, involving the maintenance of provenance and original order, while provenance refers to the organization or individual that creates or receives, maintains and uses records while they are still current (Griffin and Roper 1999:16; Roper (1999a:16). Arrangement and

description would facilitate access. Access provides the authority to obtain information from or perform research using archival materials (Hunter 2003:207, 210).

Records and archives need to be preserved if they are to be exploited. Preservation is thus an important activity throughout the records continuum. According to Roper (1999b:34), the primary reason for the preservation of records is to serve as evidence for long-term social accountability. MacKenzie (1996:86) opined that preservation consisted of three elements, namely: conservation (direct physical intervention with the material), indirect preservation (buildings, archival storage methods, security against threats, handling) and preservation by substitution-reformatting (copying, normally on microfilm). One method of substitution preservation includes digitization (Foster, Russel, Lyall and Marshall (1995:55). By digitising a document, the access needs of the majority of users are met, using the digitised access copy.

According to Roper (1999b:30), various general measures to protect archives relate to monitoring and controlling temperature and relative humidity, limiting light, filtering air to reduce pollution and removing pollutants from archives storage areas. Others are protecting archives from water damage, inhibiting mould growth, reducing attraction for insects and rodents and protecting records from mishandling or abuse.

To preserve and manage electronic records, Duranti (2005) advocated the need to develop a policy, strategy and procedure that separately addressed scientific data and the other digital objects, focussing any such policy and strategy on the continuing accuracy and authenticity of records. There was a need to recognize that preservation of accurate and authentic digital data was a continuous process that began at the moment of creation and whose purpose was to transmit trustworthy information across time and space. By preserving records in the registries, it would ensure their availability for use by public officers to address the socio-economic and political challenges in

Kenya and to facilitate public service delivery.

3.7.2 Records and Archives Management Guidelines

Guidelines have been developed that address the management of either records in paper or electronic formats or both paper and electronic records.

These include:

- IRMT Guidelines 1999;
- NARA Records Management Guidelines 2005b;
- State Records New South Wales Records Management Guidelines 2005b;
- International Records Management Standard Speakers Notes Seminar (2005)
- ICA Records and Archives Management Guidelines 2005;
- United Nations Document Management Strategy Guidelines (2005);
- The National Archives and Records Service of South Africa Records Management Guidelines; and
- The PRO Records Management Guidelines (2005).

3.7.2.1 IRMT Guidelines 1999

The IRMT (1999) recommended measures aimed at managing records. These included organizing and controlling records at the point of creation and use as current records to ensure efficiency and economy in office operations, controlling the creation and use of information and protecting valuable information against loss or damage, and analyzing and restructuring records systems through the use of business systems analysis and business process re-engineering, maintaining records systems developing and implementing classification systems. Other measures include developing and implementing records schedules and appraising records and retaining those with continuing value, while disposing of non-current records.

3.7.2.2 NARA Record Management Guidelines 2005

The NARA of the United States of America (2005b) provided a comprehensive checklist of issues which records managers needed to

consider as part of document management strategies to meet end-user needs in both paper and electronic record systems. These included:

- Developing and updating records filling plan;
- Controlling access to records;
- Having in place procedures for file and box handling;
- Tracking the location of files through charge-in and charge-out processes;
- Having records centre capabilities such as inventorying and shelf management;
- Managing retention and disposition;
- Managing objects from source applications such as e-mail, desktop applications and the web;
- Creating software for contributors, those who create, file, classify, search and retrieve records;
- Creating software for consumers, end-users with read-only access rights may search, request, retrieve and view records; and
- Have a programme for long-term management and retention of electronic records.

3.7.2.3 State Records New South Wales Records Management Guidelines 2005

The State Records New South Wales (2005b) provided guidelines for records access and security based on the DIRKS strategy. These guidelines were specific to the management of records in electronic formats and did not focus on strategies to manage records in paper-based formats. They included providing for records access and security, identifying records access and security requirements, ensuring that recordkeeping systems supported access and security and reviewing strategies for access and security. Other guidelines included assessment of existing records management systems to determine whether or not the systems employed appropriate metadata that clearly labelled records which require restriction, captured audit trails that documented when, how and by whom records had been accessed and had the capacity to restrict access to certain records, if the records system was

3.7.2.6 United Nations Document Management Strategy Guidelines 2005

The United Nations (2005) proposed strategies to manage records in electronic formats, namely: providing on-line access to stored documents, along with tools and descriptive data to support a range of users and uses; preserving electronic documents, along with contextual and descriptive data in ways that supported their evidential value; establishing appropriate rights and restrictions on access within and outside the organization and ensuring the authenticity and integrity of electronic documents. Other strategies included implementing electronic document management systems with technology that conformed to international technical standards, to enable information exchange across organizations over time and identify the organizational entity or entities responsible for acting in a corporate capacity to ensure that high-level electronic document management requirements are met. The guidelines were applicable to both records and archives in electronic form.

3.7.2.7 The National Archives and Records Service of South Africa Records Management Guidelines 2005

According to the National Archives and Records Service of South Africa (2005), the components of a sound records management programme included the presence of a records management policy, records management procedures to support records management policy and the presence of records classification systems. Other components included the presence of a records disposition programme and providing training to registry staff to equip them with records management skills.

3.7.2.8 The PRO Records Management Guidelines 2005

According to Blake (2005), the PRO records management guidelines were applicable to both paper and electronic records and included:

- Undertaking a records audit or information survey;
- Having a set of rules for referencing, titling, indexing and security marking of records
- Establishing a tracking system to control the movement of records and

their location at all times;

- Establishing an accurate and effective retrieval mechanism to ensure records access reflects frequency of use;
- Maintaining records audit trails from capture to final disposition;
- Having procedures for the appraisal and disposition of records; and
- Developing and implementing a business contingency plan.

3.8 Summary

Chapter Three presented the theoretical foundation of the current study and a review of literature and empirical studies. The review of literature focused on management of public sector records from global and African perspectives, the impact of IT on records management, the records management situation in Kenya and document management strategies.

The key themes which arose from Chapter Three were that most records management models emerged from the records life-cycle model. The records continuum model, which formed the theoretical foundation of the study, was more encompassing, as it would be applied in paper and electronic based records management environments. Unlike North America, Europe, Australia and New Zealand, the management of public sector records in Africa, including Kenya, faced numerous challenges. The introduction of information technology had created various challenges to recordkeeping professionals. There was thus a need for them to acquire new knowledge and skills if they were to provide guidance relating to the management of electronic records.

The literature review narrowed the research problem, highlighted suitable research methodologies, provided a context for the interpretation of data and established the extent to which the research findings related to previous studies of a similar nature.

CHAPTER FOUR: RESEARCH METHODOLOGY

4.0 Introduction

Chapter Four presents the research study design. It is essential for researchers to clearly state their research method (Bless and Higson-Smith 1995; Kothari 2004:31; Burnham, Gillard, Grant and Henry 2004, Ngulube 2005a).

The planning and execution of a research project is critical to its success (Burnham, Gillard, Grant and Henry 2004:41). Kothari (2004.31) pointed out that decisions regarding what, where, when, how much, by what means, concerning an inquiry or a research study constituted a research design. Pearce (2005:55) stated that, for all disciplines, it was clear that the candidate's awareness of the importance of the method was absolutely crucial and the more sensitive a researcher was to this fact, the better the thesis was likely to be.

The key elements of a research design are: defining the population and how it was obtained, sampling procedures, instrumentation used, procedures employed in gathering and processing data and the statistical treatment of the data (Ngulube 2005a:128). The issues presented in the chapter, as part of the study research design, are the following:

- Research procedure: use of survey research ;
- Study population and justification;
- Data collection instruments;
- Pre-testing research instruments;
- Data collection procedures;
- Problems encountered during data collection;
- Processing and analysis of data;
- Research ethical considerations; and
- Evaluation of the research methodology.

The following discussion presents each of the above issues.

4.1 Research Procedure: Use of Survey Research

The present study utilized survey research to investigate records management practices in Kenya and how they impacted on service delivery in government ministries' headquarters. Survey research appeared to be a popular method among researchers, for example a study by Ngulube (2005a: 131) established that, out of 82 theses that were submitted and approved by the University of Natal during the period 1982 to 2002, the survey method accounted for 56 (69.14%) of the methods used.

Research within the library and within information science had shown a clear preference for survey research (Hernon and Schwartz 2000:117). Survey research was the most widely used data-gathering technique in sociology and the social sciences (Babbie and Mouton 2001:230; Newman 2000: 247). Survey research included methods in which participants were asked questions directly and the questions could be part of an interview schedule or a questionnaire and could be asked using one or several different procedures (Dane 1990:119).

The use of survey research in records management is documented (Fleckner 1977; Penn, Pennix and Coulson 1994; Shepherd and Yeo 2003; IRMT 1999d). Fleckner (1977:2-9) defined a records survey as a systematic procedure used by archivists, records managers and others to gather information about records not in their immediate custody. A records survey needed to cover all records, active and inactive, valuable and ephemeral, in storage and current use and in paper and other media. The IRMT (1999d) observed that a records survey provided a picture of the records and information structure of an agency and how the records were, or should be managed.

The study investigated the aspects of a records management survey, as recommended by Fleckner (1977) and the IRMT (1999d). The topics

investigated included management of records during their current, semi-current and non-current stages, the procedures for their creation, distribution, maintenance, use, retention scheduling, appraisal and disposition. Other issues included existence of a disaster and security management programme, computers applications in registry management and the factors which contributed to the current state of recordkeeping in Kenya.

The application of survey research in the study enabled the author to understand how records were managed and used, including the factors which contributed to the current state of recordkeeping in Kenya (IRMT 1999d). The study established how current recordkeeping practices impacted on public service delivery.

4.2 Study Population and Justification

One of the major steps in survey design was the definition of the population according to the survey objectives (Ngulube 2005a: 133). The target population of the study consisted of 157 registry personnel and 10 senior ministerial officers from 18 ministries and six archives personnel from the Nairobi Records Centre and the KNADS headquarters. The total study population sample size was thus 173 respondents. Initially, the plan was to carry out a survey of 24 ministries, but the number was dropped to 18 due to the problems explained in Section 4.7 of this chapter.

The list of ministries and their physical location within Nairobi was obtained from Presidential Circular No.1/205 on Organization of the Government of the Republic of Kenya (2005c), issued by the Office of the President. The researcher was familiar with the physical location of the ministries, as he had worked as an archivist with the KNADS and for the Nairobi Records Centre (1988-1990) and was involved in field survey and appraisal visits to ministry headquarters in Nairobi. The list of senior ministerial officers and registry personnel was obtained from the respective accounting officers at the time the researcher made courtesy calls on the ministries surveyed. The list of archives personnel and their respective job descriptions was obtained from

the Provincial Archivist, Nairobi Records Centre.

The justification for involving the registry personnel, senior ministerial officers and KNADS archives personnel in the current study was that registry personnel were involved in the day-to-day management of records in ministries. They were therefore in a position to provide relevant data relating to how records were managed throughout their continuum (see Appendix 1), their education and training levels and the factors which contributed to the current recordkeeping situation in Kenya.

Senior ministerial officers provided data relating to policy issues that affected recordkeeping practices in government ministries. These included the role of records management in meeting the mission, vision and core values of the ministries, records management policy, funding of registry operations and education and training of registry staff. Other data provided by senior ministerial officers related to collaboration with the KNADS, developing and implementing a records management policy, commitment to establishing and embracing a records management culture in the parent ministry and the factors which contributed to the current recordkeeping situation in government ministries (see Appendix 2).

Archives personnel from the Nairobi Provincial Records Centre and the KNADS Headquarters were involved in the study as informants. They provided data on the extent to which the KNADS had assisted registry personnel in managing their records and the extent to which existing records and archives legislation in Kenya facilitated the management of public sector records (see Appendix 3). Other data provided concerned the factors which contributed to the current state of recordkeeping in government ministries. The archives personnel involved in the study included the assistant director in charge of records management, provincial archivist-in-charge of Nairobi Record Centre, the deputy provincial archivist and three other senior archivists who were involved in the conduct of record surveys and appraisal in government ministries within the Nairobi province.

The assistant director in charge of records management was included in the study, as the officer was usually involved in records management activities within Nairobi Province and was in charge of the records management division, including record centre operations. In some cases, the officer, on behalf of the Director, of KNADS, participated in opening records management seminars and workshops and making courtesy calls on permanent secretaries, before records surveys and appraisal exercises were carried out. The provincial archivist in charge of Nairobi Province was responsible for advising record creators on best recordkeeping practices within the Nairobi Province. All the ministries surveyed fell within the jurisdiction of the Nairobi Records Centre.

4.3 Data Collection Instruments

Data collection techniques can be grouped under two categories, namely quantitative techniques, which collected data in the form of numbers, and qualitative techniques, which captured data in the form of words or pictures (Sarantakos 1993:56-57; Newman 2000:33). Atkinson and Coffey (2003: 420) advocated the use of more than one data collection method in conducting research, which they referred to as the triangulation technique. The triangulation technique enabled a researcher to use a combination of more than two methods and was thus able to capitalize on the respective strengths of the methods used, or to counteract the perceived limitations of each.

Quantitative and qualitative techniques were employed in the study to investigate recordkeeping practices in 18 government ministries. In conducting a records management survey, researchers would use any of the following data collection methods: existing documentation, direct observation, records, questionnaire and interviews (Penn, Pennix and Coulson 1994: 59; Shepherd and Yeo 2003:33-35). Data was collected by using an interview schedule, questionnaire and direct observation, which supplemented data obtained from the interviews and questionnaires.

4.3.1 Questionnaire

In using questionnaires, Dillman (2000:29) recommended the use of the Tailored Design Method (TDM). The TDM was a set of procedures for conducting successful self-administered surveys that produced both high-quality information and response rates. The most important concept underlying the TDM involved applying social exchange ideas to understanding why respondents did or did not respond to questionnaires. In the current study, questionnaires were used to collect data from registry personnel to supplement data gathered from interviews.

The advantages of using the questionnaire in survey research included allowing a wider range and distribution of samples, providing an opportunity for respondents to give frank answers and allowing greater economy of effort (Busha and Harter 1980:62). Other advantages were that questionnaires were completed at the leisure of respondents and helped to eliminate the variation in the questioning process due to its fixed format. The use of questionnaires facilitated access to a wider population of registry personnel (157), who were distributed within 18 government ministries, and greater economy of effort was realized as the researcher distributed them himself and later made follow-up visits.

Questionnaires had certain disadvantages (Kothari 2004:100). Among these were the low rate of return of the completed questionnaires, and that they are used only when respondents are educated and co-operating. The control over the questionnaire is lost once it is sent and there was the possibility of ambiguous replies or omission of replies, altogether, to certain questions. There were also difficulties in knowing whether or not willing respondents were truly representative and the method was likely to be the slowest of all.

The disadvantages of the questionnaire pointed out by Kothari (2004) were overcome in the present study in the following ways. Research endorsement was sought from accounting officers in the 18 ministries surveyed and once

research endorsement was given, the accounting officers prevailed upon registry personnel to assist in completing the questionnaires. Due to the prevailing state of recordkeeping in government ministries, registry personnel were willing to be involved in the study and hoped that it would assist in changing the negative attitude of senior ministerial officers towards records management. A covering letter was attached to the questionnaire. It explained the aim and significance of the study to respondents and how it would contribute towards enhancing recordkeeping practices in the Kenyan public sector. This helped the researcher to have a questionnaire response rate of 75%.

Some of the registry personnel had received education and training in records and archives management, or were undertaking diploma and certificate courses at the Kenya Polytechnic, Nairobi, at the time the study was conducted. They found the questionnaire useful in terms of enhancing their knowledge in records management and were therefore willing to complete it. Most respondents requested the researcher to avail them of extra copies, while others made photocopies of the instrument before completing it. The responses provided were verified by information collected from an observation checklist. Interviews conducted with senior ministerial officers. Registry personnel were required to undertake proficiency examinations before they were promoted. One of the papers they were required to pass was in records management. Registry staff thus not only asked for copies of the questionnaire, but was willing to complete it, in order to gain further records management knowledge.

No questionnaire was lost as the researcher travelled to Nairobi and passed the instruments to registry supervisors who, in turn, administered them to registry clerks and, in some few cases, the researcher personally administered them to registry clerks. After completion, respondents would hand them over to registry supervisors who kept them, awaiting collection by the researcher. The researcher thus did not experience any problem of questionnaire loss, which was given as a disadvantage by Kothari (2004).

Although the questionnaire used in the current study had 199 items (see Appendix 1), it did not affect the response rate in the study. This was contrary to the opinion of Wisker (2001:148), who warned that questionnaires should not be too long as they would get a lower response rate because people get bored and irritated and fail to complete them. Despite the questionnaire response rate attained (75%), the instrument had certain limitations. For example, some of the responses were not reliable and were contrary to data obtained from the interviews and the observation checklist (see Section 4.10, concerning the evaluation of the methodology). This concurred with the view of Kothari (2004), that one of the limitations of questionnaires as data collection tools related to the eliciting of ambiguous replies.

A typical library and information science survey cover letter failed in a number of respects, such as failure to explain the study's significance and the value of self-reported data, use of poorly duplicated cover letters and signature and failure to offer a summary of findings at the conclusion of the study (Hernon and Schwartz 1990:85). Other failures of the covering letter included the appearance of hastily written and reproduced letters and questionnaires, lack of a stamped self-addressed envelope for return and poorly written instructions for completing the instrument

To improve the response rate, the questionnaire had a covering letter (see Appendix 1) which explained the aim, objectives and significance of the study. Respondents were assured that all the information provided would be kept confidential. The researcher travelled to Nairobi to administer questionnaires on registry personnel and made follow-up visits to collect completed instruments. It was therefore not necessary to attach a stamped self-addressed envelope, as advised by Hernon and Schwartz (1994). Overall, the questionnaire elicited useful data which addressed the objectives of the study and the research questions.

Researchers needed to design effective questionnaires to improve response

rate (Berdie, Anderson and Neibuhr 1986; Bell 1987; Dillman 2000; Babbie and Mouton 2001; MacGarty and Haslam 2003). Poorly designed questionnaires did not produce reliable and valid data (Berdie, Anderson and Neibuhr 1986:3). A reliable questionnaire item was one that consistently conveyed the same meaning to all people in the population being studied, while a valid questionnaire was one that consistently stimulated accurate and relevant data.

In using questionnaires, Bell (1987:58-59) cautioned that, though the instrument was a good tool for collecting certain types of information quickly and relatively cheaply from large populations, care needed to be taken in selecting the question type, in questioning, in the design, piloting, distribution and the return of the questionnaire. In designing questionnaires, researchers needed to avoid irrelevant questions, make questions short and avoid negative and biased items (Babbie and Mouton 2001:237). McGarty and Haslam (2003:120) stipulated that questionnaires needed to have the following features: be set out clearly, avoid jargon, be easy to read, should not contain typographical errors, should not be longer than necessary, subheadings should be provided and the questions asked in a logical sequence. Dillman (2000:80-81) pointed out that it was important to think of questionnaire design as an attempt to achieve two objectives, namely to reduce non-response and to ensure reduction or avoidance of measurement error.

To gain insights into the records management topics that needed to be captured in the questionnaire, key records management textbooks were consulted, such as those by Penn, Pennix and Coulson (1994) and Shepherd and Yeo (2003), which discussed issues that affected a records management survey. Articles published in professional records and archives management journals that discussed records management surveys were consulted. Information posted on the Internet by archival scholars, archival training institutions and national archival institutions that specifically addressed records management issues were also consulted. Masters and doctoral

research undertaken in the area of records and archives management were read, to get insights into records management issues that needed to be captured in the questionnaire. Some of the research works consulted were those by Mnjama (1994), Wamukoya (1996), Abbot (1999), Keakopa (2002), Ngulube (2003), Sejane (2004) and Chachage (2005).

Formal and informal discussions with records management/information management scholars and practitioners enriched the researcher's perceptions about information that needed to be solicited by the questionnaire. Those with whom formal and informal discussions were held were the researcher's supervisors, email contacts with long serving records and archives management educators/practitioners/consultants from Kenya, Botswana and South Africa. The views received while pre-testing the instrument were factored into the final design of the questionnaire.

There were different kinds of questions used in the questionnaire, namely structured or closed-ended questions, unstructured or open-ended questions and contingency questions, also called 'filter questions and matrix questions, which share the same set of response categories, the most common being the Likert type Scale (Mugenda and Mugenda 1999:72-75). In the current study, the questionnaire for registry personnel had questions of a closed-ended and contingency nature. In terms of layout, the questionnaire had 1999 items, since it needed to be exhaustive and address all the records management topics that the study sought to investigate. It had clear instructions, was divided into sub-sections and questions were well numbered. It was divided into 15 sections and each of these addressed specific study objectives (see Appendix 1).

Sections one to eleven sought information that addressed the first objective of the study, namely determining and evaluating the strategies used for managing records during their life-cycle. Section twelve sought information that addressed the second objective of the study, namely determining the extent to which the KNADS has assisted registry staff to effectively manage

records during their entire life-cycle. Section thirteen sought information on the extent of computer applications in registry management and on the challenges that registry staff faced in managing electronic records. Section fourteen sourced data relating to the sixth objective of the study, that is, ascertaining the education and training levels of registry staff. Section fifteen addressed the seventh objective of the study, namely recommendations to improve the state of recordkeeping in government ministries. There are three ways of administering a questionnaire, according to Mugenda and Mugenda (1999:80), namely self-administered questionnaires, researcher-administered questionnaires and use of the Internet. In the study, questionnaires were given to registry supervisors, who then distributed them to registry personnel. In some instances, questionnaires were self-administered.

4.3.2 Interviews

The study used interviews to supplement data obtained from questionnaires. A personal interview (face-to-face) was a two-way conversation, initiated by the interviewer, to obtain information from a respondent (Cooper and Schindler1999:291). Adler and Adler (2003:3) pointed out that interviewing was the most widely used technique for conducting a systematic inquiry, for example among sociologists, psychologists, anthropologists, psychiatrists, clinicians, administrators, politicians and pollsters. Interviewing provided a way of generating empirical data about the social world by asking people to talk about their lives and varied from a highly structured, standardized, survey to semi-formal guided conversations, to free-flowing informational exchanges. Silverman (1993:90) opined that interviews enabled a researcher to obtain data which was valid and reliable.

Record managers would use interviews to supplement data gained from questionnaires in a records survey (Shepherd and Yeo 2003:34). Data was collected from archives personnel and senior ministerial officers with the aid of a scheduled structured interview schedule, based on an established questionnaire. The questions asked were both open and closed-ended and, before its application, the interview schedule was pre-tested. A scheduled

structured interview was based on an established questionnaire, a set of questions with fixed wording and sequence of presentation, as well as more or less precise indications of how to answer each question (Bless and Higson-Smith 1995:107).

The interview technique, as a method of collecting data, had various advantages, such as more accurate responses because of contextual naturalness; a greater likelihood of self-generated answers; a symmetrical distribution of interactive power and greater effectiveness with complex issues. Further advantages were more thoughtful responses, more accurate results, owing to lower respondent workload, better response rates; appropriateness for marginalized respondents and relevance for research involving sensitive questions (Dwivedi 1997:100; Shuy 2003:179-182). The use of the interview technique facilitated more detailed responses from senior ministerial officers and archives personnel, as it allowed for the probing of respondents. The rapport established with the interviewees enabled them to provide more reliable answers that reflected the state of recordkeeping in government ministries. All the respondents had a minimum of a primary degree qualification and therefore did not have difficulty answering questions that were posed by the researcher.

The limitations of the interview technique, pointed out by Adler and Adler (2003:156), included respondents being reluctant to be involved in interviews in the following situations: where research intruded into the private sphere or delved into some personal experience, where the study was concerned with deviance and social control and where the study impinged on the vested interests of powerful persons or in the exercise of coercion or domination. Other limitations were where the study dealt with things sacred to those being interviewed and which they did not wish profaned.

The interview technique was not costly or time consuming for the researcher, as the sample of respondents interviewed was manageable (16 respondents: 10 senior ministerial officers and six archives staff).

Appointments were sought and booked to explain the aim and significance of the study to respondents. This created the necessary rapport and support before the interviews were conducted. All the respondents were interviewed, as the study did not investigate any subjects which would have made them reluctant to participate (Adler and Adler 2003), such as their private lives, things considered to be sacred to them and deviance and social control.

Records managers needed to take into account certain guidelines when conducting interviews (Penn, Pennix and Coulson 1994:64-65). These included refusing to participate in "power games", that is, showing pride, superiority and the need to win arguments, rephrasing questions until they are understood and asking for comments and suggestions. Other guidelines included staying calm and not taking anything personally, making introductory and explanatory appointments and notifying all respondents when and where the interviews would take place.

The interview guidelines proposed by Penn, Pennix and Coulson (1994) were taken into account while conducting interviews. It was ensured that all the questions were understood by respondents before they responded and further comments and suggestions were sought from respondents through probing. The answers obtained were verified by the responses obtained from the questionnaires given to registry personnel and by the observation schedule. Introductory and explanatory appointments were made with respondents, who were informed that interviews would take place in their offices. Utmost care was taken to ensure that respondents were not interrupted when responding to questions, except in situations where they provided information that was not related to the question or where further probing was required.

The interview schedule for senior ministerial officers (see Appendix 2) sought data of a policy nature, such as the link between records management, the ministry mission, vision and core values and the presence of records management policy and budget. Others were recordkeeping and public service delivery, education, training and development of registry staff,

collaboration with the KNADS and establishment of, and commitment to, a records management culture. Interviewees were given a copy of the interview schedule to help them to follow the order of questions. The researcher ticked or indicated the answers provided in his copy of the interview schedule.

The interview schedule for archives personnel was divided into four sections (see Appendix 3). The questions posed to respondents specifically addressed the objectives of the study and the research questions. Section one required archives personnel to provide information relating to the provision of professional records management to registry staff. This section addressed the second objective of the study, which was to determine the extent to which KNADS has assisted registry staff to evolve good recordkeeping practices.

Section two asked questions about the management of electronic records. This section addressed the fourth objective of the study, which aimed to determine the extent of computer applications in records management and the resultant challenges. Section three asked questions which focused on existing records and archives legislation. This section addressed the third objective of the study, which was to determine the strengths, weaknesses and opportunities of, and threats to, the existing records and archives legislation in Kenya. Section four sought respondents' recommendations on how recordkeeping practices could be improved in government ministries. This section addressed the eighth objective of the study, which solicited respondents' recommendations and views on improving the state of recordkeeping in Kenya.

4.3.3 Observation

Although many academics had a limited opinion of observation, relegating it to a minor technique of field data collection, it was an indispensable primary source method that supplements other data collections method (Cooper and Schindler 1999:363). Allison *et al.* (1996:26) defined observation as the recording of events or circumstances in which the researcher was present. Observation usually focused on specific aspects of the events or

circumstances. Observation schedules or checklists could be drawn up to aid observation and its recording. There were two types of observation, namely participant observation and non-participant observation (Babbie and Mouton 2001:293; Kumar 2005:120). In the current study, simple observation or non-participant observation was utilized. The advantages of observation included being the only method available to gather certain types of information. Researchers collected original data at the time they occurred, capturing the whole event as it occurred in its natural environment. On-going behaviour would be recorded as it occurred. This was useful in verifying behaviour and confirming data that had been gathered from respondents (Dwivedi 1997:128; Cooper and Schindler 1999:363).

Observation technique facilitated the collection of data from the registries. All the observed data were recorded in the observation schedules and one schedule was used for each ministry. There were many ways of recording observation, for example, use of narrative, scales, categorical recording and use of mechanical devices (Kumar 2005:121). Narration was used and notes were taken as soon as an observation was made. Eight items were observed, which were within the acceptable number of 10 items to be observed in a study, as recommended by Mugenda and Mugenda (1999:92).

Data elicited by observation technique were used to compare and contrast data collected from registry personnel and senior ministerial officers. Observation facilitated the gathering of data that could not be captured by questionnaires and interviews, for example data relating to records data range, storage equipment, existence of computers and if they were networked. Researchers acknowledged the limitations of observation as a data collection tool (Kothari 2004:96; Kumar 2005:120). These included the method being expensive, information provided would be very limited and unforeseen factors could interfere with the observation method, the possibility of observer bias, the interpretation drawn from observation could vary from observer to observer and the possibility of incomplete observation and recording.

The limitations associated with the observation method as described by Kothari (2004) and Kumar (2005) were overcome in the following ways. The present study employed non-participant observation, with the aid of a checklist to ascertain the facilities and resources used in the management of records in the ministries surveyed. These included equipment used for records storage, the presence of fire-fighting equipment, the presence of records earmarked for disposal and the registry layout and design. The behaviour of registry personnel was not affected in any way, as was recorded by (Kumar 2005). Data collection took three months, that is, from June 2005 to September 2005. There were no constraints in terms of time (Kothari 2004). To ensure that the information obtained was comprehensive, an observation checklist was used which detailed items to be observed, thus overcoming the problem of incomplete observation and recording, as was suggested by (Kumar 2005).

A detailed observation checklist to assist in the observation process was prepared (see Appendix 4). The following records management issues were captured: procedures/systems used for managing records, tools for accessing and tracking records use, filing systems used, storage equipment for paper records and storage space. Others were records preservation measures, records security measures and the existence of computers in the registry. Overall, the observation technique elicited useful data, which was used to verify data obtained with questionnaire and interview schedules.

4.4 The Validity and Reliability of the Instrument

There was a need to measure the validity and reliability of the instrument when conducting a study (Birley and Moreland 1998:40-43). Dillman (2000:9-10) pointed out that, to reduce survey error, researchers needed to consider the following:

- Sampling error, that is the result of attempting to survey only some, and not all, of the units in the survey population;
- Coverage error occurred when the list from which the sample was

drawn did not include all the elements of the population,

- Measurement error occurred when respondents' answers to a survey question were inaccurate, imprecise and resulted from poor question wording; and
- Non-response error occurred when a significant number of people in the survey did not respond to the questionnaire and had different characteristics from those who did respond.

Sound measurement was needed to meet the tests of validity, reliability and practicability (Kothari (2004:73-75). Validity was the most critical criterion and indicated the degree to which an instrument measured what it was supposed to measure. For example, the extent to which a measuring instrument provided adequate coverage of the topic under study, which was usually determined by experts (content validity), extent to which the instrument was relevant, free of bias, reliable and available (criterion validity) and the degree to which scores on a test would be accounted for by the explanatory constructs of a sound theory (construct validity). McGarty and Haslam (2003:21) stressed that reliability related to the confidence that a given empirical finding could be reproduced, while validity related to the confidence that a given finding showed what it purported to show.

4.4.1 Validity

To achieve validity of research instruments, the considerations of Dillman (2000) and Kothari (2004) were considered. First, it was ensured that the research instruments were adequate in scope and coverage, by including all the issues to be investigated. The units of analysis (ministries) were not sampled and this reduced the coverage error (Dillman 2000:9). Questions posed in the research instruments covered all the aspects that constituted a records management programme, as given by Penn, Pennix and Coulson (1994:5): forms, reports and directives management, mail management, retention scheduling, vital records protection, preservation and disposal. The questions addressed the objectives of the study and focused on the active, semi-active and inactive stages of the records life-cycle (content validity).

Second, to ensure that they were reliable and free of bias (criterion validity), the research instruments were reviewed by experts (supervisors) and pre-tested. The theoretical foundation of the study was based on existing records management theory, namely the records continuum model (construct validity).

4.4.2 Reliability

To achieve reliability of the research instruments (MacGarty and Haslam 2003) and reduce survey error (Dillman 2000), it was ensured that the study population sample was broad enough. The respondents of the study included registry personnel and senior ministerial officers in the 18 ministries surveyed and data was collected over a period of three months. No constraints were thus faced in terms of time. To make sure that the research instruments produced consistent results, the questions and instructions, including the layout, were as clear as possible. Birley and Moreland (1998:42-43) stated that the reliability of research instruments was achieved by pre-testing them.

4.5 Pre-test of Research Instruments

Pre-testing has always been highly touted as part of questionnaire design (Dillman 2000:140). Pre-testing a questionnaire was intended to give the researcher an opportunity to identify questionnaire items that tended to be misunderstood by participants, or that did not elicit the information needed. Pre-testing helped in identifying poor instructions and unnecessary and missing questions. Respondents gave their general reactions to the instrument (Stilwell 1995:131) during the pre-test.

No matter how carefully a researcher designed a data collection instrument, such as a questionnaire, there was always the possibility, indeed the certainty, of errors. The surest protection against such errors was to pre-test the questionnaire in full or in part (Babbie and Mouton 2001:244). These authors recommended 10 as the minimum number of subjects that could be used for pre-testing a questionnaire. Bell (1987:65) provided examples of questions that respondents needed to be asked when pre-testing. These included the length of time it took to complete the questionnaire, if the

questionnaire was clear, if the instructions were clear, if any questions were unclear or ambiguous and if respondents objected to answering any of the questions. Others included whether or not the research topic had been covered adequately, if the layout was clear or attractive and any additional information that the respondent would want to volunteer.

In pre-testing an instrument, a researcher would rely on colleagues, surrogate respondents, or actual respondents, for the purpose of refining an instrument. The suggestions provided by respondents would be used to identify and change confusing, awkward or offensive questions (Cooper and Schindler 1999:77). The present researcher used records and archives management scholars and practitioners to pre-test the research instruments. Academics outside the field of archives and records management, such as those in the field of sociology were also used. The questions that respondents needed to be asked in a pre-test (Bell 1987) were taken into account in preparing the pre-test checklist (see Appendix 5). Some of the questions which required respondents' views were the presence of typographical errors, presence of misspelt words, whether or not vocabulary used was appropriate for respondents, if the topics in the instruments adequately covered the study objectives and the clarity of the questions. Other questions were whether or not the instructions provided were clear, if the instruments' layout was satisfactory and if there were suggestions to improve the quality of the instrument.

The pre-test of the questionnaire and interview schedule was conducted between February 2005 and April 2005. Thirteen respondents were asked to participate. They were drawn from Kenya, Botswana and South Africa. Most respondents, that is 12 (92%) out of 13, expressed their willingness to participate in the exercise, while 1(8%) declined, citing pressure of work. Those who accepted to be involved in the pre-testing exercise included five archives personnel from the KNADS and five lecturers from Moi University, Kenya (three from the School of Information Sciences and two from the Department of Sociology). Others were one senior lecturer from the

Department of Information Studies, University of Botswana, and one archival scholar/expert from the South African History Archives, University of the Witwatersrand, South Africa.

An introductory letter which explained the purpose of the study and the importance of pre-testing the instruments was prepared. Respondents from Kenya were visited at Moi University and the KNADS. The nature and importance of the study was explained to them. The need to involve them in the pre-test exercise was emphasised. Copies of the research instruments were personally administered to respondents and the researcher was asked to collect them after two weeks. Respondents who participated in the pre-testing exercise were thanked verbally when the pre-test checklists were collected.

In February 2005, email was used to contact and send research instruments and the pre-test checklist to those respondents who were located in Botswana and South Africa. By April 2005, the comments of the respondents from outside Kenya had been received. All respondents were thanked by email for agreeing to participate in the pre-test exercise.

All 12 respondents who participated in the pre-test exercise gave their comments on the suitability of the instruments. The researcher thus had a 100 % response rate. Ten (86%) of the twelve respondents reported that the instruments were comprehensive and adequately covered all the records management issues that the study sought to investigate, in line with the study objectives. Typical views from respondents on the comprehensiveness and adequacy of the instruments were as follows: "I have looked at the two questionnaires; my sense is that you have covered the full range of records management issues", "the questions are more or less exhaustive with regard to records management practices".

Four (33%) of the 12 respondents who reported that the instruments were comprehensive, and adequately covered all the records management issues,

indicated minor corrections which related to specific questions in the questionnaire and interview schedule. The comments concerned the need to clarify and simplify some concepts used in the questionnaire, such as records disposition, forms, reports and directives management, making all prints legible and making corrections to some skip questions.

All 12 reported that the instruments did not have typographical errors or words. The questionnaire font size was large enough for easy reading, topics adequately covered research questions and the 12 were happy with the flow of questions and reported that the instructions for filling in the questionnaire were clear.

Another major finding of the pre-test exercise was that two (17%) of the twelve respondents suggested that, though the instruments were comprehensive and covered all the records management issues that the study sought to investigate, there was a need to involve senior ministerial officers in the study. Senior ministerial officers would provide data on records management policy-related issues such as commitment to a recordkeeping culture, registry funding, training of registry staff and enactment and implementation of a records management policy. They felt that registry personnel were not in a position to comprehensively provide information of this nature :

aiming at registry staff misses arguably the key players in departmental records management...if you are going to test attitudes, cultures and commitments, you are going to have to get input from senior managers as well.

Some respondents commented on the length of the questionnaire for registry personnel. Three (25%) respondents felt that, although the instrument was comprehensive and adequately covered the study objectives, it was too long and needed to be trimmed.

On discussing the need to trim the questionnaire with the principle supervisor,

it was felt that a study at doctoral level required a comprehensive and formidable instrument and thus there was need to put it to test in its form. The questionnaire response rate of (75%) confirmed that the length of the questionnaire did not affect response rate.

Taking into account the views received from the pre-test exercise, and in consultation with the supervisors, corrections were made and a final version of the research instruments was prepared. Overall, the results of the pre-test indicated that the instruments adequately and comprehensively addressed the study objectives and research questions and thus provided the confidence to commence data collection.

4.6 Data Collection Procedures

Data collection took three months from June 2005 to September 2005. The researcher used different approaches in collecting data, as three instruments were used for data collection namely questionnaires, interview schedules and an observation checklist. Introductory letters were obtained from the principal supervisor and the School of Graduate Studies, Moi University, which enabled him to apply for a research permit from the Ministry of Education. The research authorisation letter (permit) from the Ministry of Education was granted on 21 March 2005 (see Appendix 7). Data collection did not, however, commence until June 2005, as it was necessary to travel to the University of KwaZulu-Natal to discuss the pre-test results and the first four chapters of the thesis.

In line with government protocol, courtesy calls were paid on the accounting officers in the various ministries, to explain the nature and purpose of the research and obtain research authorization, before giving questionnaires to registry personnel and conducting interviews with senior ministerial officers.

In the ministries surveyed, research endorsement was sought from the Office of Senior Deputy Secretary or Deputy Secretary (Administration), as they were the immediate principal assistants to the respective Permanent

Secretaries. The research permit letter from the Ministry of Education and identification card were produced for identification purpose and the aim, objectives and significance of the study were explained. The methodology adopted in the study was further explained, including those officers that would be included in the study, namely registry personnel and senior ministerial officers. The most convenient way of administering questionnaires to registry personnel was agreed upon, to minimize interrupting service delivery in the registries.

Upon completion of the initial discussions, registry supervisors and senior ministerial officers were contacted by telephone and informed about the research project. They were further requested to support the research. Registry supervisors were contacted and discussions were held with them about the aim of study, the objectives, the significance and the current state of recordkeeping in the ministries surveyed. A tour of the registries was conducted to observe the state of recordkeeping, for example how the records were kept on the shelves, how equipment was used for recordkeeping and the tools used for creation and use of files. Introductions to registry personnel were made. During such registry tours, notes were taken with the aid of the observation checklist and the recordkeeping items observed included media and records format, filing systems, storage equipment, access and retrieval tools, records security, records preservation, appraisal and retention scheduling and computer applications in records management.

Questionnaires were given to registry supervisors for distribution to registry personnel and follow-up visits were made after a period of two weeks, to check if they had been completed. Those that were duly filled in were collected from registry supervisors. In the meantime, telephone contacts were made with the supervisors, asking them to ensure that registry personnel completed the questionnaires. Subsequent follow-up visits were made to collect the questionnaires that had not been ready at the time the researcher initially visited the ministries. This process was repeated in the 18 ministries surveyed.

A good questionnaire response rate (75%) was obtained. This can be explained as follows. Once endorsement for the research was obtained from the accounting officers, registry personnel freely answered the questionnaires. Some of the registry personnel were undertaking diploma or certificate courses in records and archives management and they found the instrument useful in enhancing their knowledge on records management. Most registry personnel requested copies of the instrument, or made their own copies, before completing the questionnaire.

Texts on survey usually advised that response rates of 60% and over were necessary to ensure that the replies of those responding would give an accurate picture of the population from which they were drawn (Armstrong and Ashworth 2000:479), quoting Bowling (1997). Babbie and Mouton (2001:261) stated that a questionnaire response rate of 50% was adequate for analysis, while responses of 60% and 70% were good and very good, respectively. However, they opined that a demonstrated lack of response bias was far more important than a high response rate. The questionnaire response rate of 75% attained in the current study was considered to be sufficient for analysis.

Interview sessions with senior ministerial officers were arranged at the time courtesy calls were made on accounting officers. In most ministries, officers at the rank of under-secretary or principal personnel officer were requested to avail themselves for interview, as they were directly responsible for registries. In some ministries, training officers were interviewed, as they provided information regarding training needs assessment, training policy and whether or not ministries run courses to update the knowledge and skills of registry staff. A date was arranged and the interview sessions usually lasted between thirty minutes and one hour.

Visits were made to the KNADS to book and conduct interviews with archives personnel from the Nairobi Records Centre. Discussions with the provincial

archivist were held and the aim, objectives and significance of the study explained, including the justification for involving archives personnel from the Nairobi Records Centre in the study. The provincial archivist said that archives personnel targeted for interview sessions, including the provincial archivist, were not available for interview sessions, as they were engaged in a record survey and appraisal visits within and outside Nairobi, as part of the Government of Kenya Public Sector Reform and Development Secretariat and the Kaizen Institute Records Management Project (see Chapter Three, Section 3.5.4). In view of this, some adjustments were made regarding the application of interview technique on archives personnel. Interview schedules were left with the provincial archivist, who agreed to pass them over to the archives personnel upon their return from the field survey and appraisal visits. Most questions in the interview schedule were of a closed-ended and contingency nature. This enabled archives personnel to provide answers that fully addressed the objectives of the study.

On making follow-up visits, completed interview schedules were collected and face-to-face interview sessions, lasting an average of thirty minutes, were held with the archives personnel to clarify the responses provided in the interview schedules. It was established that the officers were busy compiling field survey reports before returning to the field to continue with the exercise. Students from the Kenya Polytechnic undertaking certificate and diploma courses in archives and records management also sought interviews with the officers, in connection with their research projects. Although the researcher intended to conduct face-to-face interview sessions with archives personnel from the Nairobi Records Centre during the first visit, these were only possible during subsequent follow-up visits, as explained above.

Although an interview session with the senior Deputy Director was sought, the officer had retired at the time the research was being conducted. A new officer had been recruited who confessed that he had not updated himself on record management activities undertaken by KNADS. The officer was therefore not in a position to provide the relevant data sought in the interview schedule. It

was not possible to interview the Director, who was out of the office on official business. Consequently, one of the Assistant Directors was interviewed and the officer provided useful data regarding records management activities undertaken by KNADS. The officer had been involved in records management surveys and appraisal work as head of Nakuru and Kisumu Record Centres and was generally conversant with records management activities undertaken by the Department.

By 15 September 2005, 157 (75%) questionnaires had been collected from registry personnel, 10 (53%) senior ministerial officers and six (100%) archives personnel had been interviewed and the observation checklist applied in 12 (63%) ministries. On 16 September 2005, the principal supervisor was contacted by email and updated on the progress made in data collection, including the questionnaire and interview response rates achieved. Permission to commence data processing and analysis was requested. On 17 September 2005, permission to commence data processing and analysis was granted and, by the beginning of October 2005, the processing and analysis had commenced.

4.7 Problems Encountered During Data Collection

In the course of data collection, some problems were experienced. In spite of having a research permit, research endorsement had to be sought from accounting officers in each ministry before conducting research. In some ministries, a brief was made to the permanent secretary for authorization, before research endorsement was given. In five ministries, audience with the accounting officers was possible, while in the remaining 13 ministries it was a tedious process, as the officers were either in meetings or out of the office on official engagements, which meant waiting for long periods before an audience was granted.

In some, a form had to be completed which requested details such as personal details, affiliated institution, purpose of visit and contact information. The form was taken by the respective secretaries to the accounting officers

who decided whether or not to grant an audience. In other cases, more than one visit was made before an appointment could be obtained. This implied that earlier appointments had to be rescheduled in some ministries, or new appointments sought, which posed a further problem, as the researcher had to again go through the tedious process of seeking meetings with the accounting officers.

In two ministries, research endorsement was denied because the permit for the research ought to have been obtained from the Office of the President. Intervention by the Ministry of Education, where the research permit was issued, was requested. A letter was issued which explained that the Ministry had the mandate to issue research permits (see Appendix 8). Despite having the letter, in one ministry research endorsement was denied, while, in another, although research endorsement was granted, the accounting officer insisted that she personally give questionnaires to registry personnel. On checking after two weeks, efforts to see the officer and establish if the questionnaires had been given to registry personnel were unsuccessful.

Registry personnel were always busy, seeking to meet the information needs of action officers and members of the public. The researcher's presence in some cases thus interfered with registry personnel providing service to action officers and members of the public. Frequent interruptions occurred, as members of the public or action officers sought assistance from registry supervisors. In view of this, practical difficulties were experienced when applying the observation checklist. Consequently, during the registry tours, observations were made on the items regarding the state of recordkeeping in the registries, as recorded in the observation checklist.

When the first visit was made, archives personnel targeted for interview in the Nairobi Records Centre were in the field conducting field surveys and appraisals. It was not possible to have face-to-face interviews with them. Interview schedules were left with the provincial archivist, who passed them to the officers to complete, when they returned from the field. On subsequent

follow-up visits, short interview sessions with the officers were held to clarify the responses provided in the interview schedules.

In the course of the author's collecting data, during the month of August, the city of Nairobi experienced riots by civil society activists, some members of parliament and members of the public, who were demonstrating against Parliament debating and voting for the Consensus Act, which would subject the proposed new constitution to a referendum scheduled for 21 November, 2005. The riots were occasioned by the acts of some sections of the government to "mutilate" and insert clauses in the new draft constitution to serve their political and economic interests. Scenes of looting and running battles with riot police within Nairobi city centre made it impossible to go to some ministries, such as the ministries of Finance and Planning and Foreign Affairs, where appointments had already been made. The appointments had to be rescheduled and this disrupted earlier scheduled appointments in other ministries.

Kenya experienced terrorist attacks in August 1998, directed at the American Embassy in Nairobi, in which many people lost their lives. The government subsequently tightened security around government buildings, particularly in ministry headquarters where the offices of top government officials, such as those of ministers and permanent secretaries, are located. Members of the public seeking government services had to undergo security checks and, in some instances, access to senior government officers was restricted, such as those that needed to be visited to provide research endorsement. Numerous checks had to be undergone, for example bags being searched, identifying oneself and recording identification details in the visitors' book at reception. This procedure was replicated in most of the ministries surveyed. It caused inconvenience, as appointments were delayed or, in some cases, it took a long time to be granted an interview.

The list of ministries that were not surveyed due to the problems encountered is provided in Section 7.4 of Chapter Seven (suggestions for further research).

Despite the problems encountered during data collection, a survey of recordkeeping practices in 18 (75%) of the targeted 24 ministries was conducted. Sufficient data was obtained from registry personnel and senior ministerial officers, who adequately addressed the study research objectives and provided the basis for the processing and analysis of the data collected.

4.8 Processing and Analysis of Data

Data analysis involved reducing to manageable proportions the wealth of data that had been collected or had become available. Identifying patterns and themes in the data and analysing the data involved both qualitative analysis, which included processes such as thematic and content analysis and quantitative or statistical analysis (Mouton 1996:161; Sapsford and Jupp 1996:228). The aim of data analysis was to transform information (data) into an answer to the original research question. Data analysis can be divided into three stages, namely coding data, entering data and cleaning data (Durrheim 2002a:47). Kothari (2004:122) stated that data analysis implied editing, coding, classification and tabulation of collected data, so that it was suitable for analysis.

Processing the data emanating from questionnaires, that is, cleaning, coding the entry and checking the accuracy, took a period of three months, from October 2005 to December 2005. The editing of completed questionnaires was done according to the order in which they were received from the ministries, while others were edited after completion of the data collection exercise. Data was edited to detect errors and omissions and to correct these when possible, to ensure that data was accurate, was consistent with other facts gathered, was uniformly entered, was as complete as possible and had been well arranged to facilitate coding and tabulation (Kothari 2004:122).

In editing data, the following were identified and corrected: wrong entries, missing entries, skip questions, illegible marks indicated against choices provided and cases where respondents ticked both answers, for example as in "yes" or "no" choices. Others included unreliable and contradictory answers,

cases where some questions were not answered by respondents and cases where respondents did not tick or provide appropriate responses from the choices provided.

Data editing was followed by data coding. Data coding transformed raw data into symbols that could be tabulated and counted (Ngulube 2003:229). Burnham, Gilland, Grant and Henry (2004:57) pointed out that once data had been collected, it needed to be coded, so that the analysis of results could take place more efficiently. SPSS version 10.0 was used for data coding. SPSS was the most widely used package for data analysis and the popularity of SPSS software was not confined to the University of KwaZulu-Natal, but was the most widely used statistical software in the academic community, throughout the world (Ngulube 2005a:138).

Some questions were not coded and data emerging from them was presented in the form of single responses or quotations. The coding of data was followed by the checking of the accuracy of data, making it suitable for statistical analysis. SPSS facilitated the generation of tables which were used to present data statistically. According to Powell (1997:184), statistical analysis indicated how many persons, objects, scores, etc., achieved each value (or fell into each category) for every variable that was measured. These calculations were known as frequency distributions and were usually reported in tables.

In the present study, frequency distribution tables were used to present quantitative data obtained from questionnaires as they were the easiest way to describe numerical data of one variable (Newman 2000:317). In using tables, the researcher indicated the title, headings (label of column and rows), the body (information offered), margins (sums of columns and rows) and explanation, which was information explaining the key features of the table (Sarantakos (1993:331).

Data of a qualitative nature obtained from the interviews was content

analyzed and, in some instances, presented in the form of frequency distribution tables. Graphs generated with the aid of Excel software were used to vary data presentation.

4.9 Ethical Considerations

Adherence to research ethics is emphasised by scholars and institutions of higher learning (Dane 1990; Cozby 2001; MacGarthy and Haslam 2003; Makhanya 2004; Moi University Research Policy Draft Document 2004; Stilwell 2005). Researchers are obliged to have knowledge of any code of ethics that applied to their research and needed to consider the main risks to research participants, namely stress, breaches of confidentiality, deception and invasive procedures (McGarty and Haslam 2003:402).

Ethical issues needed to be considered before the commencement of any research (Dane 1990:46-55). These included researchers' identity, behaviour, change in participants, considerate treatment of participants and alleviating harmful effects. Other ethical issues included retraction of consent and debriefing of participants, while ethical issues that needed to be solved after completion of the research project included anonymity and confidentiality of participants, recompensing control groups, data analysis and reporting research results. Cozby (2001:33-55) stated that the major ethical issues in research concerned stress and psychological harm, deception, informed consent, debriefing, privacy and confidentiality, degree of voluntary participation and costs and fraud.

Universities were now developing ethical codes of conduct for researchers to follow when conducting research. The Moi University Research Draft Policy Document (2004:10) stipulated that researchers needed to adhere to ethical guidelines and avoid acts of misconduct in research. These included data fabrication and falsification and plagiarism. Stilwell (2005) pointed out that the University of KwaZulu-Natal had developed an Ethical Code of Conduct for Research form, which all researchers had to complete before commencing their research and had to undertake to comply with it. The University's Higher

Degrees Office required that all proposals be accompanied by this form.

The development of codes of conduct by universities was a positive and timely move, in light of the reported cases relating to unethical conduct by researchers in institutions of higher learning. For example, one of the unethical habits researchers engaged in when conducting research was plagiarism, a major problem in many universities worldwide. Incidents of plagiarism were very common in the higher education sector in South Africa. To stop the practice, some universities had developed software to detect students who had lifted material from the Internet, while others, such as the University of Pretoria, had resorted to expelling students or preparing a "list of shame" of the guilty students and placing their names on the notice board and circulating their names widely on Internet e-mail (Makhanya 2004:1; Vadilevu 2004:1).

Related to the problem of plagiarism was fabrication of research findings, a problem perpetrated by novice researchers and top scientists. A report from Seoul, South Korea, dated 17 December (2005), stated that a top South Korean scientist and world renowned stem cell scientist, Professor Hwang Woo-suk, was accused of fabricating research findings. He acknowledged "fatal errors" in a May 2005 article published in Science Journal, which purported to show how his team created custom-made embryonic stem cells for 11 patients. Discussing the controversy surrounding Dr. Hwang Woo-suk, Henderson (2005:2-3) observed that an investigation by the Seoul National University into the work of its star professor ruled that he had fabricated key parts of a study published in May. The study apparently showed the creation of the world's first human embryonic stem (ES) cells, cloned from cells of real patients. Such cells could potentially be transplanted into patients suffering, for instance, from degenerative diseases and could be used to replace damaged tissue without risk of rejection by the body's immune system. This process, known as "therapeutic cloning", formed one of the most exciting new frontiers of medicine. After resigning in disgrace, having dashed the hopes of millions suffering from hard-to-cure diseases, the Professor offered a

"sincere apology", the Government of South Korea declared itself "miserable" and opposition parties described the news as "devastating". The Ministry of Science and Technology responded by withdrawing his funding and students wept outside the prestigious Seoul National University where he worked. Henderson (2005) observed that Professor Hwang seemed to have fallen into the trap that ended careers of other eminent scientists, some of whom were hailed as geniuses, only to turn out to be masters of fraud science. These included Sir Cyril Burt, the education psychologist, who systematically invented data to support his theories about a hereditary component in IQ. Only after his death in 1971, were doubts raised.

The present study adhered to ethical guidelines, described in Chapter One, Section 1.11 (ethical issues). In line with the existing Government of Kenya research policy, a permit was sought and granted by the Ministry of Education. This permit facilitated the granting of research authorization by accounting officers in the ministries surveyed and made it possible to administer questionnaires on registry personnel and conduct interviews with senior ministerial officers and KNADS archives personnel. The aim and significance of the study was explained to respondents who made up the study population sample, in order to obtain their consent. Respondents were assured that information collected was to be treated confidentially and used purely for research work.

Research instruments were pre-tested, to ensure that any embarrassing questions were avoided. Pre-testing of research questions ensured that research questions were specific, real, researchable, interesting to the researcher and that they encompassed the expected content and predicted the whole argument (Stilwell 2004:1-2). To avoid plagiarism, all sources cited in the study were referenced and acknowledged. According to Aitchison (1999:20), referencing enabled a researcher to distinguish between the ideas and findings of the writer and those of other people and to locate information sources that had been cited as easily and quickly as possible.

Data collected was presented and analyzed as accurately as possible. All persons who contributed to the success of the study were acknowledged. Finally, upon completion of the research, the study findings will be disseminated in the following manner, as suggested by Birley and Moreland (1998:80): publication as a chapter in a book, presentation of research findings at a conference, seminar or workshop and publication in a scholarly professional journal. The need for researchers to publish their findings was stressed by Ocholla (2000), who pointed out that universities should encourage their graduates to ensure that quality research work was published, as society was becoming increasingly dependent on research for answers to a myriad of unresolved phenomenological and ontological issues and problems that effected life, sometimes on a daily basis.

4.10 Evaluation of the Research Methodology

Research methods had to be evaluated in order to explain what information was required, how it was procured more accurately and more cheaply and how it was analyzed (Ngulube 2005a: 139). Unexpected changes to the research design, limitations of the research design, acknowledgement of the shortcomings of the execution of the study and ethical issues must be dealt with when evaluating research procedures.

In evaluating the research methodology adopted in this study, emphasis was placed on the research design. Particular attention was paid to the instruments used for data collection and their appropriateness, their successes and the challenges faced in applying the research instruments at the stage of data collection and whether the study achieved what is set out to achieve. Other issues discussed included any innovations adopted by the researcher to overcome the challenges faced in applying research instruments during field data collection and if the researcher would recommend the research methodology adopted to future researchers conducting a similar study.

Survey research, complemented with the triangulation technique, was

adopted in the study. The method proved useful, as it enabled the researcher to collect reliable and verifiable data. For example, use of questionnaires, interview schedules and observation checklists in the current study elicited data of a complementary and contradictory nature, while the observation checklist enabled the researcher to verify data obtained from interviews and questionnaires.

Even though a questionnaire response rate of 75% was obtained, some of the responses provided by registry personnel proved contrary to data obtained by the researcher through interviews with senior ministerial officers and by observation techniques. One of the problems faced in using questionnaires is that the instrument elicited data which was not accurate and reliable and which did not reflect the true picture regarding the recordkeeping situation in some government ministries surveyed. For example, there was a tendency for some registry personnel to tick all the options provided in a question, even if some of the responses were not applicable and thus were unable to provide responses to subsequent probing questions.

Some registry personnel indicated that they had fire-fighting equipment, but through observation the researcher confirmed that such equipment was not available in the registry. Other registry staff indicated that they conducted records appraisal and disposition. However, by observation, it was established that most ministries had not disposed of records which had been appraised and earmarked for destruction. The problem of inaccurate responses by some registry personnel was attributed to the fact that some respondents may have feared that providing honest responses to some of the questions would have presented a negative picture of records management in their ministries. Some of the inconsistent responses elicited by questionnaires were corrected at the data editing stage and the questionnaire provided useful data which addressed the research aim and objectives.

Although the present author recommends the use of the questionnaire to future researchers as a tool for collecting data from government employees, it

needs to be supplemented by interviews and observation. Interviews were likely to produce more reliable and verifiable data. They provided a chance for clarification of issues from respondents, unlike questionnaires. Observation techniques would enable future researchers to verify some of the data obtained from questionnaires and interviews.

In line with existing research policy of the Government of Kenya, a research permit was obtained from the Ministry of Education. Before administering questionnaires on registry personnel and conducting interview sessions with senior ministerial officers, research endorsement from accounting officers was obtained. This was necessary, as registry personnel and senior ministerial officers would not complete the questionnaires or be interviewed without the consent of their respective accounting officers. Once research endorsement was obtained, registry staff completed the questionnaires and this explained the questionnaire response rate of (75%) obtained. Future researchers conducting studies on recordkeeping/information/knowledge management practices in government ministries must consider seeking the consent and support of accounting officers if they expect to get good questionnaire and interview response rates.

In conducting research in government ministries, the researcher encountered senior officers who had not updated themselves with current government policy/circulars on research authorization. Whereas some accounting officers insisted that the research permit needed to have been obtained from the Office of the president, and not the Ministry of Education, this was contrary to Presidential Circular No. 1/ 2005 entitled "Organization of the Government of the Republic of Kenya", which transferred the research authorization function from the Office of the President to the Ministry of Education. In order to be granted research authorization, it was necessary to produce the circular to convince the officers that the research permit was issued by a competent authority, that is, the Ministry of Education. Although this facilitated the granting of research authorization, research endorsement was denied in some ministries, and these were not covered in the study.

It is recommended that future researchers intending to conduct research in government ministries be conversant with existing government policy/circulars regarding the conduct of research within the public service. Future researchers need to be in possession of the relevant circulars to use as supporting evidence in cases where research endorsement may be denied. They need to be diplomatic but assertive and be ready to argue their case with supporting evidence, particularly when dealing with senior government officials, who are generally unco-operative and not updated on current government policy. Future researchers need to seek intervention from higher authority if research is denied for unconvincing reasons.

Although face-to-face interview sessions were planned with archives personnel from the Nairobi Records Centre, this was not possible, as they were in the field conducting surveys and appraisals. The use of a scheduled, structured interview schedule, based on an established questionnaire, proved useful as the interview schedules were left with the provincial archivist, who passed them to the intended officers for completion. On follow-up visits, face-to-face interview sessions with the officers were held to clarify the responses provided.

In using the interview as a data collection tool, future researchers should anticipate situations where they are unable to locate interviewees at the time of conducting field work. They need to consider using the scheduled, structured interview technique, based on an established questionnaire, to cater for situations where interviewees are not available.

The use of the observation checklist presented some practical difficulties, for example in many cases registry personnel were busy serving clients. The presence of registry users made it unsuitable to conduct the observation, because of the interruptions and the limited space available in some registries. Registry tours conducted by registry supervisors were used to record notes regarding the issues which needed data, as was presented in

the observation checklist. Future researchers should anticipate the practical difficulties encountered in applying observation as a data collection technique. They need to be on the lookout for any opportunity that may lend itself to the application of the observation checklist, for example registry familiarisation tours. Despite the practical difficulties encountered, the observation checklist enabled the present researcher to collect data which was used to verify data obtained from questionnaires and interview schedules.

Overall, the use of the triangulation technique, that is, using more than one instrument, namely questionnaire, interview and observation, in collecting data from the government ministries surveyed, achieved what the study set out to investigate. The researcher thus recommends that future researchers consider adopting the triangulation technique when conducting studies investigating records/information/knowledge management practices within government ministries. Future researchers should be innovative in applying research instruments to facilitate successful data collection.

4.11 Summary

Chapter Four presented the research design of the study. The topics discussed included the study population and justification, data collection instruments, validity and reliability of research instruments and problems encountered during data collection. Other subjects discussed in the chapter were data processing and analysis, ethical considerations and evaluation of the research methodology.

The key themes which emerged from Chapter Four included the need for researchers to state their study research design and to ensure instrument validity and reliability. The triangulation technique enabled the researcher to address the weaknesses inherent in each of the research instruments used for data collection. Other findings were that researchers should evaluate research methodologies, in view of the problems which would arise during field data collection. Such situations called for innovativeness. Researchers should adhere to and address research ethical guidelines in their studies. The

data collected addressed the objectives of the study and the research questions, as presented in Chapter Five.

CHAPTER FIVE: DATA PRESENTATION

5.0 Introduction

Chapter Five presents data derived from questionnaires given to registry personnel and from interviews with senior ministerial officers and archives personnel from the Nairobi Records Centre and the KNADS headquarters. The chapter presents data that was derived from the use of the observation checklist (see Appendix 4). Data obtained from questionnaires (see Appendix 1) was of a quantitative nature. It was presented in graphic and tabular form. According to Kumar (2005:248, 252), tables and graphs are the most common method of presenting analysed data.

Apart from the use of tables, figures were used to vary the presentation of data. Percentages were rounded up to one decimal place. Data from interviews was content analyzed, that is, organized around themes and presented in a descriptive manner. In some cases, the phrases and terms used by respondents are indicated. Qualitative data was used to verify and complement data obtained from quantitative analysis.

Data from questionnaires, interviews and the observation checklist, addressing a particular research theme, in relation to the study objectives, are presented together. This approach enabled the researcher to collate research findings from questionnaires, interview schedules and the observation checklist. To ensure respondents anonymity, data presented was not directly attributed to any respondents, or to a specific ministry. Rather, a general picture of respondents' views was presented, as they related to the recordkeeping situation in the ministries that were surveyed.

A total of 18 (75%) ministries were surveyed out of the targeted 24 ministries (see Chapter Four, Section 4.7, for an explanation and Appendix 8 for the list of surveyed ministries). One hundred and fifty seven (75%) of the 210 registry personnel completed and returned self-administered questionnaires. Ten (53%) senior ministerial officers in the 18 ministries surveyed were interviewed, while all six (100%) archives personnel from the Nairobi Records

Centre and the KNADS headquarters were interviewed. The observation checklist was applied in 12 (63%) of the 18 ministries surveyed (see Section 4.10: evaluation of research methodology) for discussion on response rates and their adequacy.

Data is organized and presented according to the objectives of the study and the research questions (see Chapter One, Sections 1.5.2 and 1.6). The sequence of data presentation is as follows:

- Strategies used for managing records throughout the records continuum
- Kenya National Archives and Documentation Service and the management of records throughout the continuum
- Existing records and archives legislation in Kenya and the extent to which it facilitates the management of public sector records;
- Extent of computer applications in registry management and the resultant challenges;
- Professional knowledge and skills of registry personnel responsible for managing records;
- Factors that contribute to the current state of recordkeeping in government ministries; and
- Respondents' recommendations to address the issues identified and which affected records management practices.

5.1 Strategies Used for Managing Records throughout the Continuum

The first objective of the study sought to establish the strategies used to manage records throughout the continuum, as captured in items 1-163 of the questionnaire for registry staff (see Appendix 1). Data is presented under the following sub-headings:

- Ministry and registry mission statement;
- Records management policy, manual and audit;
- Registry budget;
- Records creation and use;
- Forms, reports and directives management;

- Mail management;
- Records storage;
- Records inventory;
- Appraisal and retention scheduling;
- Records disposition; and
- Vital records programme.

The following discussion presents and analyses data relating to each of the above-mentioned sub-headings.

5.1.1 Ministry and Registry Mission Statement

A mission statement is a written articulation of an organization's purpose or mission and has four elements, namely a statement of purpose, a vision, the organization core values and a statement of how it will reach its vision (Roper and Williams 1999:31). Mission statements are usually contained in an organization's strategic plan. In the current study, questionnaire items one to six sought to establish if ministries had mission statements.

Question 1 required respondents to indicate if their ministries had mission statements. All 157 (100%) registry staff indicated that their ministries had mission statements, spelt out in their respective strategic plans, covering the period 2005 to 2009. The researcher established that in the year 2003, the Government of Kenya required all ministries to prepare strategic plans, as part of wider public sector reform programmes, and they indicated the strategic objectives of each ministry, in light of their policy, legal and regulatory reforms framework. The following discussion highlights mission statements of a few ministries, namely Vice-President and Ministry of Home Affairs, Foreign Affairs and Finance. The mission of the Vice-President and Ministry of Home Affairs is to:

“...promote a just, secure and conducive social environment by rehabilitating social deviants and preserve Kenya's rich heritage and maintain public records...”

The mission statement of the Ministry of Foreign Affairs is to:

“...safeguard and promote the interests of Kenya and Kenyans through effective diplomacy...”

The mission statement of the Ministry of Finance is to:

“...pursue prudent fiscal and monetary policies and effectively co-ordinate government financial operations for rapid and sustainable development of Kenya...”

An analysis of these mission statements indicates that they focus on the core mandate of each ministry, as contained in their strategic plans. Question two required registry staff to state if their registries had mission statements and their responses are indicated in Figure 1.

Figure 1: Registry Mission Statement

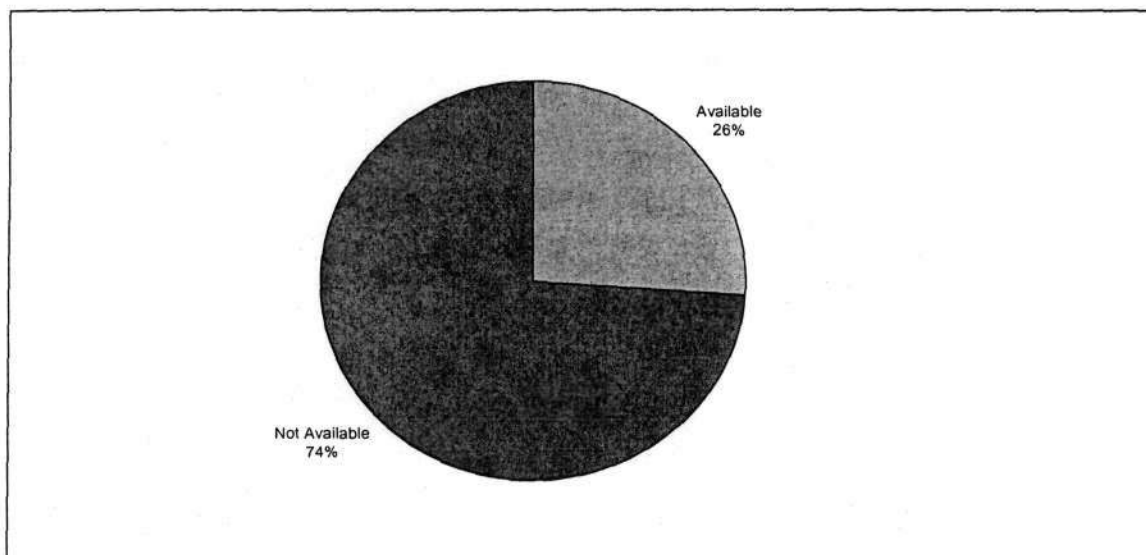


Figure 1 indicates that 116 (73.9%) respondents did not have a registry mission statement, while 41 (26.1%) had one.

This finding was contrary to data obtained by interviews with senior ministerial officers, informal talks with registry personnel and the observation checklist, which indicated that none of the registries in the ministries surveyed had mission statements (see also Chapter Six, Section 6.1.1). This was confirmed when the 41 (26.1%) respondents who claimed that they had registry mission statements did not record any responses to questions five and six (see Appendix 1), which required them to indicate the need and characteristics (true or false response) of their registry mission statements.

Interviews with senior ministerial officers, as captured in questions one and two of the interview schedule (see Appendix 2), indicated that they considered records management as being core to the attainment of their ministry's mission statements. All 10 (100%) indicated that records management was essential in the attainment of their ministry's mission, vision and core values. When asked to indicate how records management was essential in the attainment of ministry's mission, vision and core values from a list of choices provided (see question 2, at Appendix 2), senior ministerial officers provided multiple responses, as indicated in Table 1.

Table 1: Role of Records Management in the Attainment of Ministry's Mission, Vision and Core Values (n=10)

Role of records management	Number indicating role	Percentage
Enhances human resources management	8	80
Enhances auditing processes	8	80
Enhances planning process	7	70
Enhances service delivery	7	70
Enhances budgeting process	7	70
Enhances good governance	6	70

Table 1 shows that, although all ten senior ministerial officers had indicated that records management was essential in attaining their ministry's mission, vision and core values, only six (60%) out of ten indicated that records management enhanced good governance. The most cited role of records

management in the attainment of the ministry's mission, vision and core values were enhancing auditing processes and human resources management, with a score of eight (80%) each, while the least cited one was enhancing good governance, with a score of six (60%).

Some senior ministerial officers did not appreciate the role of records management in the attainment of their ministry's mission, vision and core values. Under the "other, please specify category", one of the senior ministerial officers indicated a "none of the above" response when asked to choose from the options provided in question two in Appendix 2. When the respondent was asked to justify the response, the reasons given were not convincing. This was further confirmed when the researcher asked the respondent to state if, as an action officer, he/she used records in decision-making and he/she returned a "yes" response. The researcher therefore assumed that the most probable reason for his/her response was the "negative" or low priority accorded to records management by senior ministerial officers, or lack of knowledge in records management.

5.1.2 Records Management Policy, Committee, Manual, Audit

A records management policy document provides the framework for managing records during their entire life-cycle and should be supported and mandated by senior management across the whole organization. The policy should be comprehensive, cover all activities falling within the records management function and there should be a mechanism for regular review of the policy's relevance. In this study, questionnaire items 7 to 15 sought to establish, from registry personnel, the availability of a records management policy and manual and auditing of records management practices. Respondents were asked if they had a records management policy and their responses are indicated in Figure 2.

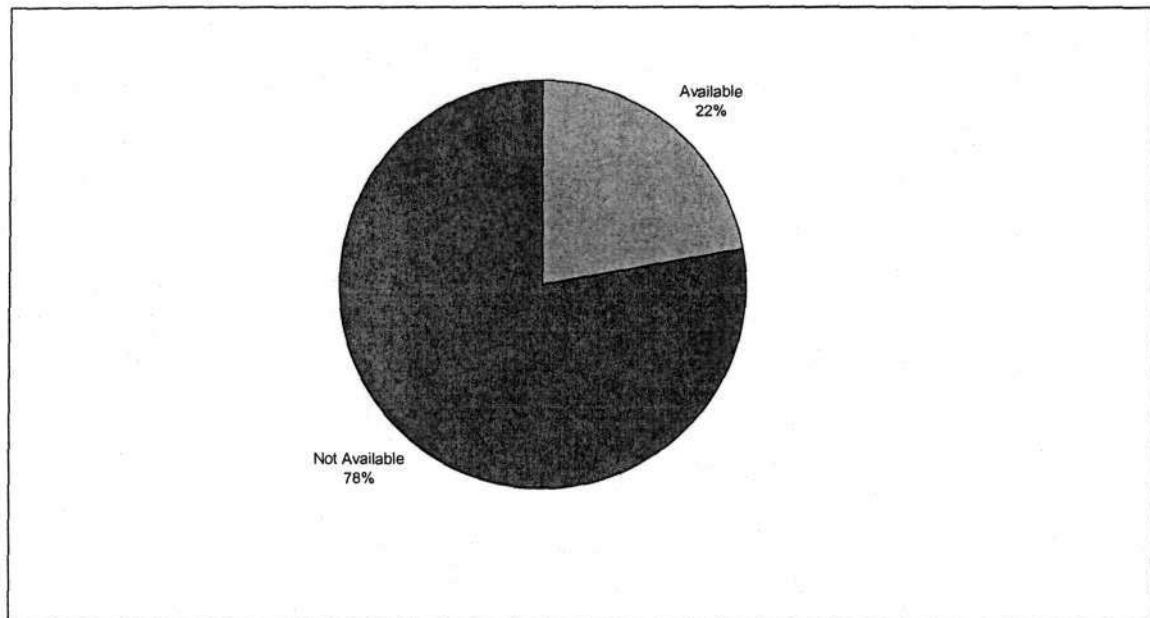
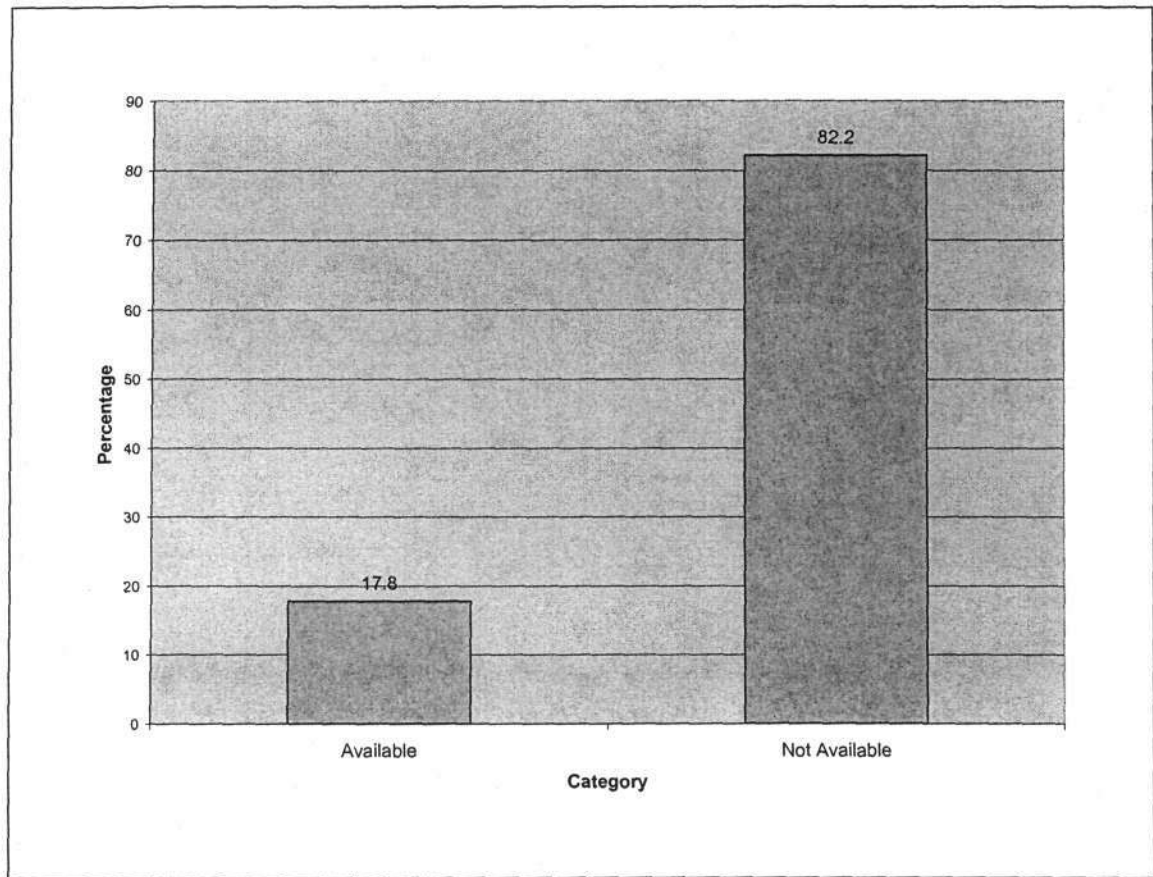
Figure 2: Records Management Policy

Figure 2 indicates that 35 (22.3%) had a formal records management policy, while 122 (77.7%) did not have one. This finding is contrary to data obtained by interviews with senior ministerial officers as captured in items three and four of the interview schedule (see Appendix 2). All 10 (100%) indicated that they did not have a formal records management policy. This was confirmed when those 35 (22.3%) respondents who claimed that they had a formal records management policy, did not record any responses, when asked to state the aspects covered in their records management policy (see question 8 in Appendix 1). When asked if they planned to enact a formal records management policy, all 10 (100%) recorded a "yes" response.

The study findings from the questionnaire survey indicate that 129 (82.2%) did not have a records management committee, while 28 (17.8%) responded in the affirmative, as indicated in Figure 3.

Figure 3: Records Management Committee

The 28 (17.8%) who indicated that they had a records management committee in their ministries were asked to indicate the members who constituted the committees from a list of options provided. They provided multiple responses, as indicated in Table 2.

Table 2: Members Constituting Records Management Committee (n=28)

Type of Member	Total number indicating member	Percentage
Permanent secretary or designated officer	28	100
Registry superintendent	28	100
Chief personnel officer or designated officer	22	78.6
Chief finance officer	15	53.6

Table 2 indicates that the most cited membership of the records management committees was Permanent Secretary or designated representative and registry superintendent, with a score of 28 (100%) each, while the least cited was Chief Finance Officer or designated officer, with a score of 15 (53.6%).

In one ministry, the researcher was informed by one of the registry supervisors that, although the Permanent Secretary had formed a records management committee, headed by a deputy secretary, the officer had not convened any meetings, as he complained that:

“...the Permanent Secretary only gave him the responsibility of chairing committees, such as the records management committee, where no allowances were paid...”

The 28 (17.8%) respondents who claimed that they had records management committees were asked to indicate the main functions of the committees. All did not record any responses, perhaps an indication that the committees were in the process of being formed, or had not become operational, as noted above by one of the registry supervisors.

A registry procedures manual outlines procedures and practices for managing records, from the stage of creation to final disposal. When asked if they had a registry procedures manual, respondents' views were as indicated in Figure 4.

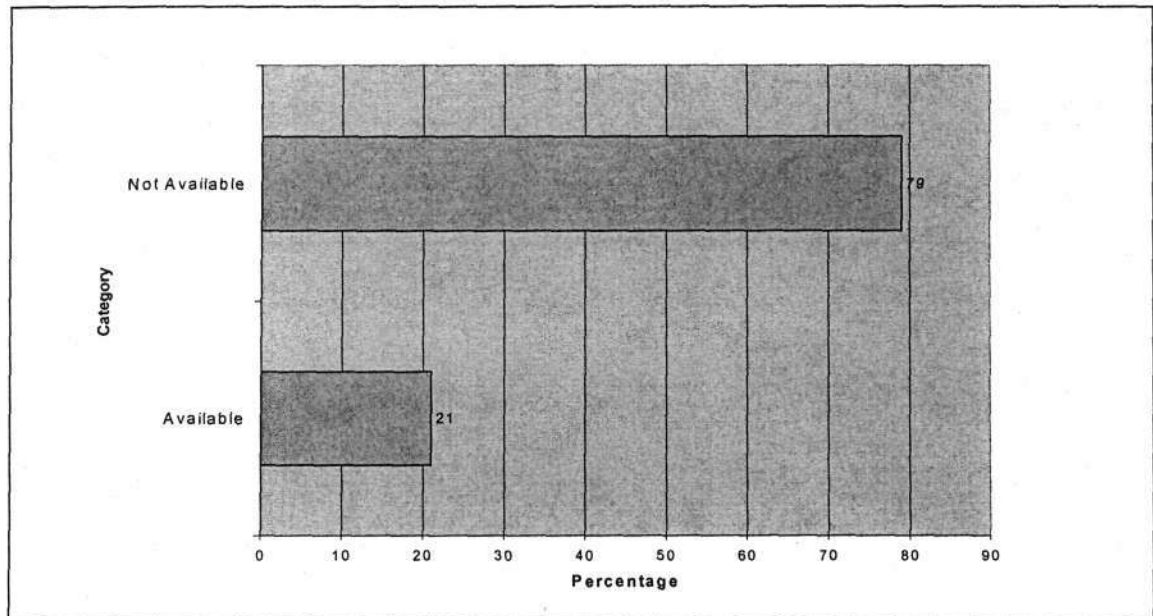
Figure 4: Registry Procedure Manual

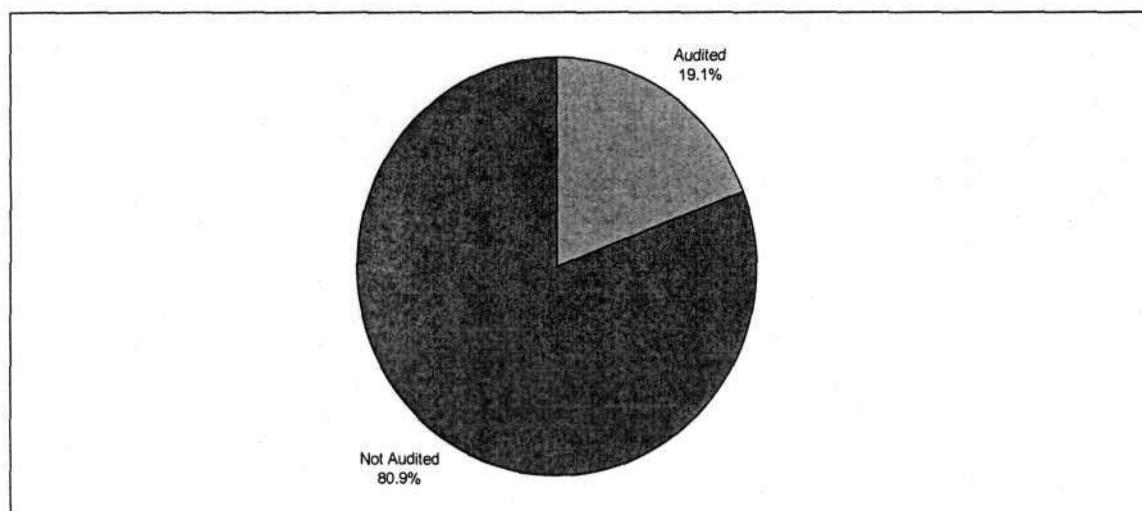
Figure 4 indicates that 124 (79%) of the respondents did not have a registry procedures manual, while 33 (21%) responded in the affirmative. The 33 respondents who indicated that they had a registry procedures manual were asked to indicate the need for the registry procedures manual from a list of choices provided (see question 10 at Appendix 1). They provided multiple responses, as indicated in Table 3.

Table 3: Need for a Registry Procedures Manual (n=33)

Need	Number indicating need	Percentage
Ensure retrieval efficiency	25	75.8
Enhance service delivery	25	75.8
Meet government statutory requirements	21	63.7
Ensure valueless records are disposed of	19	57.6
Ensure records accessibility	19	57.6
Outline procedures and practices for records management from creation to disposal	19	57.6
Ensure records security	11	33.3
Ensure preservation of records with long term-value	11	33.3

Table 3 indicates that the most cited need for a registry procedures manual was ensuring retrieval efficiency and enhancing service delivery, with a score of 25 (75.8%) each, while the least cited need was ensuring records security and the preservation of records with long-term value, with a score of 11 (33.3%) each.

Auditing ensures efficiency of a records management system at the creation, distribution, maintenance and use, appraisal and disposition phases. One hundred and twenty seven (80.9%) respondents indicated that records management practices were not audited in their ministries, while 30 (19.1%) provided a "yes" response, as indicated in Figure 5.

Figure 5: Auditing Records Management Practices

When the 30 (19.1%) respondents who claimed that they audited records management practices in their ministries were asked the purpose of the records management audit exercise, they did not record any responses, perhaps an indication that their responses were not genuine. Furthermore, 124 (79%) did not have an internal records management audit checklist while 33 (21%) indicated that they had it. When those 33 (21%) respondents who claimed that they had an internal records management audit checklist were further asked to state the areas covered in the internal records management audit checklist, no responses were recorded from them, perhaps a further indication that their responses were not genuine.

5.1.3 Registry Budget

To achieve its responsibilities and objectives, a records management programme needs to be resourced and one aspect of resourcing is budgeting. Questionnaire items 16 to 19 sought to establish if registries were allocated dedicated budgets and whether or not registry staff experienced any problems due to the nature of registry funding. When asked if registries were allocated their own budget, responses were as indicated in Figure 6.

Figure 6: Allocation of a Dedicated Budget to Registry

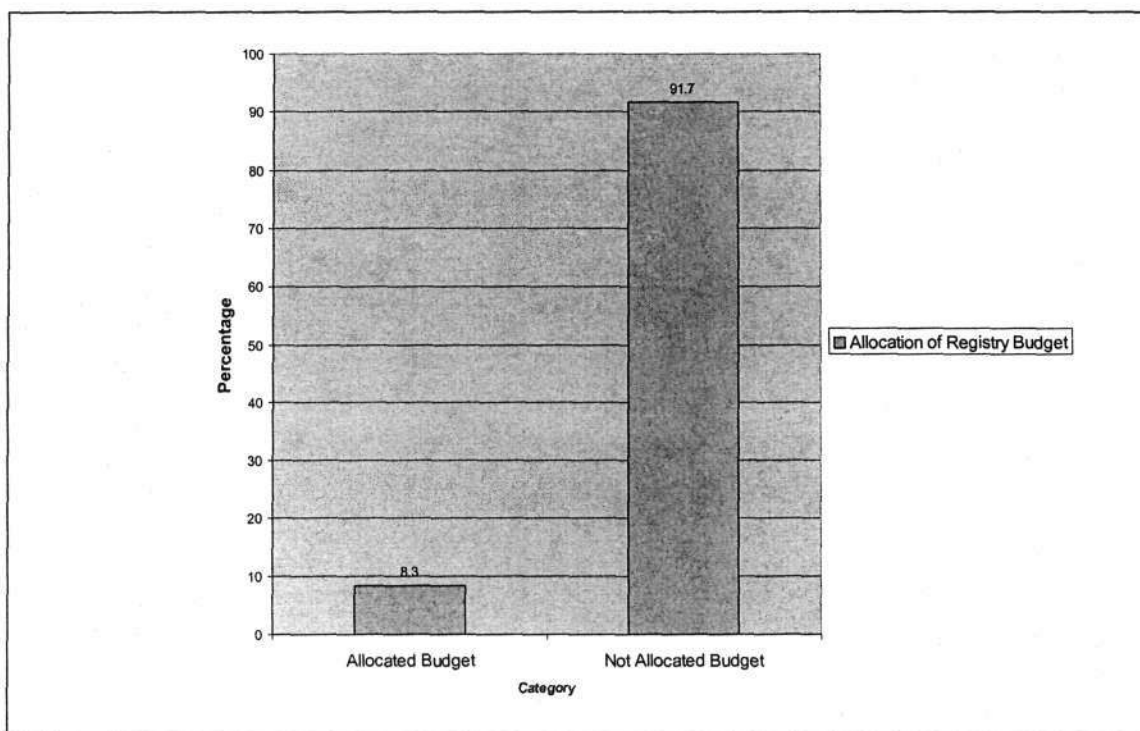


Figure 6 shows that 144 (91.7%) of the respondents indicated that registries were not allocated their own budget, while 13 (8.3%) replied in the affirmative.

This finding is contrary to data obtained from interviews with Senior Ministerial Officers, as captured in questions five, six and seven of the interview schedule (see Appendix 2). All 10 (100%) Senior Ministerial Officers indicated that registries were not allocated their own budgets. In view of this, respondents were asked to indicate how registries funded their operations. Typical responses by Senior Ministerial Officers on the issue of registry funding were as follows;

“...in this ministry, registries are funded from the central administration vote...”

“...personnel in the registry are funded from the personnel department vote, while central and secret registries are funded from the central administration vote...”

"...in our ministry, registries fund their operations from general funds and maintenance vote..."

"...registries fund their operations through miscellaneous vote, which is hardly enough to cover records management expenses..."

"...registries are funded along with other office operations..."

When asked to state if they experienced particular problems due to the nature of registry funding, all 157 (100%) registry staff gave a "yes" response. Respondents were asked to indicate their views on the state of registry funding in their ministries (see question 17 in Appendix 1) and their multiple responses were as indicated in Table 4.

Table 4: Registry Personnel Views Regarding the State of Registry Funding (n=157)

State of registry funding	Number indicating a true response	Number indicating a false response
Status quo remained	6 (3.8%)	151 (96.2%)
Registry funding adequate	9 (5.7%)	148 (94.2%)
Increased over the last five years	13 (8.3%)	144 (91.7%)
Decreased over the last five years	22 (14%)	135 (86%)

Table 4 indicates that most registry personnel indicated a false response when asked to indicate if registry funding was adequate or had increased over the last five years, or decreased over the last five years, or status quo remained.

Senior ministerial officers were asked to indicate the state of registry funding over the last five years from the list of options provided in question 7 in Appendix 2 and their responses were as indicated in Table 5.

Table 5: Senior Ministerial Officers' Views Regarding the State of Registry Funding (n=10)

State of Funding	Frequency		Percentage	
	Yes	No	Yes	No
Registry funding increased	-	10	-	100
Registry funding decreased	-	10	-	100
Registry funding not increased or decreased (status quo)	3	7	30	70
Registry funding inadequate	6	4	60	40
Registry funding adequate	1	9	10	90

Table 5 indicates that all senior ministerial officers reported that registry funding had not increased or decreased, with a score of 10 (100%) each, while six (60%) answered that registry funding was inadequate. Only one (10%) respondent indicated that registry funding was adequate.

When asked to indicate if they faced particular problems due to the state of registry funding, all 157 (100%) recorded a "yes" response. Registry personnel were probed to state the nature of problems they encountered due to the state of registry funding from a list of choices provided (see question 19 at Appendix 1). Their multiple responses were as indicated in Table 6.

Table 6: Problems Faced due to State of Registry Funding (n=157)

Problem faced	Number indicating problem	Percentage
Inability to purchase appropriate storage equipment	121	77.1
Inability to purchase sufficient supplies	97	61.8
Inability to educate and train staff	73	46.5
Inability to provide adequate registry services	67	42.7

Table 6 indicates that the most cited problem was the inability to purchase appropriate storage equipment, while the least cited problem was inability to provide adequate registry services.

5.1.4 Records Creation and Use

One important phase of the life-cycle of records is records creation. Elements of records creation include: presence of an adequate system to document the activities for each business unit; records of each business activity are sufficiently complete and accurate to facilitate audit of any aspect of the business and protect the rights of the organization and employees; and records are arranged in a system to enable the authority to obtain maximum benefit from the quick and easy retrieval of information. Questionnaire items 20 to 49 sought data regarding records creation (see Appendix 1).

5.1.4 Policy for Creating Paper Records

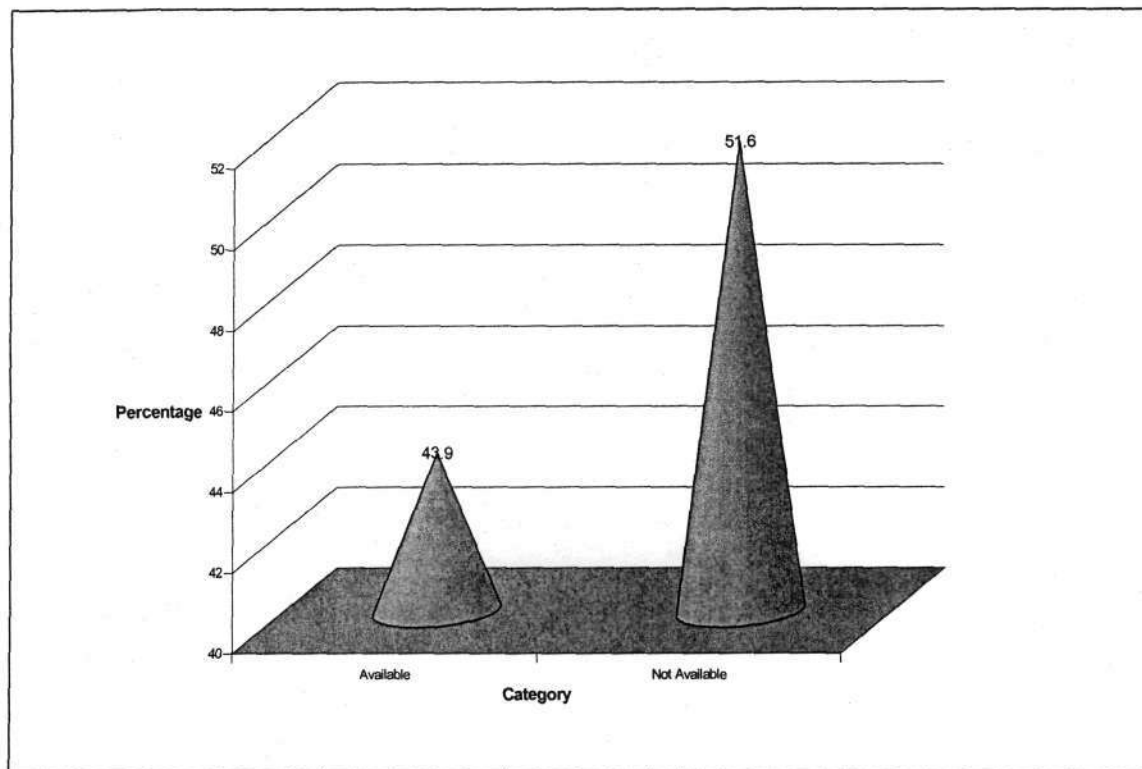
Registry personnel engage in various duties. Respondents were asked to tick the duties they performed, from a list of options that was provided (see question 20 in Appendix 1). Their multiple responses are as indicated in Table 7.

Table 7: Duties Performed by Registry Personnel

Duty	Number indicating duty	Percentage
Closing files	157	100
Receiving and opening files	157	100
File classification	151	96.2
File indexing	151	96.2
File storage	151	96.2
Tracking file use	151	92.2
File distribution	142	90.4
Studying users' needs	108	68.8

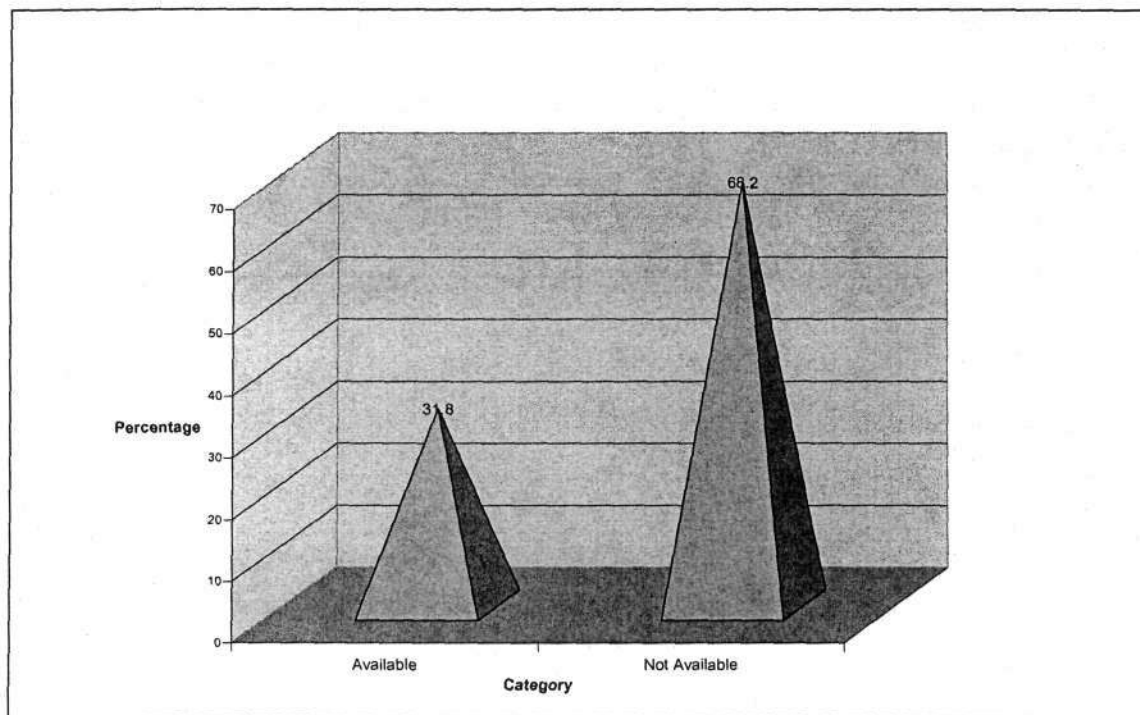
Table 7 shows that the most cited duties were receiving and opening files and closing files, with a score of 157 (100%) each, while the next most cited duty was file classification, indexing and file storage, with a score of 151 (96.2%) each. The least cited duty was studying user needs, accounting for 108 (68.8%) respondents. Although registry personnel duties would normally vary from registry to registry, depending on its size and assignment of duties and job descriptions, the present finding seems to suggest that registry personnel choose more than one duty, perhaps an indication that they had performed these duties in the course of their deployment in the registry.

When asked if they had a policy for creating paper records, 69 (43.9%) of the respondents said "yes" and 88 (56.1%) said "no", as indicated in Figure 7.

Figure 7: Policy for Creating Paper Records

When asked if the policy was in written form, among those 69 (43.9%) who indicated that they had a policy for creating paper files, 27 (39.1%) said "yes" and the remaining 42 (60.9%) gave a "no" response. Respondents were asked to state if they had a list of activities that constituted the basis for records creation. The findings of the present study indicate that 107 (68.2%) respondents did not have a list of activities that constituted the basis for records creation, while 50 (31.8%) had one, as indicated in Figure 8.

Figure 8: List of Activities Constituting the Basis for Records Creation



When asked to state the criteria used to create files from a list of choices provided (see question 24 in Appendix 1), responses varied, as indicated in Table 8.

Table 8: Criteria Used to Create Files (n=157)

Criteria	Frequency	Percentage
Precedent	84	53.5
Colleagues	38	24.2
Registry supervisor	30	19.1
Own initiative	5	3.2
Total	157	100

Table 8 shows that the most cited criterion used in creating files was precedent, with a score of 84 (53.5%), followed by use of colleagues, with a score of 38 (24.4%). None of the respondents cited the use of records management literature. Data obtained from the observation checklist

revealed that ministries created vast volumes of records, depending on their functions. The first item for observation was the quantity of records created, including the medium of creation in the various registries (central, personnel and secret). It was established in the 12 ministries where the observation checklist was applied that the main medium for records creation was paper. Table 9 indicates the estimated number of records in 10 ministries, mainly from the central and personnel registries. The covering dates for records in the Ministry of Co-operative Development and Marketing are not indicated, as the researcher was unable to get the information.

Table 9: Estimated Amount of Records Created in the Ministries

Ministry	Central Registry	Personnel Registry	Estimated Total	Covering Dates
Office of the President	500	17 000	17 500	1965-2005
Roads and Public works	7 910	6 800	14 710	1950-2005
Co-operative Development and Marketing	10 000	1 022	11 022	-
Livestock and Fisheries Development	400	6 000	6 400	1968-2005
Environment and Natural Resources	400	4 483	4 833	1969-2005
Gender, Sports, Culture and Social Services	600	3 000	3 600	1972-2005
Agriculture	3 000	-	3 000	1947-2005
Trade and Industry	400	1 600	2 000	1981-2005
Energy	500	-	500	1980-2005
Justice and Constitutional Affairs	219	280	499	1971-2005

As was to be expected, some ministries had a higher estimated number of files than others. For example, the Office of the President had an estimated 17000 personnel files compared to the Ministry of Justice, with 280 files. It was established that the Office of the President had an estimated 9000 semi-active files. This disparity is a result of the functions of each ministry; those ministries with many functions created more files than those with lesser functions. For example, Presidential Circular No.1/2005 on Organization of the Government of the Republic of Kenya, May 2005, indicated that the Office of the President had 44 functions, compared to the Ministry of Justice and Constitutional Affairs, which had 12 functions.

The observation checklist revealed that registry staff did not have the figure for the exact number of active, semi-active and non-active files in the central, personnel and secret registries. For example, although the Office of the President had an estimated 17500 files, mainly from the central and personnel registries, registry personnel were not in a position to indicate how many of these files were in the active, semi-active or non-active stages. This situation was replicated in the other ministries that were surveyed. The researcher observed that the data range (oldest and latest files available) in the 10 ministries where observation was applied as a data collection technique, differed from ministry to ministry, as shown in Table 9.

When asked to indicate the information included when creating files, all 157 (100%) respondents cited unique identifier number, source and content and none of the respondents cited physical form or links to other, related records. This finding generally reflected the normal practice in creating files and each file was allocated a unique number that reflected the ministry where it was created, its broad subject and class within subject. For example, a file titled EDU/FIN/1/3 would mean that EDU stood for the Ministry of Education (source), FIN represented finance matters, 1 stood for budgetary allocations and 3 represented primary schools(unique identification number).

When asked to indicate the subject title of the records they created, respondents indicated all the choices provided (see question 26 in Appendix 10), namely finance, personnel, administration and policy files. These would reflect the range of activities of ministries when providing service to the public, as well as the range of registries that would be found in the ministries. It would appear that, in choosing the subject title of records created, respondents did not restrict themselves to the subject titles of files created in their registries, but rather to the ministry as a whole. They thus ticked all the choices provided.

5.1.4.2 Classification Schemes

Classification is the process of assigning records to their appropriate place within a logical arrangement, enabling them to be identified (Griffin and Roper 1999:37).

When asked if they had written classification schemes, responses varied, as shown by Figure 9.

Figure 9: Availability of Written Classification Schemes

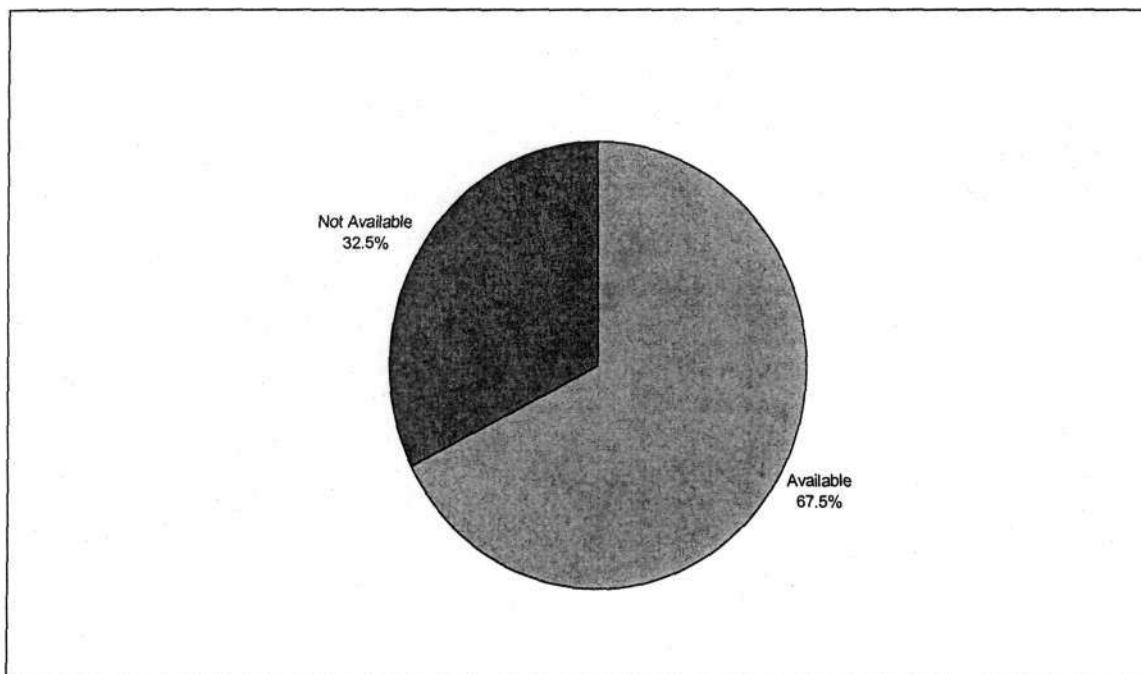
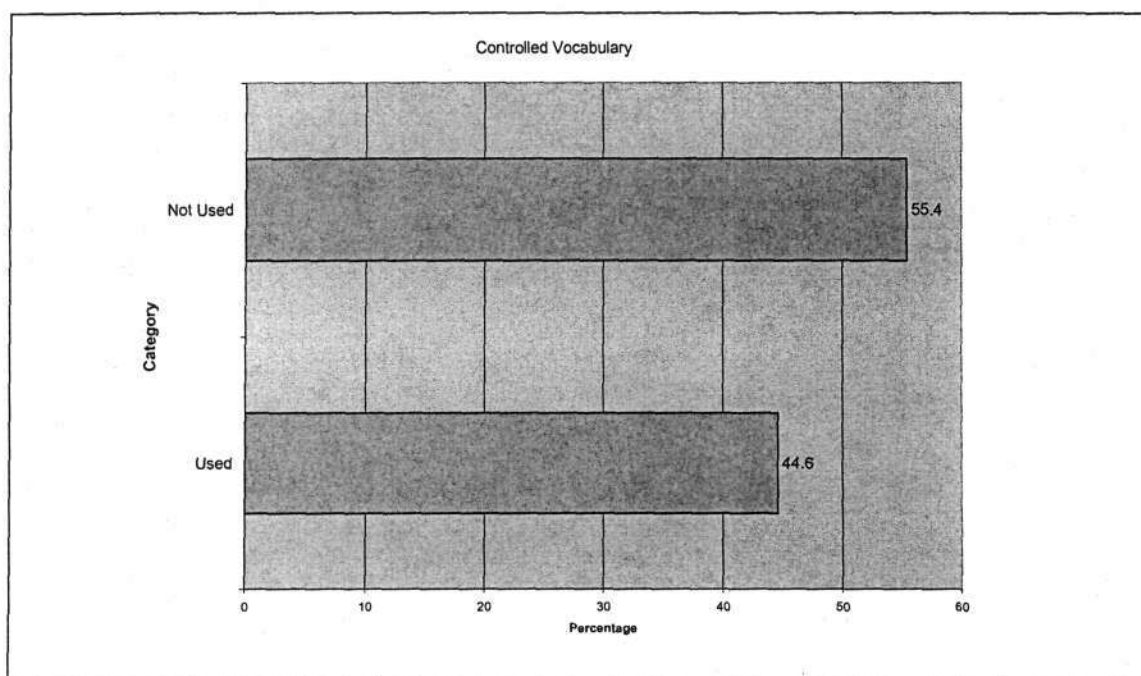


Figure 9 shows that 106 (67.5%) respondents had written classification schemes, while 51 (32.5%) did not have written classification schemes. The findings of the study indicate that 70 (44.6%) used a controlled vocabulary when classifying files, while 87 (55.4%) did not use a controlled vocabulary, as indicated in Figure 10.

Figure 10: Use of Controlled Vocabulary



The 70 (44.6%) who indicated that they used a controlled vocabulary were asked to indicate the reason for using a controlled vocabulary, from a list of alternatives provided. Twenty-one (13.4%) cited the need to limit words used, 14 (8.9%) to avoid overlap of words used, while 35 (22.3%) cited the need to speed file retrieval.

Data obtained through the observation checklist (see item 2 in Appendix 4) revealed that, in the majority of the ministries, the classification schemes available were handwritten and some were in a state of deterioration, that is, they were faded, worn out and torn. Contrary to the study findings, which indicated that 70 (44.6%) of respondents used a controlled vocabulary, the researcher observed that none of the registries used a controlled vocabulary. This was confirmed when registry personnel were asked to indicate (see question 31 in Appendix 1) their views regarding the development and use of controlled vocabulary in their registries. Their multiple responses are given in Table 10.

Table 10: Registry Personnel Views on the Development and Use of Controlled Vocabulary (n=157)

Development and use of controlled vocabulary	Number indicating a true response	Number indicating a false response
Keywords examined to establish identifiable gaps	34 (21.7%)	123 (78.3%)
Reviewed to remove redundant words	47 (30%)	110 (70%)
Appropriate terms identified	49 (31.2%)	108 (68.8%)
New subjects included	52 (33.1%)	105 (66.9%)
Cross reference and linkage to terms made	58 (36.9%)	99 (63.1%)
Index terms arranged alphabetically	58 (36.9%)	99 (63.1%)

Table 10 shows that most respondents indicated a false response regarding all the choices provided on the development and use of controlled vocabulary. When asked to indicate the system of filing records used, all 157 (100%) registry staff cited the alphanumeric and numeric filing classification systems.

Data regarding filing classification systems used in the surveyed ministries was captured through the use of an observation checklist (see Item two in Appendix 4). It was observed that central registries mainly used an alphanumeric filing classification system. The numeric filing system was used in some ministries, for example, the Ministry of Co-operative Development and Marketing used it to file co-operative society files. However, personnel registries used numeric filing system for all ministry employees.

Registry personnel were asked to indicate the state of file classification systems in their ministries (see question 33 in Appendix 1) and their multiple responses varied, as shown in Table 11.

Table 11: Nature of File Classification Systems (n=157)

Nature of current file classification system	Number indicating a true response	Number indicating a false response
Backed by procedures manual	38 (24.2%)	119 (75.8%)
Complete	50 (31.8%)	107 (68.2%)
Prone to automation	52 (33.1%)	105 (66.9%)
Fully documented	67 (41.7%)	90 (57.3%)
Supports organizational requirements	70 (44.6%)	87 (55.4%)
Updated	98 (62.4%)	59 (37.6%)
Easy to understand	137 (87.3%)	20 (12.7%)

Table 11 shows that 137 respondents gave a "true" response when asked if file classification schemes were easy to understand. The majority of registry staff recorded a "false" response when asked if classification schemes were backed by a procedures manual, were complete, could be easily automated, were fully documented and supported organizational requirements.

5.1.4.3 Records Access, Finding Aids and File Tracking

Records are kept so that they can be made available to authorized users when required. When asked to indicate the methods used by action officers to request files, registry personnel responses were as given in Figure 11.

Figure 11: Methods Used by Action Officers to Request Files

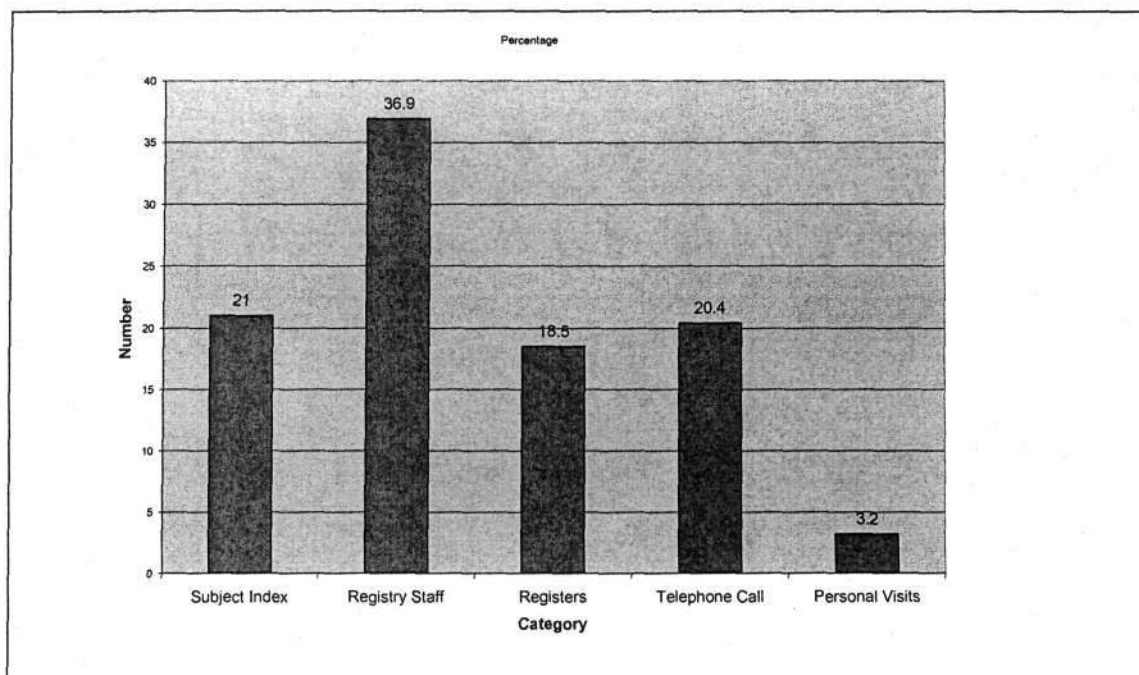


Figure 11 shows that the most cited method was use of registry staff, while the least cited method was personal visits. These findings suggest that action officers used a combination of methods to request files.

Registries use various finding aids to access information, upon request. When asked to indicate the finding aids available in their registries, respondents multiple responses answered that they used more than one finding aid, as shown in Table 12.

Table 12: Finding Aids Available in the Registry (n=157)

Finding aid available	Frequency	Percentage
Subject index	144	91.7
Subject list	58	36.9
Subject register	93	59.2

Table 12 shows that most respondents cited the subject index as the most widely used finding aid, while the least cited finding aid was the use of subject list , accounting for 58 (36.9%) of the respondents. All 157 (100%)

respondents indicated that they tracked records. Respondents were asked to state why they tracked the use of records and their responses were as illustrated in Figure 12.

Figure 12: Reasons for Tracking Records Use

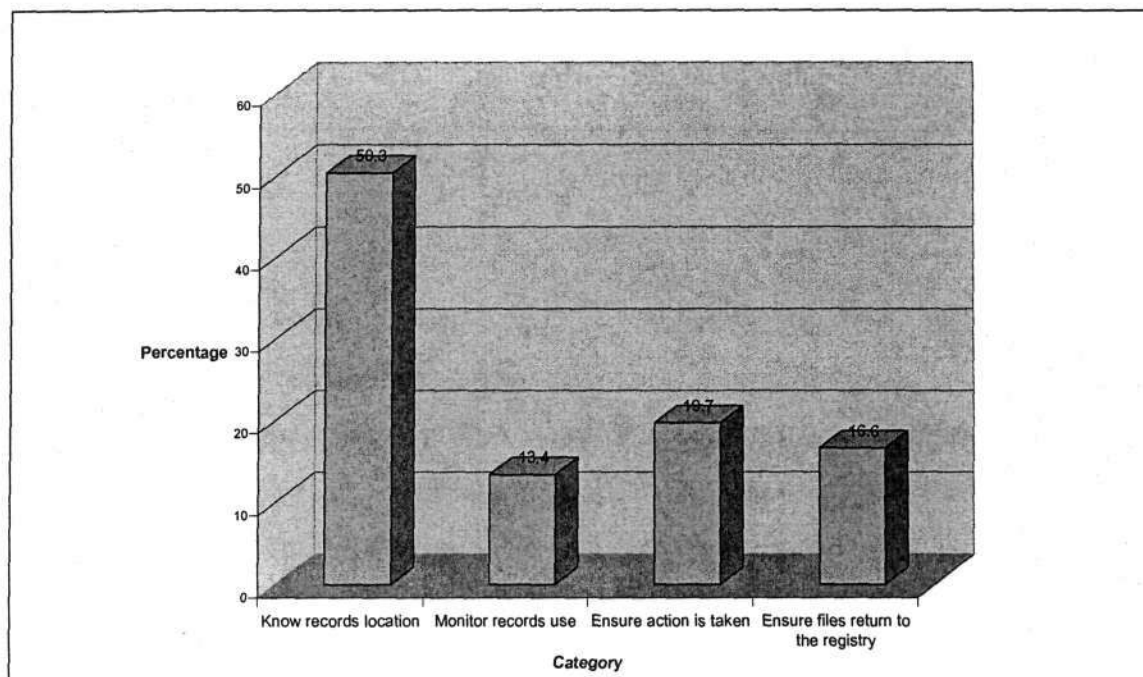


Figure 12 shows that the most cited reason for tracking records was knowledge of records location, while the least cited reason was to monitor records use.

The findings of the study indicated that 120 (76.4%) respondents cited the file tracking register as the tool widely used to track records, while the remaining 37 (23.6%) cited use of a file tracking register and physical checking of files.

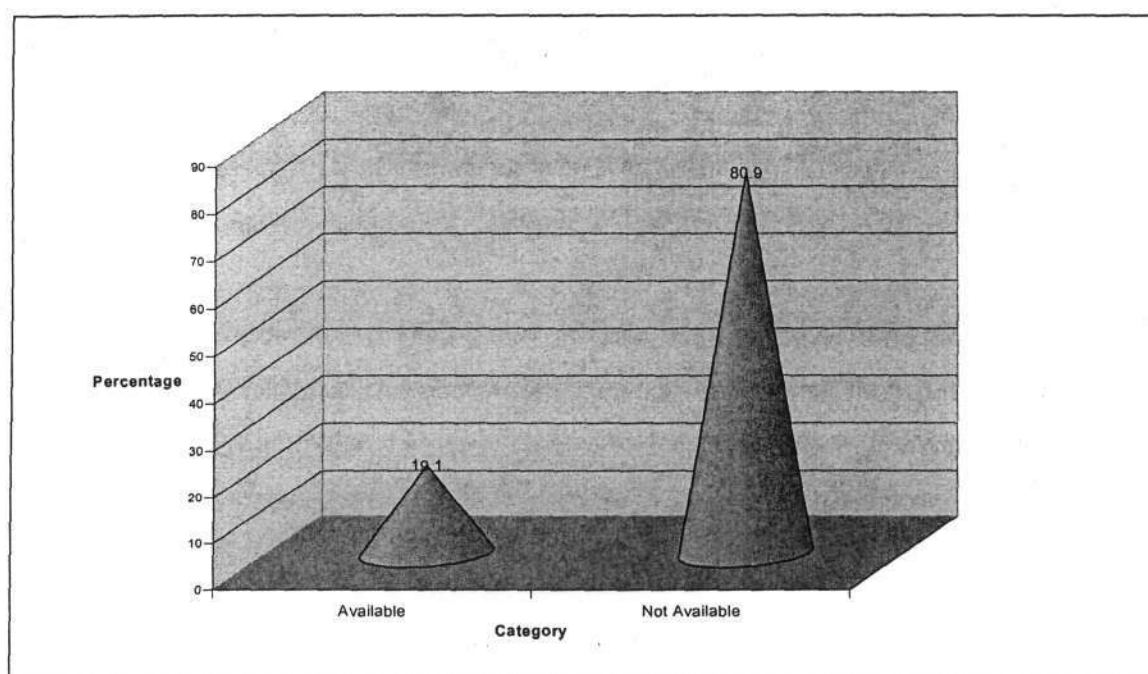
These findings were confirmed by data collected using the observation checklist (item four at Appendix 4). It was observed that the file movement register was the most widely used tool to track the use of records by action officers in the ministries. A sample of a file movement register obtained by the researcher from one of the Ministries had the following columns:

- File serial number;

- File title;
- File reference number;
- Name of action officer requesting file;
- Date file taken;
- Initials of action officer receiving file; and
- Date file returned to the registry.

Registry personnel were asked to indicate if they had procedures governing file tracking. One hundred and twenty seven (80.9%) respondents indicated that they did not have procedures governing file tracking, while 30 (19.1%) had procedures governing file tracking, as depicted in Figure 13.

Figure 13: Procedures Governing File Tracking



Respondents were asked if they established the information needs of registry users and their responses are shown in Figure 14. When the 30 (19.1%) respondents who indicated that they had procedures governing file tracking were asked to state the aspects of file tracking and the procedures covered,

no responses were recorded from them. This was perhaps an indication that their claim was not valid.

Figure 14: Establishing Information Needs of Registry Users

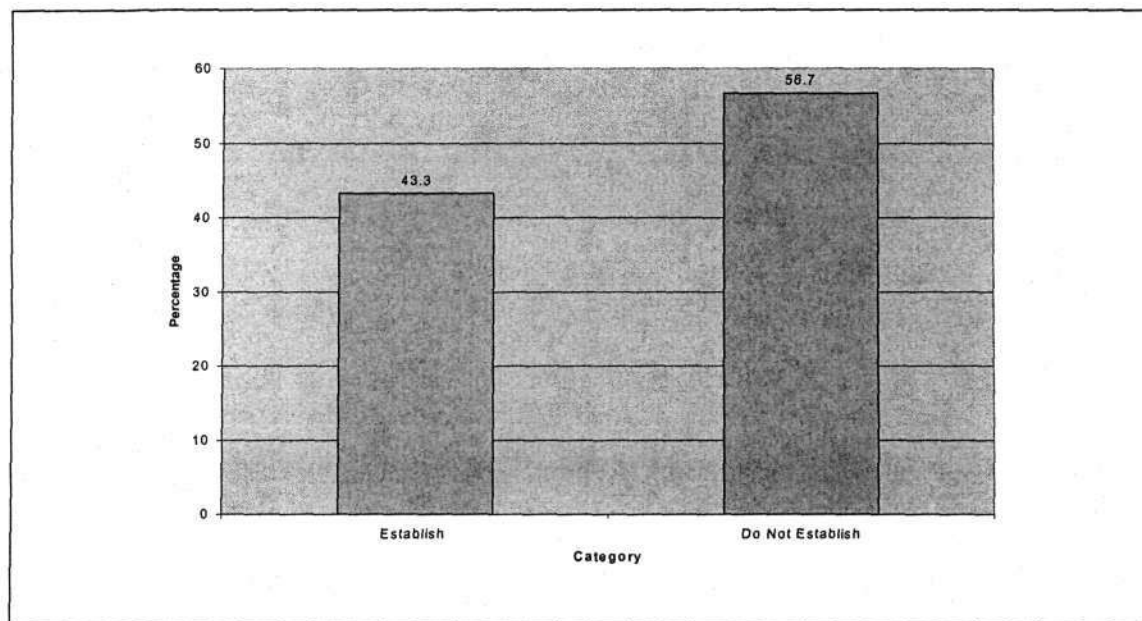


Figure 14 shows that 68 (43.3%) of the respondents established the information needs of users, while eighty-nine (56.7%) did not. This finding is contrary to data obtained from interviews with senior ministerial officers and informal conversations with registry staff, who indicated that registry staff did not establish the information needs of users.

The 68 (43.3%) were probed to indicate the methods used to determine the information needs of users. Thirty (44.1%) of the 68 respondents used interviews. Thirty-eight (55.9%) reported the use of informal conversations. None of the respondents indicated the use of questionnaire or newsletter.

All 157 (100%) registry personnel indicated that they faced problems in providing access to records. Asked to state the problems faced in providing access to records, from a list of options provided (see question 44 in Appendix 1), respondents provided multiple responses, as given in Table 13.

Table 13: Problems Faced in Providing Access to Records (n=157)

Problem faced	Number indicating problem	Percentage
Action officers retain files	152	96.8
Users know little about registry operations	131	83.4
Files are bulky	108	68.8
Registry staff lack training	102	65
Files torn and dusty	92	58.8
Mix up of active and inactive files	89	56.7
Poor registry layout	72	45.9
Registry staff do not understand users needs	72	45.9

Table 13 shows that the most cited problem in providing access to records was action officers retaining files, while the next most cited problem was users knowing little about registry operations. The least cited problems were poor registry layout and registry staff not understanding user needs.

Although respondents cited poor registry layout as one of the least problems faced in providing access to records, this finding is contrary to data obtained from the observation checklist (see Section 5.1.7.1), which indicated that in the majority of ministries where the observation checklist was applied, registry layout was poor and not secured. This compromised service delivery and the security of records.

5.1.4.4 Registry Performance Measurement

Each public authority should ensure that it has in place a scheme to monitor performance of its records management system. When asked if registry personnel conducted performance measurement of registry services provided to clients, responses were as illustrated in Figure 15.

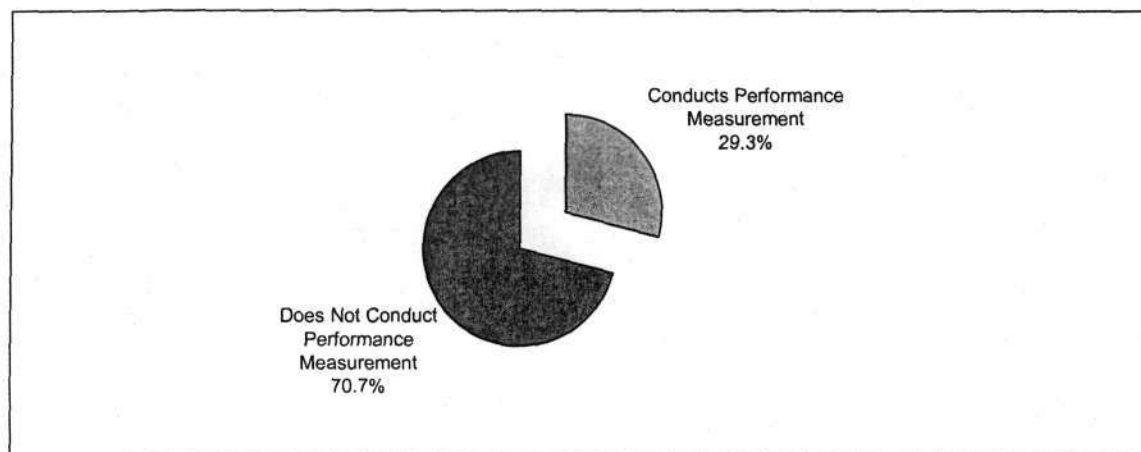
Figure 15: Performance Measurement of Registry Services

Figure 15 shows that 111 (70.7%) of the respondents did not conduct performance measurement of registry services, while 46 (29.3%) responded in the affirmative. This finding is contrary to data obtained through interviews with senior ministerial officers, who indicated that registries did not conduct performance measurement of services provided to clients. This was further confirmed by the absence of records management policies and records management committees in the majority of the ministries.

The 46 (29.3%) respondents who indicated that they conducted performance measurement of registry services were asked to indicate the need for conducting performance measurement of registry services provided to clients. Twenty-three (50%) cited the need to identify problems at an early stage and monitor performance trends, while the remaining 23 chose all the options provided in question 46 in Appendix 1. When the 46 (29.3%) respondents who indicated that they conducted performance measurement of registry services were asked to state the aspects considered in measuring the quality of service provided by the registry (see question 47 in appendix 1), none of the respondents ticked any of the options provided. This caused doubt concerning their claim that they conducted performance measurement of registry services.

Respondents were asked to indicate if they had a plan for improving the management of current records. All 157 (100%) respondents gave a "yes" response and the records management activities that the plan covered, as provided in their multiple responses, are shown in Table 14.

Table 14: Records Management Activities in the Improvement Plan (n=157)

Records management activity in the improvement plan	Number indicating activity	Percentage
Filing and retrieval	116	73.9
File tracking	116	73.9
File security	116	73.9
File preservation	107	68.2
Appraisal and disposition	107	68.2
Space planning	89	56.7

Table 14 indicates that the most cited activities in the records management improvement plan were filing and retrieval, file tracking and file security, accounting for 116 (73.9%) of the respondents. The least cited activity was space planning, accounting for 89 (56.7%) of the respondents.

Under the "other, please specify" category, respondents indicated that the records management improvement plan covered other activities that were not among the choices provided, namely:

- Computerization of registry services;
- Vetting registry staff to avoid leakage of information;
- Creation of record rooms in the ministries (record centres) to cater for the storage of semi-current and non-current records;
- Procurement of adequate supplies and equipment; and
- Training registry staff.

5.1.5 Forms, Directives and Reports Management Programme

Questionnaire items 50 to 68 sought information regarding the presence and nature of forms, directives and reports management programmes available in the ministries surveyed. All 157 (100%) indicated that they did not have a forms management programme and questions 51 to 56 thus fell away. When asked if they had a directives management programme, responses were as depicted in Figure 16.

Figure 16: Directives Management Programme

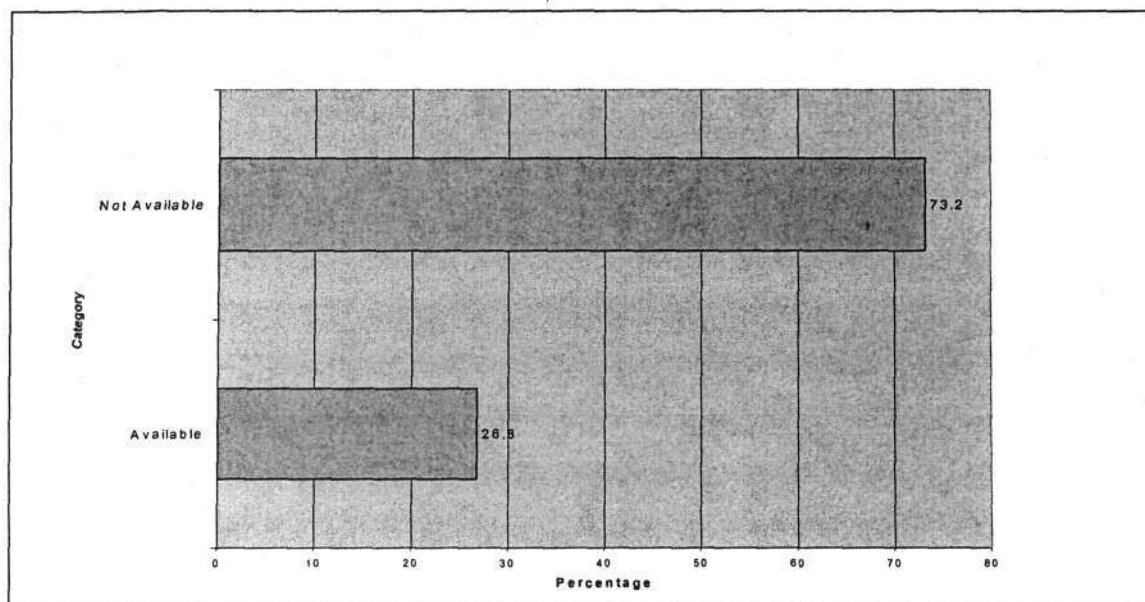


Figure 16 shows that 42 (26.8%) of the respondents had a directives management programme, while 115 (73.2%) did not. When the 42 (26.8%) respondents were asked to indicate the types of directives included in their directives management programme and the purposes served by the directives management programme (see questions 58 and 59 in Appendix 1), no responses were recorded from them. This put into doubt their claim that they had a directives management programme. This was confirmed when none of the 42 (26.8%) respondents recorded any responses, when asked to indicate the nature of their directives management programme, from the list of options provided in question 62 in Appendix 1.

The 42 (26.8%) were asked to indicate the nature of their directives management programme. Five (11.9%) answered that it was centralized, while 37 (88.1%) said that it was a combination of centralized and decentralized directives management programmes. When probed to indicate if they had a directives management checklist, all 42 (100%) replied that they did not have the document. When asked if they had a reports management programme, responses varied, as shown in Figure 17.

Figure 17: Reports Management Programme

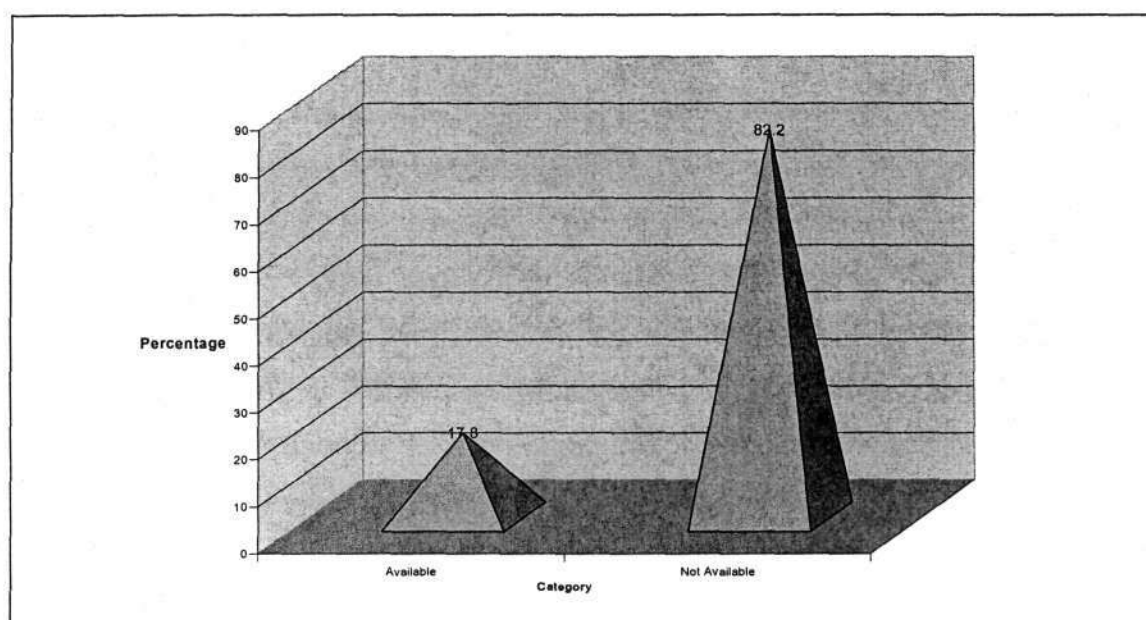


Figure 17 shows that 129 (82.2%) respondents did not have a reports management programme, while 28 (17.8%) did have one. The 28 (17.8%) respondents were asked to indicate the need for a reports management programme in their ministries. None of the 28 (17.8%) recorded any response to the question, thus putting into doubt their claim that they had a directives records management programme. This was confirmed when the 28 (17.8%) respondents who claimed that they had a directives records management programme did not respond to question 66 in Appendix 1, which required them to state if they had tools for report control.

The 28 (17.8%) respondents who indicated that they had a reports management programme were asked if they had tools for reports control, such as an inventory, a catalogue, a history case file and reports control symbols. Twenty three (82.1%) said "yes", while the remaining five (17.9%) recorded a "no" response. When probed to indicate the tools they used for reports control, nine (32.1%) cited the use of an inventory and 19 (67.9%) the use of an inventory and catalogue. None of the respondents cited the use of history case files and reports control symbols. The 28 (17.8%) respondents who reported the presence of a reports management programme were asked to indicate what constituted their report analysis and design programme. None of them responded to the question, putting into doubt the claim by the 23 (82.1%) respondents who claimed that they had tools for reports control.

5.1.6: Mail Management

Mail management is a key activity of registries and a mail management programme encompasses various activities such as receiving, sorting, opening, classifying, filing and delivering mail. Questionnaire items 69 to 91 sought respondents' views on mail management procedures. All 157 (100%) registry personnel indicated that they had a mail management programme. When asked what activities constituted their mail management programme, from a list of alternatives provided (see question 70 in Appendix 1), the responses varied. One hundred and twenty-nine (82.2%) cited receiving, sorting, opening, classifying, filing, delivery and control of mail. Twenty-two (14.0%) cited receiving, sorting, opening and classifying mail, while six (3.8%) cited filing, delivery and control of mail. Respondents were asked to indicate the type of incoming mail received and their multiple responses are given in Table 15.

Table 15: Type of Incoming Mail Received (n=157)

Type of incoming mail	Number indicating mail	Percentage
Officially addressed registered mail	157	100
Officially addressed mail	157	100
Personally addressed mail	122	77.7

Table 15 shows that the most commonly cited incoming mail was officially addressed registered and officially addressed mail, accounting for 157 (100%) of the respondents. When asked to indicate the actions they took when opening incoming mail, respondents answered all the options which were provided in question 72 in Appendix 1, namely checked address on envelope, date-stamped, extracted mail and accounted for all enclosures (if present). All 157 (100%) registry staff said that they recorded received mail in the inward mail register. When asked to indicate the need for recording received mail in the inward register, their multiple responses were as given in Table 16.

Table 16: Need for Recording Received Mail in the Inward Mail Register (n=157)

Need for Recording Mail	Number indicating need	Percentage
Provide evidence of received mail	157	100
Attend to complaints of delay due to lack of action	124	79
Discourage dishonest registry staff from removing or destroying mail	117	74.5
Trace letters whose subject is not stated	108	68.8
Trace wrongly filed mail	94	59.9

Table 16 shows that the most cited reason for recording received mail in the inward mail register was to provide evidence of received mail, while the least cited reason was to trace wrongly filed mail. When asked to indicate the information recorded in the inward mail register, respondents chose all the

options which were provided in question 75 in Appendix 1, namely sender's name, senders address, sender's designation, mail subject, mail reference number and file reference on which mail is filled.

Respondents were asked to divulge if they had procedures for circulating mail to action officers. Their responses are shown in Figure 18.

Figure 18: Procedures for Circulating Mail to Action Officers

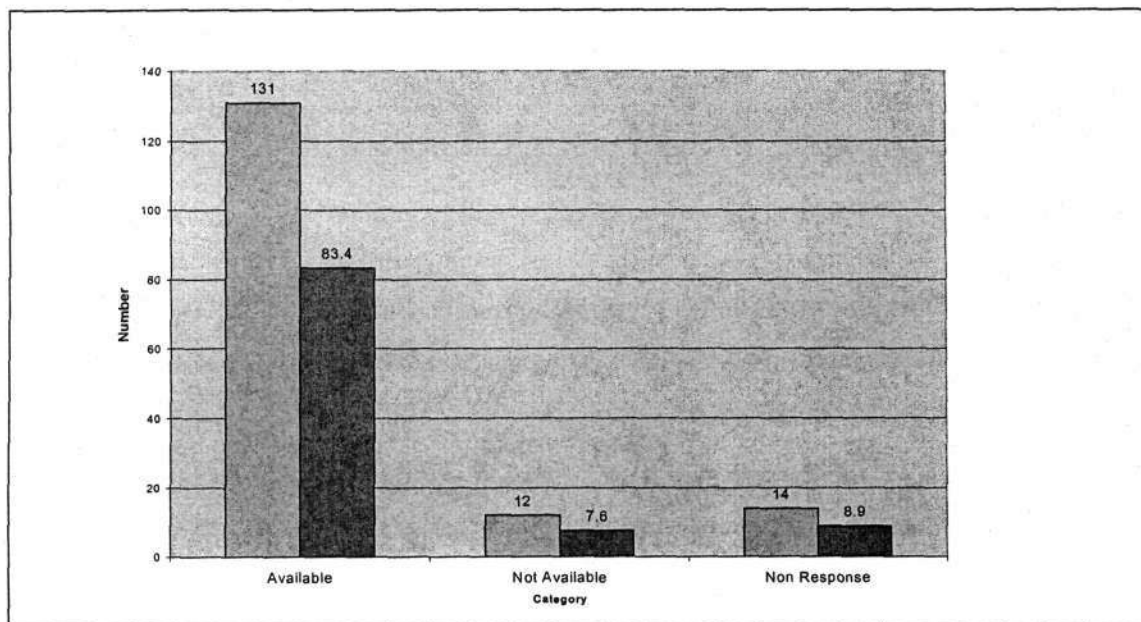


Figure 18 illustrates that 131 respondents had procedures for circulating mail to action officers, while 12 did not. Fourteen respondents did not respond to the question. The 131 respondents were asked to indicate the reasons for mail circulation to action officers and their responses are shown in Figure 19.

Figure 19: Reasons for Mail Circulation to Action Officers

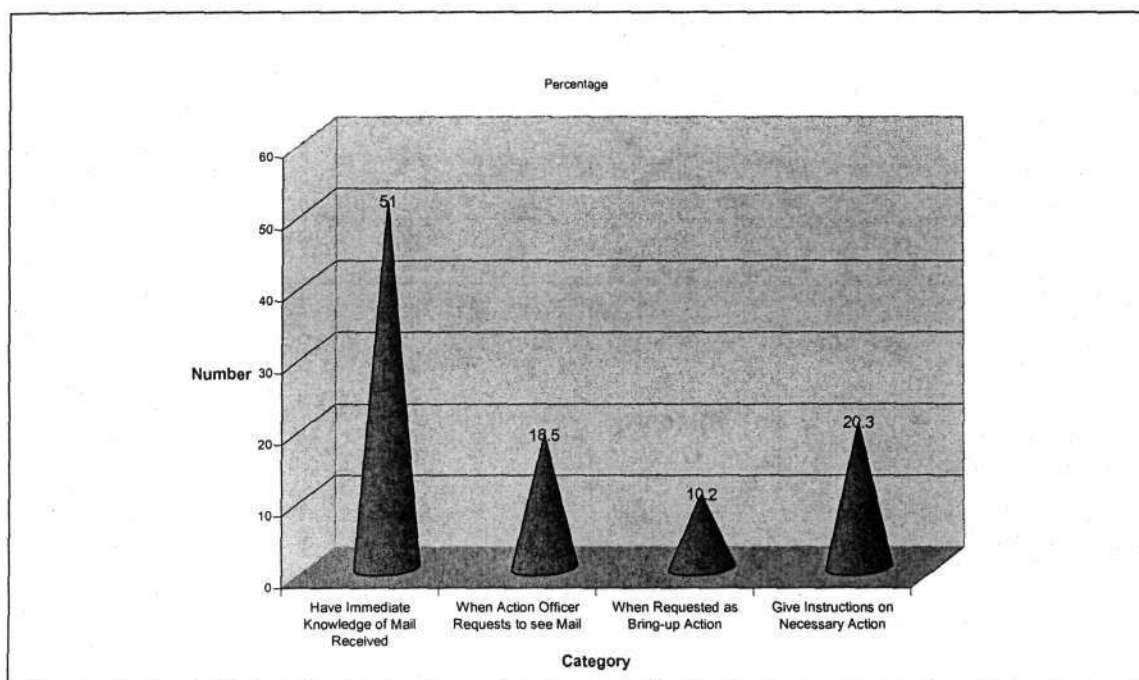
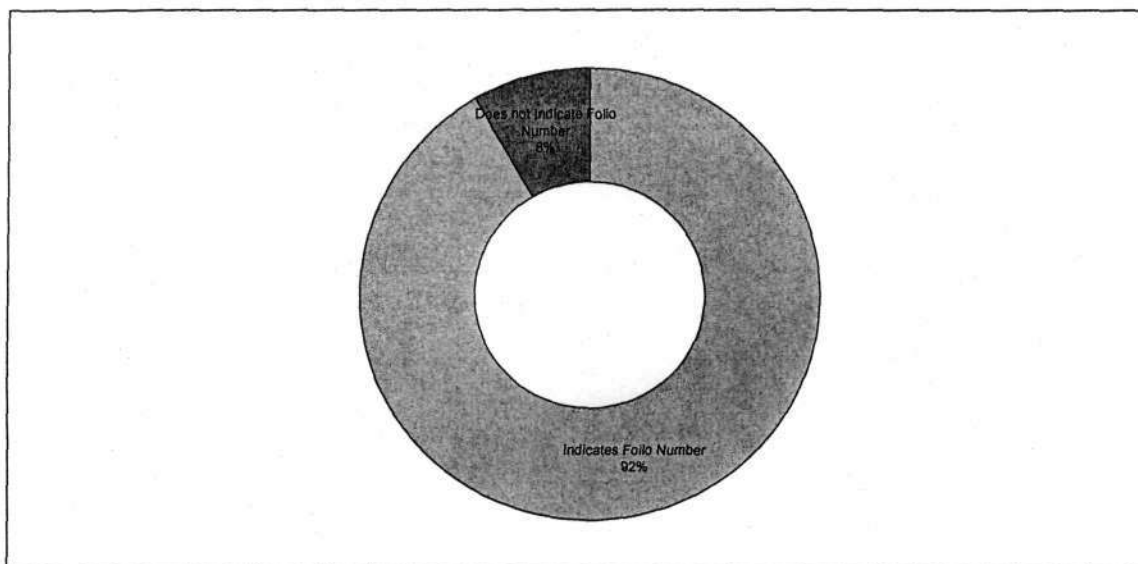
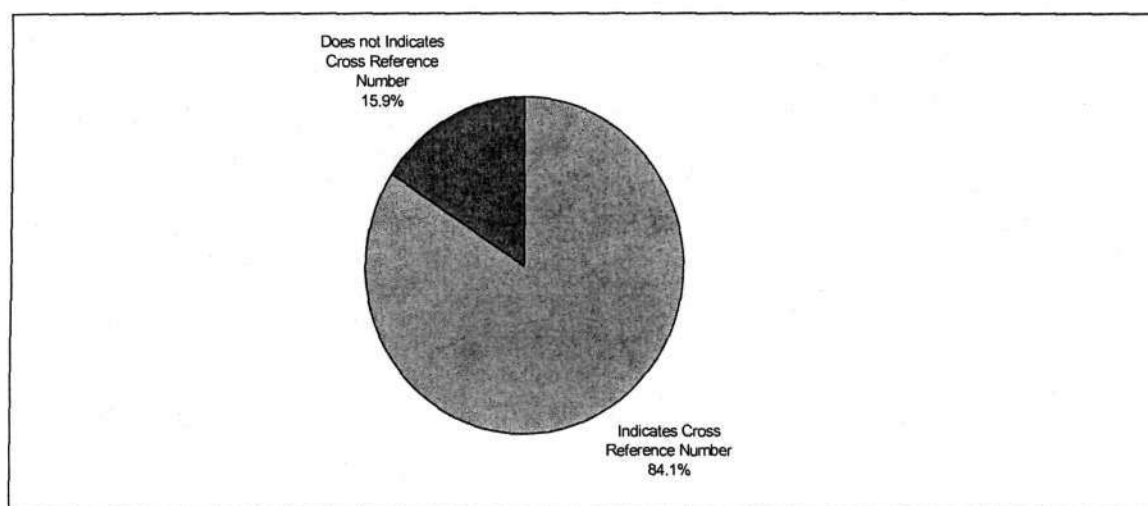


Figure 19 shows that the most cited reason for mail circulation to action officers was to have immediate knowledge of mail received, accounting for 80 (51%) of the respondents. The least cited reason was when requested as bring-up action 16 (10.2%).

When asked to indicate means used to circulate mail to action officers, 123 (78.3%) cited the use of a distinctive folder, 14 (8.9%) said that mail was attached to a clipboard and 20 (12.8%) cited the use of distinctive folders *and* the clipboard. Under the "other, please specify" category, respondents answered that once mail was marked to relevant action officers, it was placed in the relevant subject file, to ensure that action officers had all the information relating to the particular case documented in the file. It was established that 144 (91.7%) showed the folio number on the mail, while 13 (8.3%) did not, as depicted in Figure 20.

Figure 20: Indicating the Folio Number on Mail

In addition, 132 (84.1%) showed a cross-reference number on the mail, while 25 (15.9%) gave a “no” response (see Figure 21).

Figure 21: Indicating Cross Reference Number on Mail

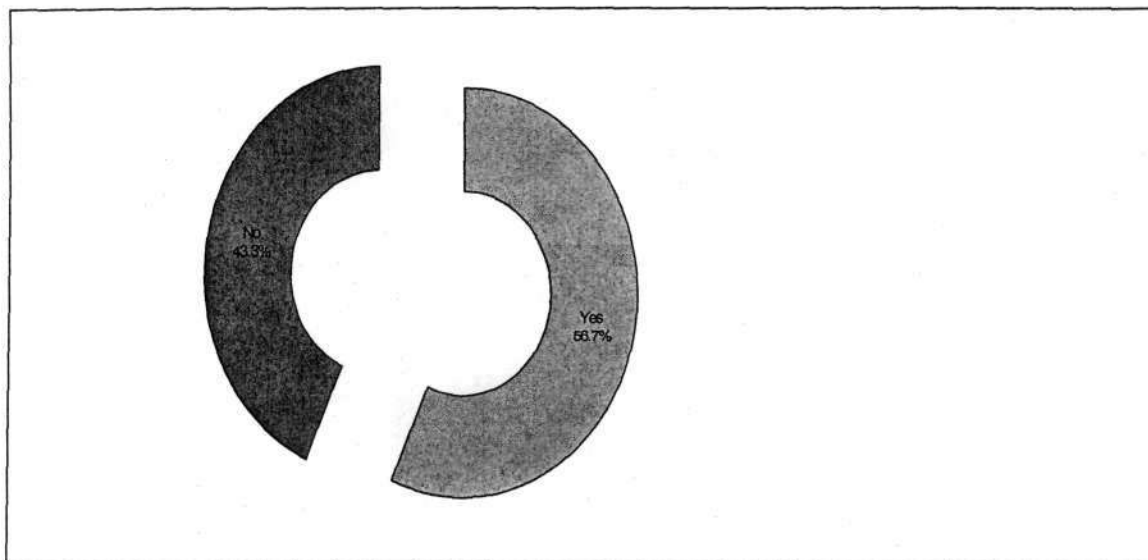
Asked whether they had tools to control the movement of mail, all 157 (100%) recorded a “yes” response. When probed to divulge the tools used to control the movement of mail, registry staff provided multiple responses, as shown in Table 17.

Table 17: Tools used to Control the Movement of Mail (n=157)

Tool used	Number indicating use of tool	Percentage
File movement card (register)	141	89.9
Systematic searches	97	61.8
Daily list of wanted files	69	43.9

Table 17 shows that the file movement register was the most widely used tool to control the movement of mail, while the least cited method was a daily list of wanted files.

When asked if they utilised security classification of mail in their registries, 89 (56.7%) gave a "yes" response, while 68 (43.3%) recorded a "no" response, as shown in Figure 22.

Figure 22: Security Classification of Mail

This finding can be explained as follows. The researcher established that action officers or their secretaries did security grading in the confidential registry. Thus those 68 (43.3%) respondents who indicated that security grading was not done in their registries did not imply that security grading was

not done at all in their ministries, but rather in the secret registry or by action officers, including their secretaries.

This was confirmed when respondents were asked to indicate the need for security classification of mail (questionnaire item 84 in Appendix 1). All 157 (100%) provided a "yes" response. Respondents were asked about the security classification of mail in their registries and provided multiple responses, as given in Table 18.

Table 18: Security Classification of Mail in the Registry (n=157)

Security classification of mail	Number indicating security classification	Percentage
Top secret	55	35
Secret	61	38.9
Confidential	69	43.9
Restricted	57	36.3
Open	84	53.5

Table 18 shows that the most cited security classification of mail was "open", while the least cited was "top secret", accounting for 55 (35%) of the respondents. When asked to justify the need for security classification of mail, respondents provided multiple responses and 114 (72.6%) cited the need to protect confidential information (see Table 19).

Table 19: Need for Security Classification of Mail (n=157)

Need for security classification of mail	Number indicating need	Percentage
Protect confidential information	114	72.6
Protect loss of information	82	52.2
Protect interests of the ministry	85	54.1

All respondents 157 (100%) admitted that they had a secret registry and all said that they had procedures for managing outgoing mail. When asked to divulge the actions taken on outgoing mail, all 157 (100%) cited all the options provided in question 89 in Appendix 1, namely: mail signed by action officers, date stamped, correct reference indicated, subject clearly stated and correct address indicated. Other actions included postal expenses entered in the postal register, mail entered in the despatch book and a copy of mail filled.

When asked if they entered mail in the outgoing mail register, all 157 (100%) respondents gave a "yes" response. When asked to indicate the information recorded in the outgoing mail register, all 157 (100%) cited all the options provided in question 91 in Appendix 1, namely: date letter sent, file reference number, subject and name of individual or institution letter sent to.

5.1.7 Records Storage

Records storage equipment should be clean and tidy, provide safety from unauthorized access, meet fire regulations, cater for records preservation requirements and allow maximum accessibility, commensurate with its frequent use (Blake 2005).

Questionnaire items 92-110 sought information on the storage of current, semi-current and non-current records and the environmental conditions in the registries that is, monitoring and controlling of temperature, relative humidity, light intensity and pest infestations.

5.1.7.1 Storage of Current, Semi-current and Non-current Records

Current records are regularly used in conducting the business of an organization and therefore continue to be maintained in their place of origin. When asked what containers they mainly used for storage of current records, respondents provided multiple responses, as shown in Table 20.

Table 20: Storage of Current Records (n=157)

Storage Place	Number indicating storage place	Percentage
Steel cabinets	144	91.7
Cupboards	74	47.1
Wooden racks	72	45.9
Adjustable shelves	66	42
Non-adjustable shelves	66	42
On the floors	40	25.5

Table 20 shows that the most commonly used storage equipment was steel cabinets, used by 144 (91.7%) of the respondents, while the least cited storage place was on the floors.

Semi-current records are generally required so infrequently in the conduct of current business that they should be transferred from offices to a record centre, pending their ultimate disposal. When respondents were asked to explain where semi-current records were kept, their multiple responses were as given in Table 21.

Table 21: Storage of Semi-Current Records (n=157)

Storage place	Number reporting storage place	Percentage
In a separate room designated for such use	81	51.6
On the shelves with current records	70	44.6
In a separate room not designed for such use	18	11.5
On the floor	11	7

Table 21 shows that the most cited place for the storage of semi-current records was in a separate room designated for such use, while the least cited place was on the floors, accounting for 11 (7%) of the respondents. This finding is contrary to data obtained from the use of the observation checklist.

The researcher observed that in the majority of registries, semi-current records were stored on the shelves with current records.

Non-current records are records no longer needed for the conduct of current business. When asked where they kept non-current records, registry staff responded as shown in Table 22.

Table 22: Storage of Non-Current Records (n=157)

Storage place	Number indicating storage place	Percentage
In a separate room designated for that purpose	54	34.4
On the shelves together with current and semi-current records	40	25.5
On the floor	39	24.8
In a separate room not designed for that purpose	24	15.3

Table 22 reveals that the most cited storage place for non-current records was in a room designated for that purpose 54 (34.4%), while the next most cited storage place was on the shelves, together with current and semi-current records, accounting for 40 (25.5%) of the respondents.

Data regarding records storage was also captured by using the observation checklist (see item three in Appendix 4), which sought to establish existing storage equipment and presence of temporary rooms for storage of semi-current and non-current records. It was observed that seven (58.3%) out of 12 ministries used steel cabinets, metal shelves/racks and wooden shelves for the storage of records, while the remaining five (41.7%) used steel cabinets and wooden racks.

With regard to the presence of temporary rooms for the storage of semi-current and non-current records, eight (67%) out of 12 did not have such rooms, while the remaining four (33%) had small rooms which were mostly used as "dumping grounds" for non-current records and often referred to as "archives". It was observed that semi-current and non-current records were stored on the same shelves with current records. In some ministries, semi-current and non-current records were kept on the floors.

On the question of registry layout and design, and the extent to which they facilitated service delivery, the researcher observed that in eight (67%) ministries, registry layout was poor and the records storage area was not secure, as the public freely found their way into the records storage area. It was observed that the registry staff working area was within the records storage room. Members of the public had thus to go through the records storage area to seek help. Some of the typical observations made and recorded by the researcher regarding registry layout and design are as follows:

- "not good";
- "open";
- "not good, vulnerable to records theft";
- "not good, no service counter and created space problem";
- "no service counter, records security compromised"

The researcher observed that four (33.3%) out of the 12 ministries had a well thought-out registry design, in terms of records storage space and offices for registry clerks and supervisors. These four had service counters, which were used to serve the public, and such counters were well secured. Typical observations made and recorded by the researcher were: "registry layout okay", "registry layout good, storage and office space well thought out" and "service counter used to restrict access to records storage area".

Registry personnel were further asked to state whether the equipment they used sufficiently catered for records storage and their responses varied, as shown in Figure 23.

Figure 23: Equipment Used Sufficiently Caters for Records Storage

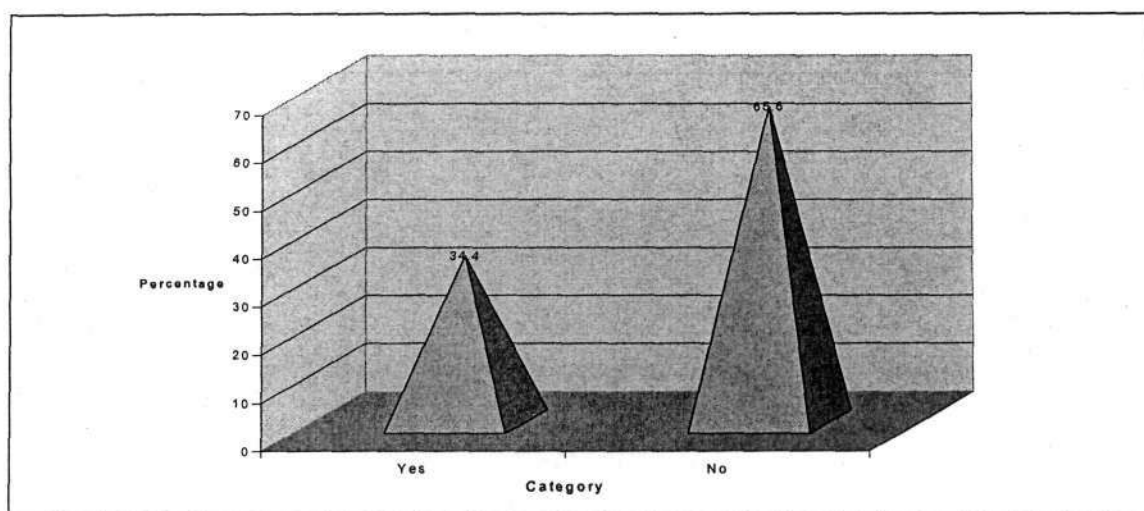


Figure 23 illustrates that 103 (65.6%) felt that existing storage equipment did not sufficiently cater for records storage, while 54 (34.4%) replied in the affirmative.

The 103 (65.6%) respondents who answered that existing storage equipment did not sufficiently cater for records storage were asked to indicate the problems they faced in storing records. Fifty eight (56.3%) of the respondents cited torn and dusty files, while 27 (26.2%) blamed unauthorized access. Eighteen (17.5%) cited loss of file folios and files.

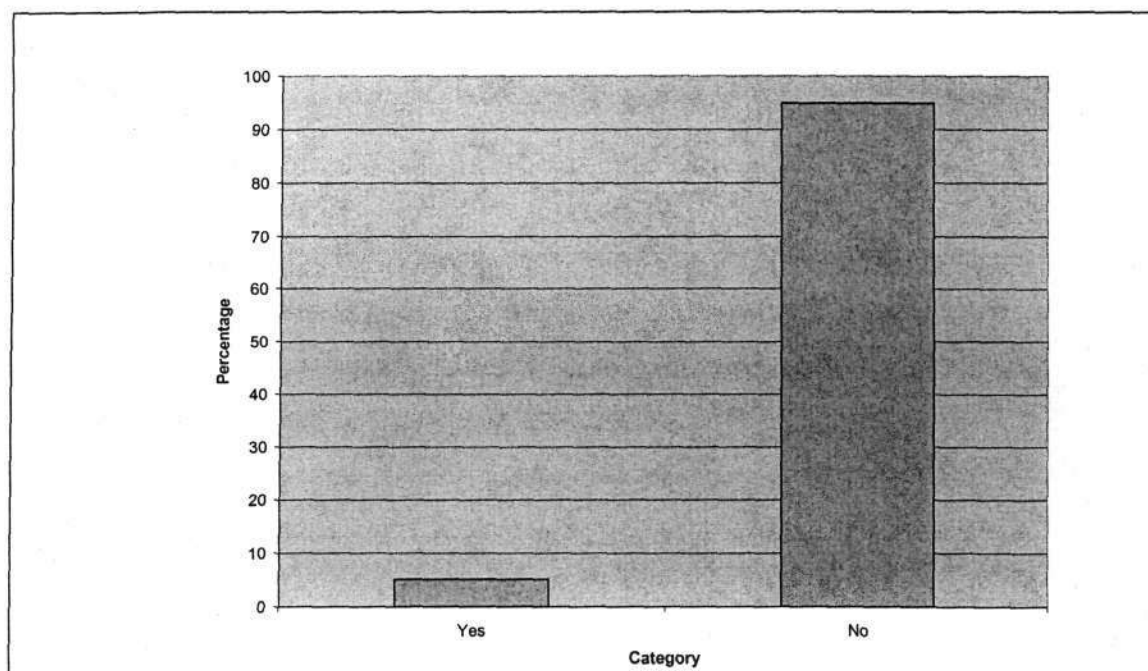
Ninety-nine (63.1%) of the respondents said that there was a problem of space for storing records, while 58 (36.9%) gave a "no" response.

5.1.7.2 Control of Environmental Conditions

Environmental control and monitoring are the keys to preventive preservation strategies in the management of collections in libraries and archives. Environmental factors can prolong or shorten the life of documentary materials (Ngulube 2005b:1). Some of the environmental factors which affect paper-based records are temperature, relative humidity and light. Questionnaire items 98-110 sought to establish if registry staff monitored and controlled temperature and relative humidity, light intensity and pest infestations.

The findings indicated that all 157 (100%) respondents did not monitor temperature and relative humidity in the records storage area and question 99 thus fell away. When asked if they controlled temperature and relative humidity in the records storage area, 147 (94.9%) gave a "no" response while eight (5.1%) recorded a "yes" response, as depicted in Figure 24.

Figure 24: Control of Temperature and Relative Humidity in the Record Storage Area



When the eight (5.1%) respondents were asked to indicate the methods used in controlling temperature and relative humidity (see question 101 in Appendix 1), none gave any response. This called into doubt their claim that they controlled temperature and relative humidity in the record storage area. Responses to a question about whether or not they controlled light intensity in the record storage area are given in Figure 25.

Figure 25: Control of Light in the Record Storage Area

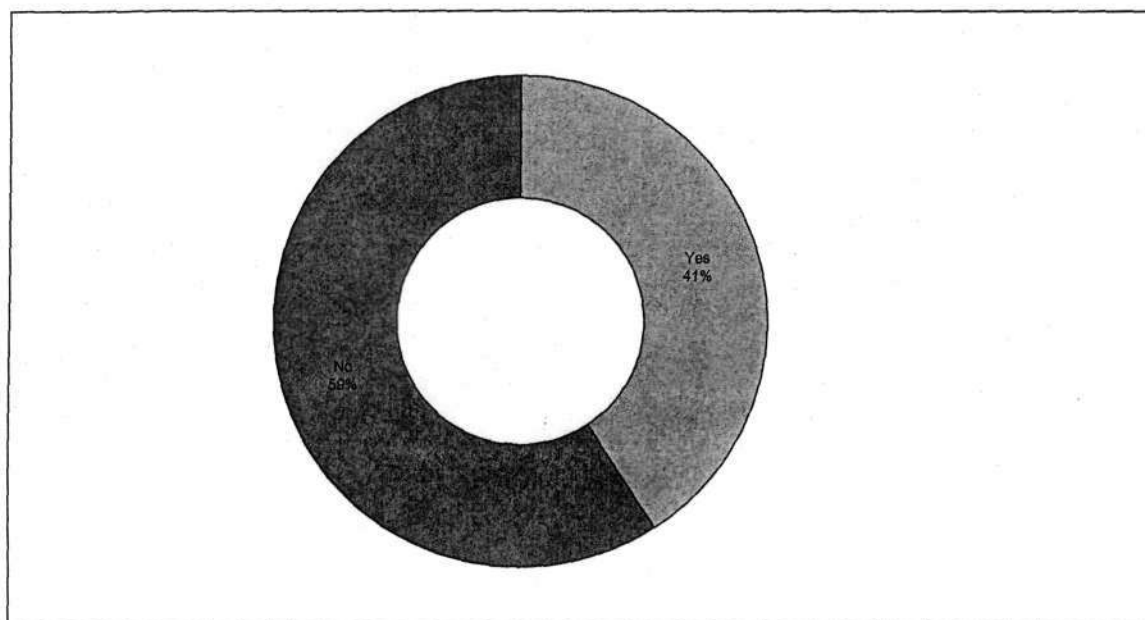
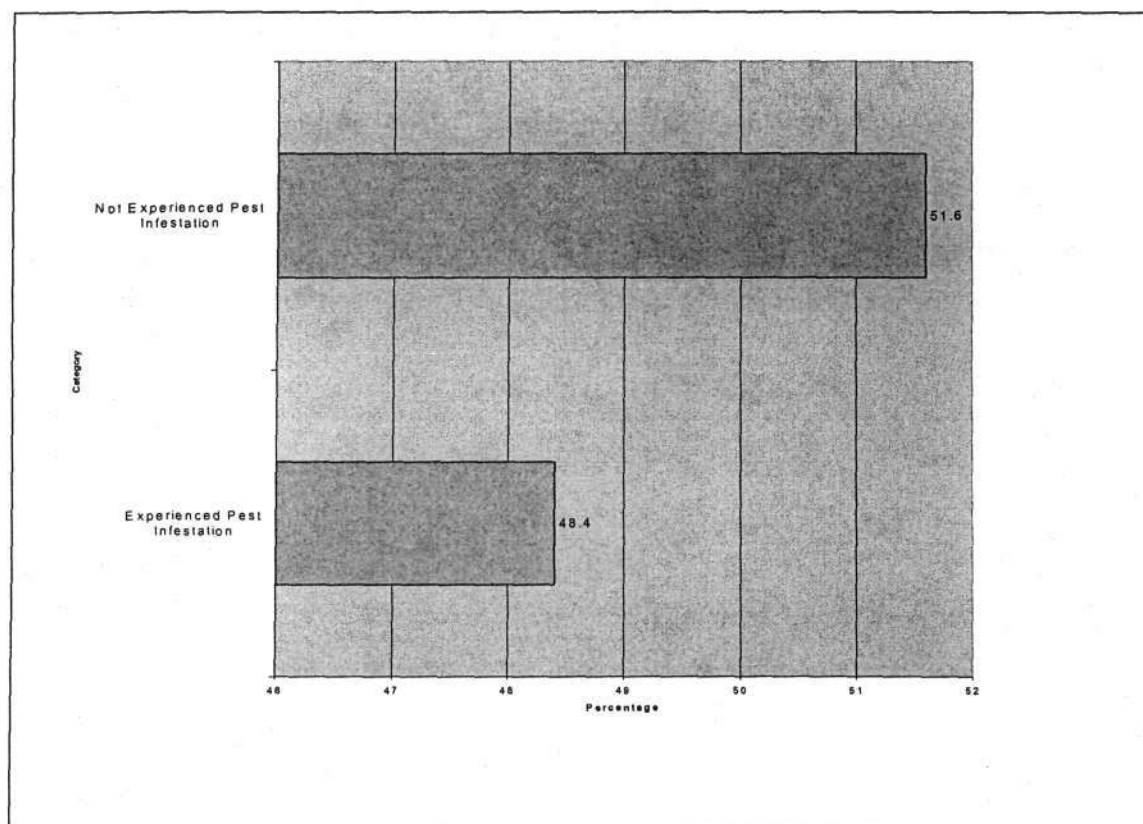


Figure 25 shows that 93 (59.2%) respondents did not control light, while 64 (40.8%) recorded a "yes" response. The 64 respondents were asked to reveal the methods used to control light in the record storage area. Fifteen (23.4%) out of the 64 respondents cited providing windows with curtains, while the remaining 49 (76.6%) indicated the use of incandescent lights.

Respondents were asked if they had experienced pest infestations in the record storage area. Seventy-six (48.4%) reported that they had experienced pest infestations, while 81 (51.6%) had not, as shown in Figure 26.

Figure 26: Pest Infestations in the Record Storage Area



The respondents who experienced pest infestations were asked to reveal which pests they had experienced in the records storage area, from a list that was provided (see question 105 in Appendix 1). Responses varied, as shown in Table 23.

Table 23: Pests Experienced in the Record Storage Area (n=76)

Pest experienced in the record storage area	Number indicating Pest	Percentage
Those not experiencing pest infestations	81	51.6
Rats	33	21
Silverfish	16	10.2
Mice	14	8.9
Bookworms	8	5.1
Cockroaches	5	3.2
Total	157	100

Table 23 shows that the most common pest-species in the records storage area were rats, accounting for 33 (21%) of the respondents, while the least cited pest were cockroaches, with a score of 5 (3.2%). Most respondents did not experience pest infestations.

Respondents were asked if they controlled pest infestations in the record storage area. One hundred (63.7%) of the respondents replied "yes," while 57 (36.3%) answered "no". The 100 (63.7%) respondents were asked to state the methods used in controlling pest infestations from a list of options provided (see question 107 in Appendix 1). Eleven (7%) of the respondents cited removal of debris, while 89 (56.7%) cited regular inspection of the record storage areas.

When asked if they controlled fungi in the record storage area, 64 (40.8%) replied "yes", while 93 (59.2%) did not control fungi in the record storage area. The 64 (40.8%) respondents were asked to choose the methods they used to control fungi in the record storage area, from a list of options (see question 109 in Appendix 1). Their responses are given in Table 24.

Table 24: Methods Used to Control Fungi in the Record Storage Area (n=157)

Method used	Frequency	Percentage
Those not controlling fungi	93	59.2
Regular cleaning of record storage areas	24	15.3
Regular inspection of record storage area	20	12.7
Regulating temperature and relative humidity	14	8.9
Maintaining air circulation	6	3.8
Total	157	100

Table 24 shows that the most cited method used to control fungi in the record storage area was regular cleaning of the record storage area, accounting for

24 (15.3%) of the respondents. None of the respondents cited sterilizing record rooms with chemicals.

Respondents were asked to reveal the nature of their records storage programme, from a list of options provided (see question 110 in Appendix 1). They provided multiple responses, as shown in Table 25.

Table 25: Nature of Records Storage Programme (n=157)

Nature of records storage programme	Number indicating a true response	Number indicating a false response
Purpose built	24 (15.3%)	133 (84.7%)
Design and layout appropriate	30 (19.1%)	127 (80.9%)
Considers environmental conditions	35 (22.3%)	122 (77.7%)
Considers the records medium	78 (49.7%)	79 (50.3%)
Considers levels of confidentiality	81 (51.6%)	76 (48.4%)
Considers levels of security	101 (64.3%)	56 (35.7%)
Considers records to be stored	124 (79%)	33 (21%)

Table 25 shows that most respondents gave a "true" response when asked if their records storage programme considered levels of confidentiality, levels of security and records to be stored. Most respondents indicated a "false" response when asked if their records storage programme was purpose built, design and layout appropriate, and if environmental conditions and records medium were considered.

The observation checklist (see item six, Appendix 4) recorded aspects of records preservation, such as file wear and tear, presence of dust, and the consumption of food and drinks in the records storage area. The researcher observed that file wear and tear was prevalent in 11 (91.6%) of the 12 ministries where the observation checklist was applied. The remaining ministry was created in January 2003, and file wear and tear was thus limited.

The researcher observed that files were dusty in 11(91.6%) of the 12 ministries. Despite the prevalence of dust, the researcher observed that apart from dustcoats, registry staff were not provided with any protective clothing, for example dust masks.

The researcher also observed that eating food and consuming drinks was prohibited in 10 (83.3%) of the 12 ministries. In two ministries (16.7%), the researcher observed registry staff preparing and taking tea in the record storage area. When the researcher asked why they prepared tea in the record storage area, a typical response was: "we have no facilities for preparing tea".

5.1.8: Records Inventory

A records inventory provides a picture of the records and information structure of an agency and how the records are, or should be, managed (IRMT 1999). Questionnaire items 111 to 116 sought data on whether or not the ministries surveyed conducted a records inventory, the records covered in the inventory and methods used to conduct the inventory. When asked if they conducted records inventory, registry personnel responded as shown in Figure 27.

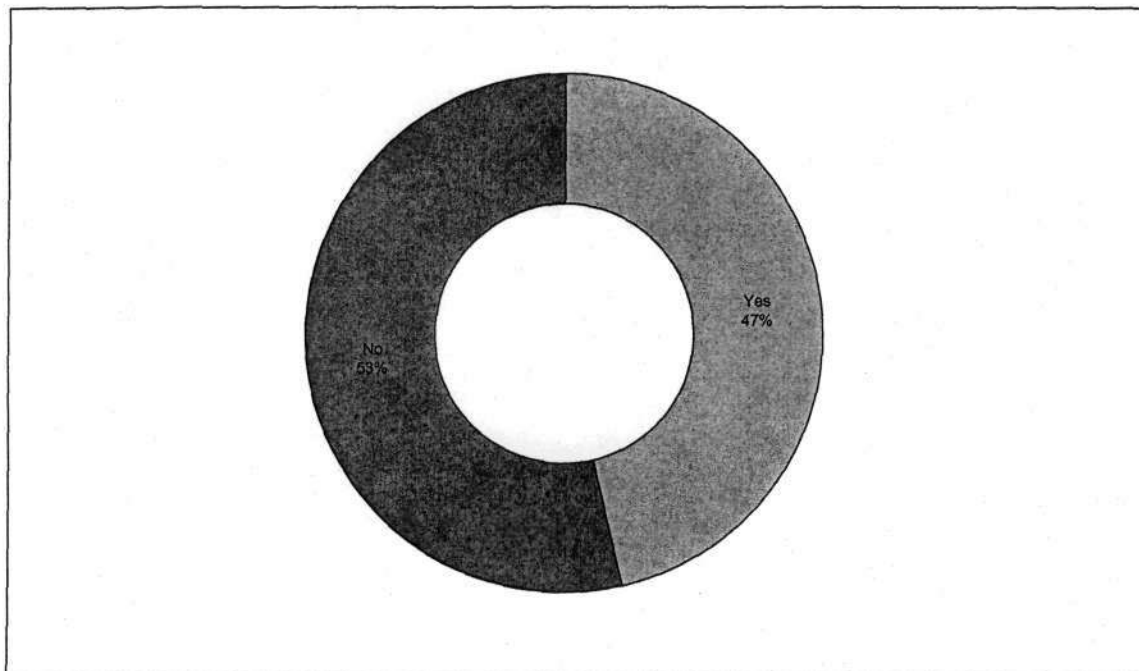
Figure 27: Conducting Records Inventory

Figure 27 shows that 73 (46.5%) conducted a records inventory, while 84 (53.5%) did not. The 73 respondents were asked to indicate the purpose of conducting the records inventory, from a list of choices provided (see question 112 in Appendix 1). Their responses are depicted in Figure 28.

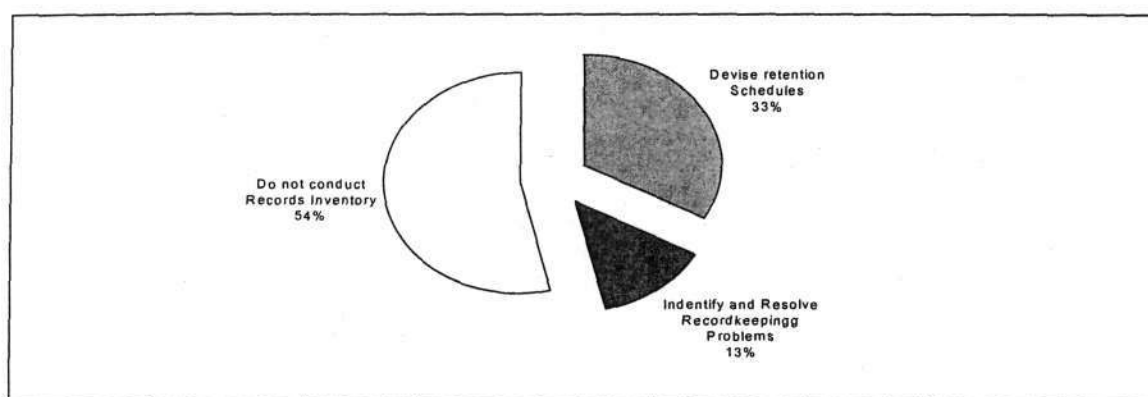
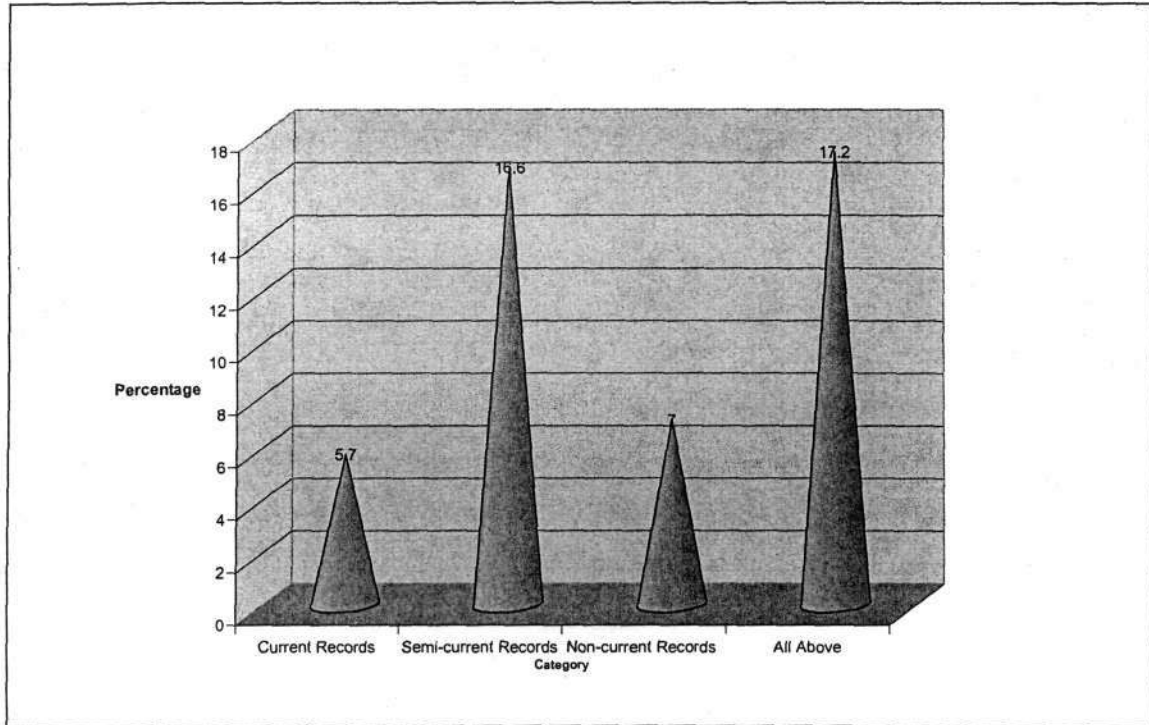
Figure 28: Purpose of Conducting the Records Inventory

Figure 28 shows that the most cited reason for conducting the records inventory was to devise retention schedules, accounting for 52 (33.1%) of the respondents, while 21 (13.4%) of the respondents cited the need to identify

and resolve recordkeeping problems. The 73 respondents were asked to indicate the records covered in the records inventory. The most cited was semi-current and non-current records, as shown in Figure 29.

Figure 29: Records Covered in the Records Inventory



Those who said that they conducted a records inventory were asked to reveal the methods they used in conducting the records inventory. Sixty (82.2%) out of the 73 respondents cited physical checking, while the remaining 13 (17.8%) indicated the use of questionnaires. The study established that 33 (45.2%) of the respondents used a records inventory checklist when conducting a records inventory, while 40 (54.8%) responded in the negative.

This finding is contrary to data obtained from the observation checklist and informal talks with registry personnel, which showed that registry staff did not conduct a records inventory of their records and thus question 116 fell away. It was established that a records inventory exercise was conducted when archives personnel from the KNADS visited the ministries, but this was mainly limited to establishing which records had attained semi-current and non-

current state. Appraisal was subsequently conducted to determine records for transfer to the KNADS for permanent preservation, while valueless records were earmarked for destruction.

5.1.9: Records Appraisal and Retention Scheduling

Records (archival) appraisal is the process of determining the value of records for further use, for whatever purpose, and the length of time that value will continue. Records appraisal is also known as evaluation, review or selection (Millar, Roper and Steward 1999:4). Records appraisal is usually conducted in the ministries, upon request by the ministries, or at the initiative of KNADS archives personnel. Questionnaire items 117 to 127 yielded data relating to records appraisal and retention scheduling.

When asked if archival appraisal was conducted in their ministries, respondents' views were as depicted in Figure 30.

Figure 30: Conduct of Archival Appraisal

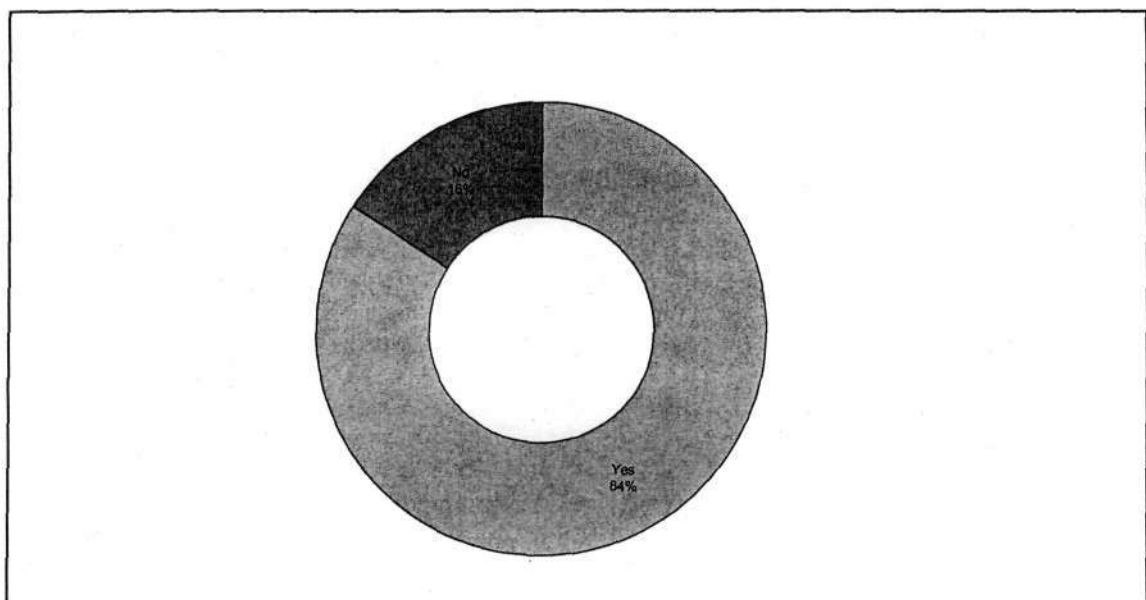


Figure 30 shows that 132 (84.1%) respondents gave a "yes" response, while 25 (15.9%) recorded a "no" response. The 132 respondents were asked to choose, from a list provided, statements which reflected the purpose of appraisal (see question 118 in Appendix 1). Their multiple responses are as shown in Table 26.

Table 26: Purpose of Records Appraisal (n=132)

Purpose of appraisal	Number indicating a yes response	Number Indicating a no response
Establish records archival value	121 (77.1%)	11 (7%)
Basis for retention scheduling	104 (66.3%)	28 (17.8%)
Enhance records preservation	81 (51.6%)	51 (32.5%)
Enhance records access and use	75 (47.8%)	57 (36.3%)
Meet records and archives legislative requirements	70 (44.6%)	62 (39.5%)

Table 26 shows that most respondents gave a "yes" response with regard to all the statements provided and which reflected the purpose of appraisal. The highest "yes" scores were for establishing records archival value (121 or 77.1%) and a basis for retention scheduling (104 or 66.3%), while the lowest "yes" scores were for enhancing records access and use (75 or 47.8%) and meeting records and archives legislative requirements (70 or 44.6%).

The 132 (84.1%) respondents were asked to give the criteria used to appraise subject files (by archives personnel). The most cited criterion was records value (85 or 54.1% while 47 (30%) respondents cited a combination of records value and functional analysis. The study sought respondents' views regarding criteria used by archives personnel to appraise case files, from those 132 (84.1%) who indicated that they conducted records appraisal. Forty-eight (30.6%) of the respondents cited administrative needs, while 69 (43.9%) cited a combination of administrative needs and content. The remaining 15 (9.6%) respondents cited administrative needs and uniqueness.

When asked to reveal the instruments used to appraise records, 78 (49.7%) respondents cited use of retention schedules, while 54 (33.4%) cited use of

standing instructions. This finding concurred with the views of registry staff regarding the instruments that guided appraisal of records in their ministries (see Question 121 in Appendix 1).

Respondents were asked to give the types of retention schedules they prepared, with the assistance of archives personnel, to determine records for preservation or destruction. All 132 respondents cited functional retention schedules, which covered records common to all departments within a ministry. When asked if, once developed, they monitored and ensured implementation of retention schedules, 64 (40.8%) of the respondents said "yes" and 68 (43.3%) responded in the negative. This finding was contrary to observation data, which revealed that most ministries lacked record retention schedules; hence question 125 in Appendix 1, which required respondents to explain why they monitored and ensured implementation of retention schedules once developed, fell away.

When respondents were asked to state the records which were appraised using standing instructions, all 157 (100%) cited personnel and financial records. It was established from registry personnel that, in appraising personnel records, archives personnel used standing instructions issued by the Directorate of Personnel Management. This was confirmed by a confidential circular given to the researcher by one of the archives personnel. The circular was issued by the Office of the President, Directorate of Personnel Management on 29 August 1991, entitled: Personnel General Circular Letter No. 7: Destruction of Personnel Records. The circular provided disposal schedule time-limits for various categories of personnel records, namely records relating to recruitment and selection by authorized officers (one year after the files are closed); records relating to candidates selected for training (three years after the files are closed); records relating to promotions and appointments by authorized officers (three years after the file is closed); and personnel files of officers who have retired or left the service (15 years after the file is closed, except for senior officers in Job Group 'L' and above, which might be kept permanently).

Appraisal of financial or accounting records is governed by existing government instructions, namely Financial Regulations F 26 and F 27 and instructions contained in Chapter 23 of the Miscellaneous Accounting Procedures. For example, a concept paper by Mr. John M'reria (1999), the then Provincial Archivist, Nairobi Records Centre, on the proposed amendments to the Force Standing Order Chapter 41-Disposal of Police Records, emphasised that accounting records should be disposed of according to the instructions contained in Chapter 23 of the Miscellaneous Accounting Procedures, while personnel records should be disposed of according to instructions contained in the DPM circular, Ref. DPM/PA/1/20 of 1991 (discussed above).

Respondents were asked to state the nature of appraisal and retention scheduling in their ministries. All the 132 (84.1%) respondents who answered that appraisal was conducted in their ministries chose all the options provided in question 127 in Appendix 1, namely confirmed the value of records before their destruction, developed retention schedule in consultation with the KNADS, prepared a list of records that were due for destruction and transferred records with value to the KNADS.

Data obtained from KNADS archives personnel (see Section 5.2.3) showed that the criterion used to appraise records in government ministries was a combination of records value and functional analysis. The study also established, through the observation checklist (see item 7 in Appendix 4), that the most widely used appraisal criterion for KNADS archives personnel, to determine records for preservation and destruction, was records value.

The observation checklist (see item seven in Appendix 4) sourced data regarding the conduct of records appraisal and presence of retention schedules in the ministries that were surveyed. The findings from the observation checklist contradicted questionnaire results. Whereas questionnaire findings were that 85 (54.1%) respondents cited the use of

retention schedules, the researcher observed the presence of retention schedules in only three (25%) of the 12 ministries. When the researcher sought an explanation from the remaining nine ministries (75%) why retention schedules were not present to guide disposal of records, some of the typical responses provided by registry supervisors were:

- "Retention schedule is in the process of being approved";
- "We are in the process of preparing retention schedules in conjunction with the Kenya National Archives and Documentation Service"; and
- "Retention schedule was prepared five years ago but has not been used to dispose records".

5.1.10: Records Disposition

Records disposal is the point in the records' life-cycle when they are either transferred to archives or destroyed. Records disposition occurs in various forms, namely physical destruction, transfer to an archival institution and migration to another medium such as microfilm or digitization. Questionnaire items 128 to 135 sought to capture data relating to the presence and nature of records disposition programme available in the ministries.

The study findings were that 112 (71.3%) had a records disposition programme, while the remaining 45 (28.7%) did not. Those who said that they had a records disposition programme were asked to state the nature of their records disposition programme. Their multiple responses are given in Table 27.

Table 27: Nature of Records Disposition Programme (n=112)

Nature	Frequency	Percentage
Transfer to archives	111	99.1
Physical destruction of records	111	99.1

Table 27 shows that the nature of the disposition programme cited the most by respondents was a combination of records transfer to archives and

physical destruction. None of the respondents cited conversion of records to another medium as a form of records disposition.

When respondents were asked to state if they destroyed records which had been appraised and earmarked for destruction, all 112 (71.3%) gave a "yes" response. This finding is contrary to data obtained from the observation checklist (see item 7 in Appendix 4). The researcher observed the presence of overdue records earmarked for disposal in seven (58.3%) of the 12 ministries.

When asked to reveal the methods used for the destruction of confidential records, responses from those 112 (71.3%) who said that they had a records disposition programme are depicted in Figure 31.

Figure 31: Methods Used for the Destruction of Confidential Records

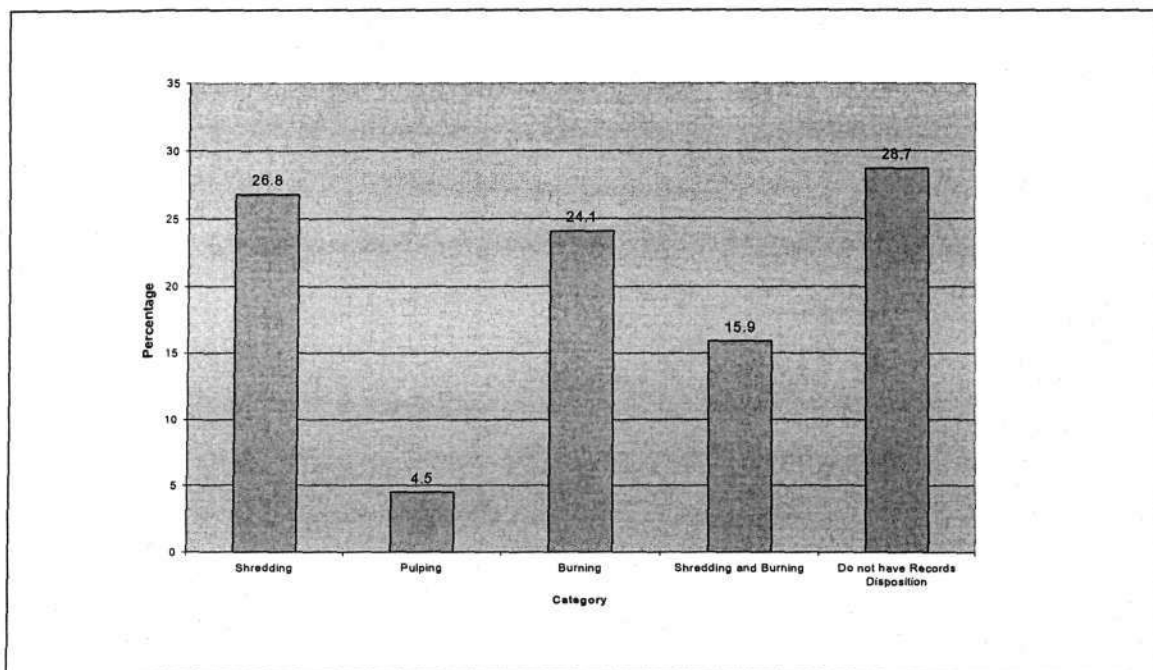


Figure 31 shows that the method cited most commonly for destroying confidential records is shredding, accounting for 42 (26.8%) of the respondents, while the least common method was pulping, with seven (4.5%)

affirmative replies. When asked the methods used for the destruction of non-confidential records, all 132 (100%) respondents cited the use of burning.

Respondents were asked if they prepared a records disposition certificate once the records were destroyed. Ninety-seven (61.8%) of the respondents gave a positive response, while 15 (9.6%) responded in the negative. This is contrary to data obtained from the observation checklist (see item 7 in Appendix 4), which indicated absence of record retention schedules in most ministries. Question 134 in Appendix 1, which required respondents to indicate the information included in the records disposition certificate, thus fell away. The researcher observed that seven (58.3%) of the 12 ministries did not have records disposal certificates, while in four (33.3%) ministries, records disposition had not been fully completed. The remaining one ministry was newly created and did not have any overdue records earmarked for disposal. When the researcher sought an explanation from the four ministries regarding the absence of records disposal certificates, typical responses from registry supervisors were: "some records have been disposed of, while others have not" and "not all records have been disposed of, so the certificate has not been issued".

Respondents were asked to name the instruments which guided records disposition in their ministries. Responses are given in Table 28.

Table 28: Instruments Guiding Records Disposition (n=157)

Instrument	Frequency	Percentage
Retention schedule	73	46.5
Those without records disposition programme	45	28.7
Public Archives and Documentation Service Act Cap 19	31	19.7
Ministry policy	8	5.1
Total	157	100

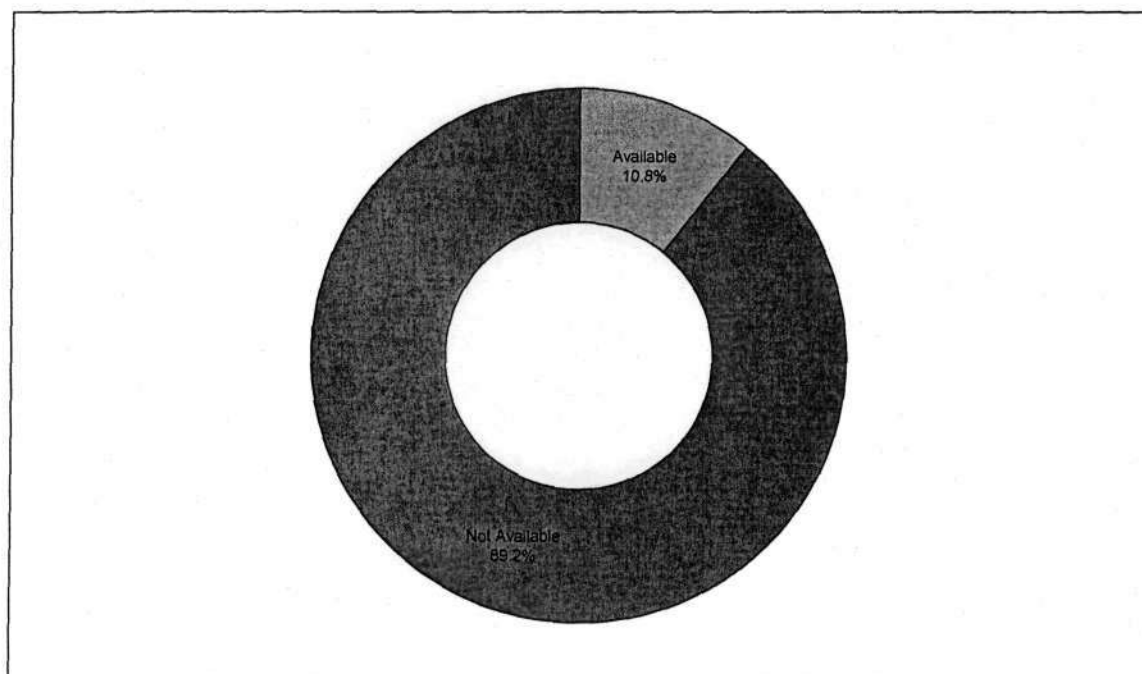
Table 28 shows that the most commonly cited instrument guiding records disposition was retention schedules, accounting for 73 (46.5%) of the respondents. Thirty one (19.7%) respondents cited use of the Public Archives and Documentation Service Act Cap 19. Although records retention schedules would normally guide records disposition in government ministries (apart from financial and personnel records), respondents cited the Public Archives and Documentation Service Act Cap 19, since it specifies that one of the key functions of the KNADS is to appraise and dispose of records. The Act guides all records management activities, of which records disposition constitutes only a part. The least cited instrument guiding records disposition was ministry policy, accounting for 8 (5.1%) of the respondents.

5.1.11 Disaster Management and Security Control

A vital records programme helps identify vital records, potential hazards to vital records, develop record protection measures, develop appropriate vital records storage facilities, assign responsibility and audit and test programme procedures. A vital records programme mitigates the effect of disasters. Questionnaire items 136 to 163 sought data relating to the vital records programme.

When asked if they had an in-house vital records protection programme, 140 (89.2%) respondents replied "no", response while 17 (10.8%) replied "yes", response as shown in Figure 32.

Figure 32: Presence of In-house Vital Records Protection Programme



The 17 respondents were asked to indicate the need for a vital records programme from a list of choices provided (see question 137 in Appendix 1). Twelve (70.6%) respondents cited the need to identify potential hazards, while the remaining five (29.4%) chose the need to develop records protection measures. Respondents were asked if they had criteria for evaluating potential hazards. Responses are depicted in Figure 33.

Figure 33: Criteria for Evaluating Potential Hazards

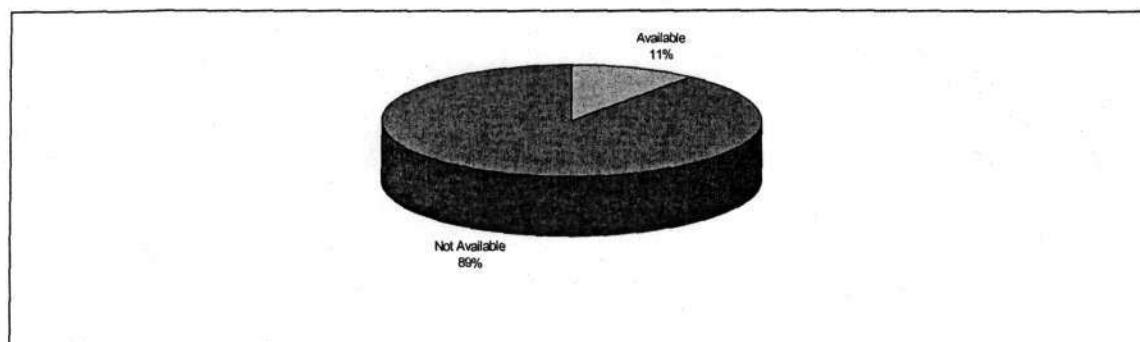
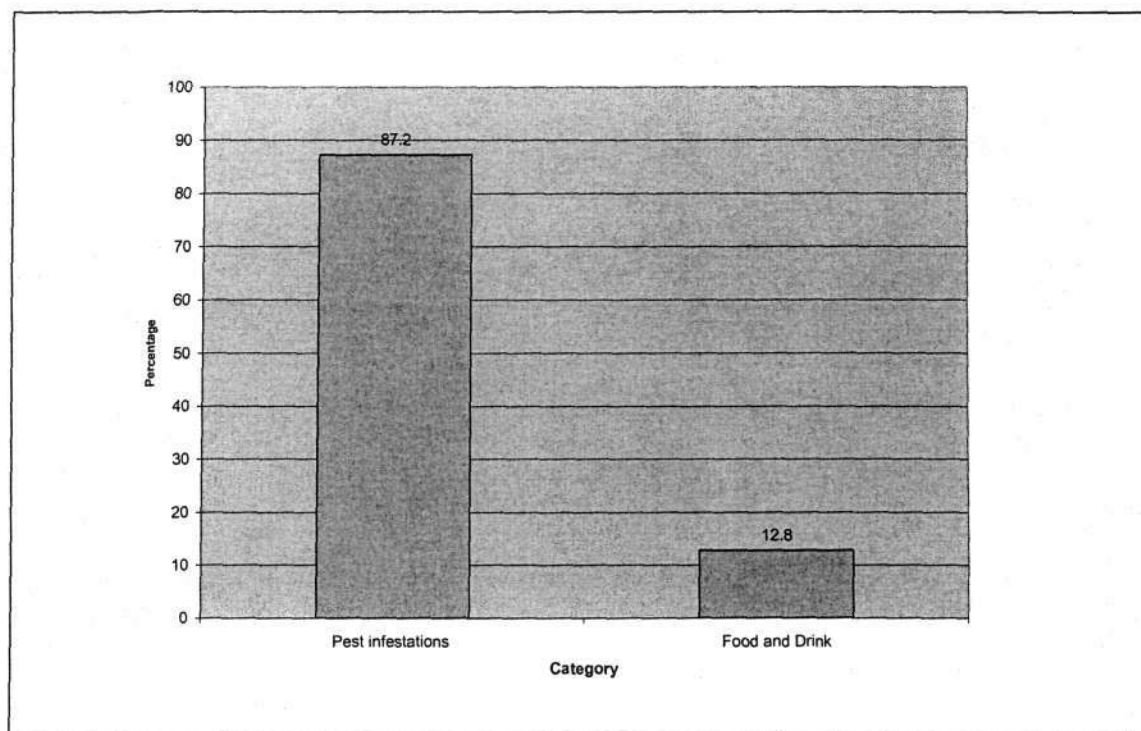


Figure 33 shows that 17 (10.8%) respondents had criteria for evaluating potential hazards, while 140 (89.2%) did not have such criteria. The 17 (10.8%) who answered that they had criteria to evaluate potential hazards were asked to identify the criteria they used. Twelve (70.6%) cited sensitivity of records while the remaining five (29.4%) cited environmental factors and vulnerability of records.

From a list of options, respondents were asked to name the disasters that they thought were likely to affect their records (see question 140 in Appendix 1). One hundred and thirty seven (87.2%) cited pest infestations, while 20 (12.8%) respondents cited food and drink in the record storage area, as shown in Figure 34.

Figure 34: Disasters Likely to Affect Records

When asked if they had an in-house vital records protection programme, 140 (89.2) said “no”, while 17 (10.8%) responded in the affirmative. The 17 (10.8%) respondents who claimed that they had an in-house vital records protection programme were asked to indicate from a list of options provided (question 142 in Appendix 1) the methods used for vital records protection. None of the 17 (10.8%) respondents made any response to the question, putting into doubt their claim regarding the presence of an in-house vital records protection programme. Consequently, question 143, which required the 17 (10.8%) respondents to indicate the institutions they mainly used for vital records protection, fell away.

When asked if they had a disaster management plan, all 157 (100%) gave a “no” response. Consequently, questions 145 and 145, which required respondents to explain the need for a disaster management plan and the aspects covered in the disaster management plan, respectively, did not apply.

Respondents were asked to state if they had disaster management committees and their responses are as shown in Figure 35.

Figure 35: Disaster Management Committees

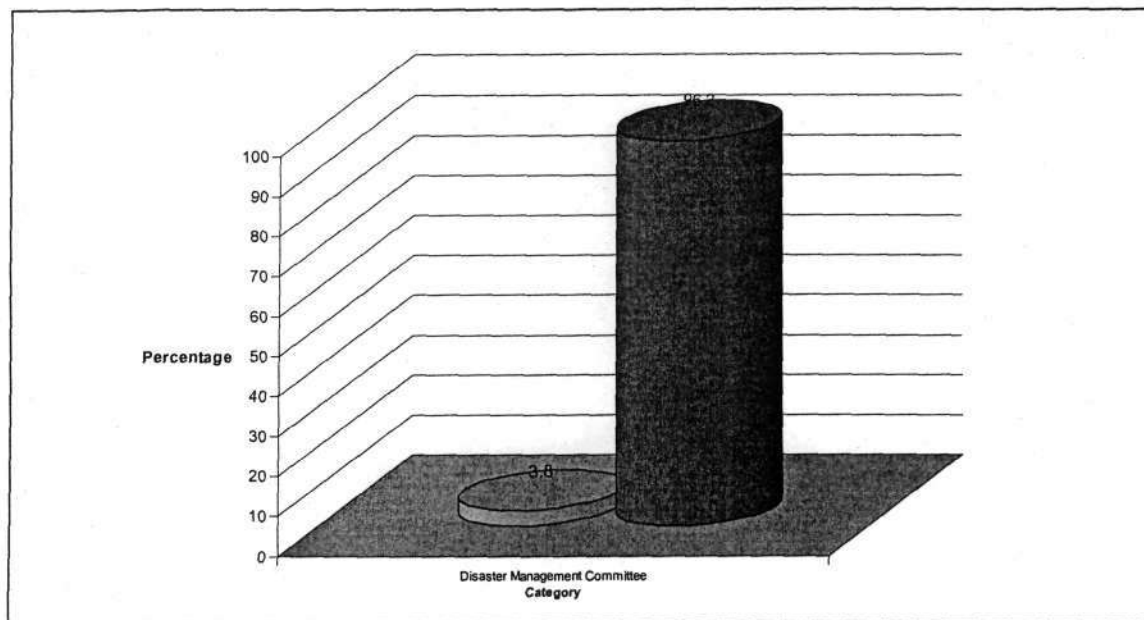
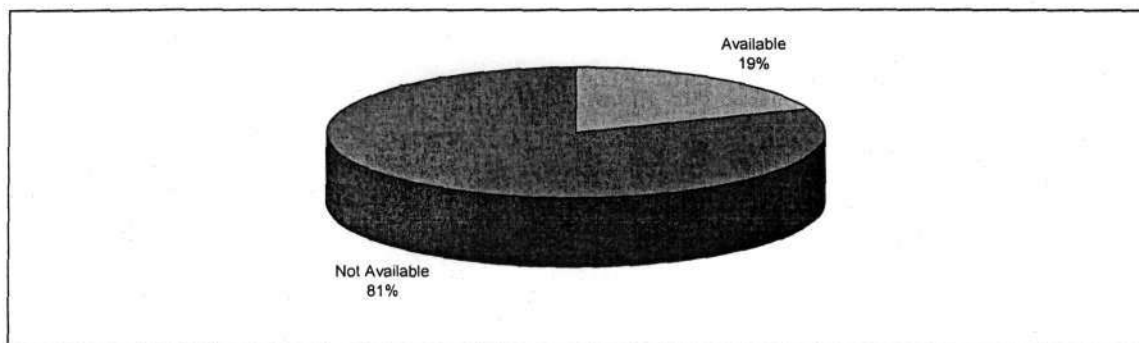


Figure 35 illustrates that 151 (96.2%) of the respondents did not have disaster management committees, while 6 (3.8%) did. When the 6 (3.8%) respondents who claimed that they had disaster management committees were asked to reveal the main activities of the disaster management committees, none responded to the question. This questions the validity of their claim regarding the presence of disaster management committees in their ministries. All 157 (100%) respondents indicated that they did not have a disaster prevention checklist. Question 148 in Appendix 1, which required respondents to indicate the disasters covered in their disaster prevention checklist, did not therefore apply.

The findings of the study were that 30 (19.1%) had fire detection systems in the record storage area, while 127 (80.9) did not, as shown in Figure 36.

Figure 36: Fire Detection Systems in the Records Storage Area



Those 30 (19.1%) respondents who claimed that they had a fire detection system in the record storage area were asked to confirm that the fire detection system was connected to a central monitoring facility. Fourteen (46.7%) replied "yes", while 16 (53.3%) replied "no". This finding is contrary to data obtained through the observation checklist (see item six in Appendix 4). The researcher observed that none of the registries had a fire detection system connected to a central monitoring facility. Consequently, question 151 in Appendix 1, which required respondents to state the types of fire detection systems available in the record storage area, fell away.

Respondents were asked if they had fire suppression systems in the records storage area. Their responses are depicted in Figure 37.

Figure 37: Fire Suppression Systems in the Records Storage Area

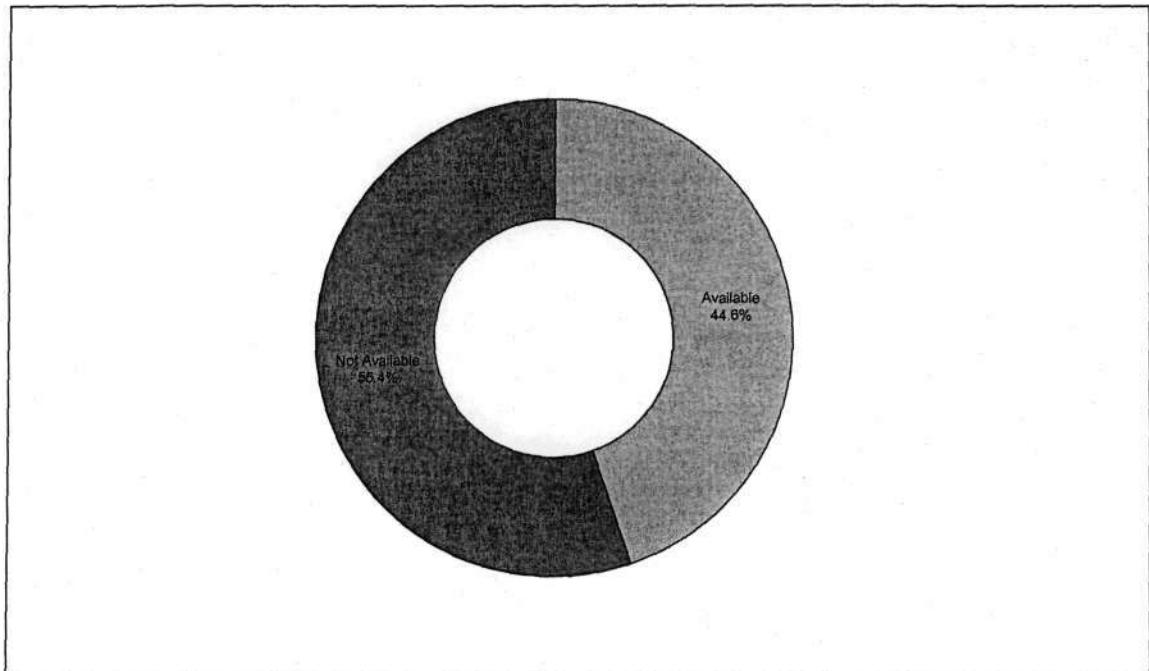


Figure 37 shows that 70 (44.6%) of the respondents reported the presence of fire suppression systems in the records storage area, while 87 (55.4%) did not have them. Those 70 (44.6%) who asserted that they had fire suppression systems in the records storage area were asked to name the types of fire suppression systems available. Their responses are shown in Table 29.

Table 29: Fire Suppression Systems Available in the Record Storage Area (n=157)

Fire suppression system	Frequency	Percentage
Those without fire suppression systems	87	55.4
Gas and water based	45	28.7
Gas based	13	8.3
Water based	12	7.6
Total	157	100

Table 29 shows that 45 (28.7%) respondents cited a combination of gas and water based fire suppression systems. The 70 (44.6%) who replied that they had fire suppression systems in the record storage area were asked to name the types of gas based fire suppression systems available. Thirty-four (21.7%) cited the use of carbon dioxide, while 36 (22.9%) cited a combination of carbon dioxide and foam.

When asked to reveal the water based fire suppression systems available in the record storage area; 48 (30.6%) cited the standpipe system, while 22 (14%) cited the portable and automatic water based fire suppression system. This finding is unreliable, as the researcher observed through the observation checklist (see item 6 in Appendix 4) that the most commonly used water fire suppression system was the standpipe system and none of the registries used portable and automatic sprinkler systems, as was claimed by 22 (14%) of the respondents.

When asked if they had received training in fire-fighting techniques, the views of respondents views varied, as shown in Figure 38.

Figure 38: Training in Fire-fighting Techniques

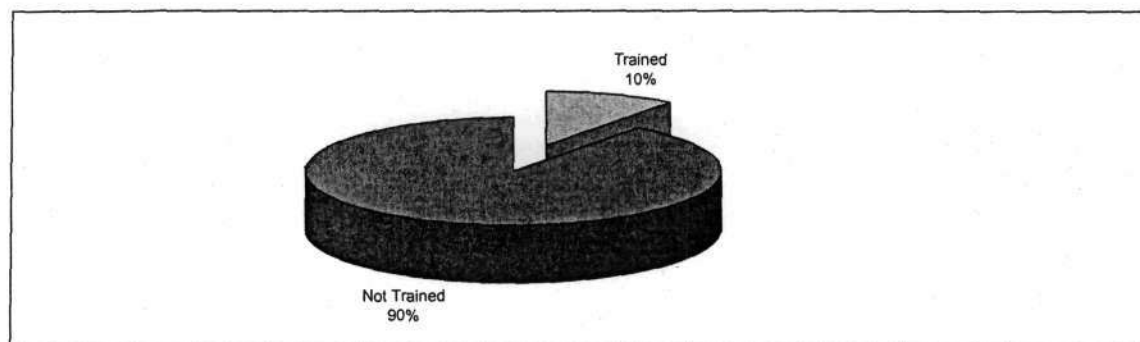


Figure 38 shows that 16 (10.2%) of the respondents had received training in fire-fighting techniques, while 141 (89.8%) had not. The 16 (10.2%) respondents were asked to reveal who conducted the training in fire-fighting techniques. Ten (62.5%) respondents cited the Nairobi City Council Fire Brigade, while the remaining six (37.5%) cited the use of private firms. Under the “other, please specify” category, respondents cited the use of Ministry of Public Works personnel as having provided the training. When asked what constituted the training programme received in fire fighting techniques from a list of choices provided (see question 158 in Appendix 1), all 16 cited fire prevention, awareness and control.

Those 70 (44.6%) respondents who reported the presence of fire-fighting equipment in the record storage area were asked if the fire fighting equipment was inspected regularly. Thirty (19.1%) gave a “yes” response, while 40 (25.5%) responded in the negative. The 30 respondents were asked to state how often the fire fighting equipment was inspected. Twenty one (13.4%) said once a year, while the remaining nine claimed that the equipment had recently been installed and was not due for inspection. When the 30 respondents were asked to indicate who did the inspection of the fire fighting equipment, 14 (8.9%) named the Nairobi City Council Fire Brigade, seven (4.5%) private fire firms and the remaining nine (5.7%) cited, under the “other, please specify” category, the Ministry of Public Works.

The researcher used the observation checklist to obtain information about the vital records programmes, for example presence of leaking roofs and fire-fighting equipment. It was observed that none of the 12 ministries had a leaking roof. Regarding the presence of fire-fighting equipment, the researcher observed that, although 11 (91.7%) of the 12 ministries did not have fire-fighting equipment in the record storage area, the equipment was stationed in the registry corridors. In the remaining one ministry, fire-fighting equipment was only available in the personnel registry and not even in the corridors.

5.2 Kenya National Archives and Documentation Service and the Management of Records Throughout the Continuum

The second objective of the study was to establish the extent to which the KNADS assisted registry personnel to effectively manage records during their continuum. Data relating to this objective were obtained by means of questionnaires administered to registry staff (items 164 to 169 in Appendix 1), an interview schedule for archives staff from Nairobi Records Centre and the KNADS headquarters (items 1 to 19 in Appendix 3) and an interview schedule for senior ministerial officers (items 15 and 16 in Appendix 2).

5.2.1 Data from Registry Staff

The findings of the study were that all 157 (100%) registry personnel were aware of the existence of the KNADS. When asked to indicate if they received professional records management advice from the KNADS, all 157 (100%) replied "yes". Respondents were asked to indicate the nature of records management advice received from the KNADS and their multiple responses varied, as shown in Table 30.

Table 30: Nature of Records Management Advice Received From KNADS Archives Personnel (n=157)

Advice received	Total number indicating advice	Percentage
Registry management	144	91.7
Records preservation	127	80.9
Files management	113	72
Records security	106	67.5
Reports management	43	27.4
Forms management	43	27.4
Disaster management	37	23.6
Directives management	32	20.4

Table 30 shows that the most cited records management advice received from the KNADS was registry management, with a score of 144 (91.7%), followed by records preservation, with a score of 127 (80.9%). The least cited was advice on directives management and disaster management, accounting for 32 (20.4%) and 37 (23.6%), respectively. When asked to reveal the means used to contact the KNADS, respondents' multiple responses were as given in Table 31.

Table 31: Means Used by Registry Personnel to Contact KNADS (n=157)

Means used	Number indicating means	Percentage
Correspondence	124	79
Personal visits	97	61.6
Telephone	71	45.2
E-mail	33	21
Fax	6	3.8

Table 31 shows that the most cited means used to contact KNADS was correspondence, accounting for 124 (79%) of the respondents. The least cited means was fax and e-mail, accounting for six (3.8%) and 33 (21%), respectively. Respondents were asked if they faced any problems when seeking professional advice from the KNADS. Their response is shown in Figure 39.

Figure 39: Faced Problems When Seeking Professional Advice From the KNADS

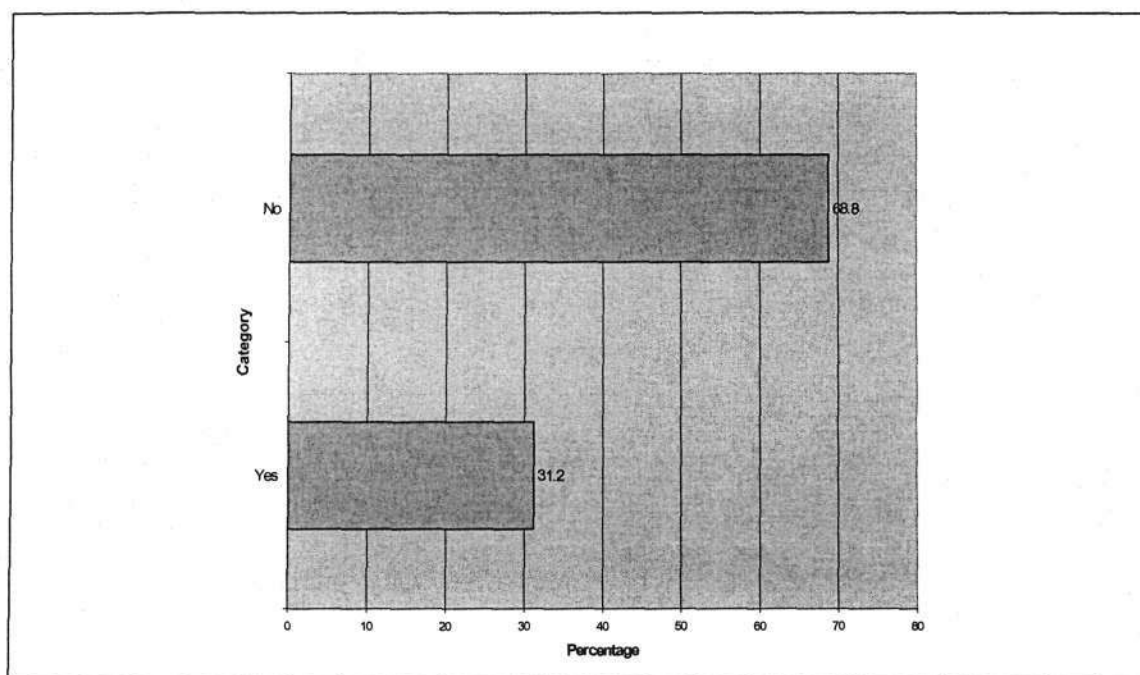


Figure 39 shows that 188 (68.8%) did not face any problems, while 49 (31.2%) replied that they faced problems when seeking professional advice from the KNADS. The 49 (31.2%) respondents were asked to reveal the nature of problems faced. Thirty-six (73.5%) cited delays in response, while 13 (26.5%) cited non-response, from the KNADS.

5.2.2 Data From Senior Ministerial Officers

Item 15 in the interview schedule for senior ministerial officers (see Appendix 2) sought to establish if they collaborated with the KNADS. All 10 (100%) replied that they collaborated with the institution. Typical responses to whether or not they sought assistance from the KNADS were as follows:

"...yes we do contact the Kenya National Archives to assist in managing our records..."

“...various government circulars from the Office of the President and Directorate of Personnel Management have been encouraging us to liaise with the Kenya National Archives to improve recordkeeping in our ministries...”

When asked to state if they faced any challenges in collaborating with the KNADS, six (60%) said “yes” and the remaining four (40%) responded in the negative.

5.2.3 Data From Archives Personnel

Items one to 19 of the interview schedule for archives personnel (see Appendix 3) sought data relating to professional records management advice provided by the KNADS to registry staff. Question one intended to establish the activities that constituted the job description of archives personnel. Their multiple responses are given in Table 32.

Table 32: Activities Constituting Job Description of Archives Personnel (n=6)

Activity constituting job description of archives personnel	Total number citing activity	Percentage
Implementing the provisions of the Public Archives Act cap 19	6	100
Conducting records surveys and appraisal	6	100
Preparation of records retention schedules	6	100
Providing advice on records disposition	6	100
Provision of records management consultancy services	3	50
Administration of record centre resources	2	33.3

Table 32 shows that the most cited activities were implementing the provisions of the Public Archives Act Cap 19, conducting records surveys and appraisal, preparation of records retention schedules and providing advice on records disposition, with a score of six (100%) each. The least cited activity was the administration of the record centre resources, with a score of two

(33.3%). Under the "other, please specify" category, one respondent gave training students on records management practical attachments and processing records (archives), which had been appraised and transferred to the National Archives for permanent preservation. Another respondent cited supervision to ensure implementation of all the activities constituting the job descriptions of archives personnel (see question 1 in Appendix 3).

When asked if they provided records management advice to registry personnel, all six (100%) archives staff recorded a "yes" response. When asked to indicate the areas of professional records management advice they provided to registry personnel in government ministries, they cited registry management procedures, records surveys and appraisals, preparation of record retention schedules and records disposition. Under the "other, please specify" category, they named records management training to registry personnel and heads of departments. Respondents were asked to provide statistics indicating the year, ministry and nature of professional records management advice provided in the past five years. Three of the six archives personnel provided the following statistics, as given in Table 33.

Table 33: Records Management Advice Provided by KNADS in the Last Five Years to Ministries/Departments

Nature of advice	Ministry/Department	Year service provided
Records classification and developing file index	Justice and Constitutional Affairs (Governance and Ethics Dept) Vice-President and Ministry of Home Affairs (Probation Dept)	2005
Records survey and appraisal	Planning and National Development (HQ)	
Records classification	Planning and National Development	2004
Survey and appraisal	Planning and National Development Health (HQ)	
Training Registry staff	Planning and National Development	
Records disposal	Labour (HQ) Office of the President (Dept. of Defence) Education, Science and Technology (Kenya Literature Bureau) Energy (National Oil Corporation)	
Develop Records management policy	Foreign Affairs Finance (Kenya Revenue Authority) Tourism and wildlife Energy (National Oil Corporation)	
File classification	Office of the President (State House, Provincial Administration)	2003
Records survey and appraisal	Office of the President (State House, Provincial Administration)	

Develop records management policy	Trade (Kenya Bureau of Standards, Kenya National Trade Corporation) Wildlife (Kenya Tourist Development Corporation) Information and Communication (Kenya Institute of Mass Communication, Postal Corporation of Kenya) Water and Irrigation (National Irrigation Board)	
Records disposal	Trade (Kenya Bureau of Standards, Kenya National Trade Corporation) Wildlife (Kenya Tourist Development Corporation)	
Records survey and appraisal	Vice-President and Ministry of Home Affairs (Prisons Dept)	2002
Develop records management policy	Agriculture (National Cereals and Produce Board, Kenya Tea Development Authority) Labour and Housing (National Housing Corporation, Export Processing Zone, Investment Promotion Council) Gender, Culture and Sports Energy (Kenya Pipeline)	
Records disposal	Agriculture (National Cereals and Produce Board, Kenya Tea Development Authority) Labour and Housing (National Housing Corporation, Export Processing Zone, Investment Promotion Council) Gender, Culture and Sports Energy (Kenya Pipeline)	
Review of filing classification system	Finance (HQ)	2001
Records survey and appraisal	Finance (HQ)	

Table 33 shows that archives personnel from the Nairobi Records Centre provided records management advice in the last five years to various government ministries and departments within the ministries. It can be seen from Table 33 that archives staff provided records management advice to state corporations (parastatals) within the various ministries. Overall, the nature of advice provided included;

- Review of records classification and index systems ;
- Records survey and appraisal ;
- Records disposition ;
- Developing records management policy ; and
- Training registry personnel.

Certain trends and patterns can be observed from Table 33 regarding the records management advice provided by the KNADS in the last five years to government ministries and departments. Whereas in the year 2001, few institutions were visited and the range of records management advice was limited to review of filing systems (colour coded red) and records survey and appraisal (colour coded green), in the subsequent three years, that is 2002 to 2004, the number of visits by KNADS archives personnel to government ministries and departments increased, including the range of records management advice provided. For example, advice was provided in areas such as records disposal (colour coded orange), developing records management policy (colour coded pink), file classification (colour coded red) and training of registry personnel (colour coded blue). It can be noted from Table 33 that, in the years 2002, 2003 and 2004, archives personnel provided records management advice to government departments within the specific ministries and the ministry's headquarters, as well as to parastatal organizations within the specific ministries.

Table 33 shows that KNADS archives personnel not only made visits to different departments in one ministry in a single year, but also made visits to different departments in one ministry in different years. Table 33 indicates that the most provided records management advice over the five years was records survey and appraisal and records disposal, followed by records classification and developing file indexes.

The emphasis on records surveys and appraisal and records disposal by KNADS archives personnel to government ministries and departments, in the years 2002, 2003, 2004 and 2005, could be attributed to the various records

management circulars issued by the Office of the President and Directorate of Personnel Management. Many ministries had semi-current and non-current records, mixed with current records, thus making registries unable to provide accurate records and information needed for quick and timely decision-making. The circulars advised government ministries and departments to seek the advice from the KNADS in order to streamline their registry management practices as a way of improving public service delivery. For example, between 1999 and 2003, the government issued four records management circulars (see Chapter Three, Section 3.5.2). The issuance of records management circulars may have led to government ministries and departments seeking professional advice from the KNADS on how to manage their records, thus leading to field surveys and appraisal visits to government ministries and departments by KNADS archives staff.

During the period 2001 to 2005, the Government of Kenya was carrying out public sector reform programmes and records management was identified as being one of the critical factors that would determine the success of the reform programmes. In this regard, government ministries sought more assistance from the KNADS while, conversely, the KNADS was keen to provide records management advice to government ministries and departments as a way of not only justifying its central role in the successful implementation of public sector reforms, but also marketing its services within the Kenyan public service.

All six (100%) archives personnel reported that they conducted records surveys. Regarding the issues covered when conducting records surveys, four (66.7%) out of six cited review of filing classification and indexing systems, types of records created/received, records storage conditions, developing records disposition schedules and review of records distribution systems. The remaining two (33.3%), in addition to what had been cited by the four (66.7%), cited training needs assessment in records management and review of previous contacts with the KNADS. When respondents were

asked to indicate how frequently they conducted records surveys, their responses were :

- “ according to our work programme”;
- “records surveys are not conducted regularly”;
- “once every three to five years depending on the workload”;
- “according to need in public offices vis-à-vis our resources”; and
- “as and when we complete one provenance (ministry/department)”

It was established that all six archives personnel conducted records appraisal. The criteria used when conducting appraisal work was value and functional-based appraisal criteria six. Under the “other, please specify” category, one respondent cited “uniqueness of information contained in the records” as an additional appraisal criterion they used. All six indicated that they provided assistance to registry staff to develop retention schedules and dispose of records with no continuing value.

Archives personnel were asked to indicate if registry staff implemented advice provided concerning management of records. Four (66.7%) recorded a “no” response, while the remaining two (33.3%) recorded a “yes” response, but added that this varied from office to office. The four (66.7%) respondents who indicated that registry personnel did not implement advice provided relating to the management of their records were asked to state reasons for non-compliance, from a list of options provided (see question 17 in Appendix 3). Their multiple responses are given in Table 34.

Table 34: Reasons for Non-compliance of Records Management Advice Provided to Registry Personnel (n=4)

Reason for non-compliance of records management advice provided	Total number reporting reason	Percentage
Lack of support from senior ministerial officers	4	100
Lack of trained registry staff	3	75
Constant transfers of registry staff	3	75
Non-enforcement of the provisions of Cap 19	3	75
Public Archives Act Cap 19 not giving records creators more responsibility to manage their own records	3	75
Low priority accorded to records management in government ministries	2	50
Lack of regular follow-ups by Nairobi Record Centre Staff	2	50

Table 34 shows that the most cited reason was lack of support from senior ministerial officers, while the least cited reasons were the low priority accorded to records management and lack of regular follow-ups by Nairobi Record Centre staff.

5.3 Existing Records and Archives Legislation and the Extent to Which it Facilitates the Management of Public Sector Records

Records and archives legislation exist in many countries, in the form of a National Archives Act, or there might also be rules and regulations in force. It is often useful to evaluate a records management system by means of a SWOT (strengths, weaknesses, opportunities and threats) analysis. The purpose of a SWOT analysis is to reinforce strengths, remedy weaknesses, take advantage of opportunities and deflect threats (Roper and Williams 1999:34).

The third important objective of the study was to subject existing records and archives legislation in Kenya (Public Archives and Documentation Service Act Cap 19) to a SWOT analysis, as a way of establishing the extent to which it

facilitated management of public sector records. Data to address this objective was obtained through Items 29 to 61 in the interview schedule for archives personnel (see Appendix 3) and complemented this with a content analysis of the Public Archives and Documentation Service Act Cap 19.

5.3.1 Responsibilities of Director KNADS and Record Creating Agencies

When asked if Cap 19, in its current form, stated the responsibilities of the Director, KNADS, all six (100%) archives personnel recorded a "yes" response. They added that the responsibilities of the Director, KNADS, in relation to records management, were spelt out in Section 4 (1) a-b of Cap 19. Respondents were asked to indicate from a list of choices provided (see Question 30 in Appendix 3), what constituted the responsibilities of the Director, KNADS, with regard to the management of public records. Their multiple responses are given in Table 35.

Table 35: Responsibilities of the Director, KNADS (n=6)

Responsibility of Director KNADS	Number reporting responsibility	Percentage
Examine public records and advise on their care	6	100
Conduct record surveys and appraisals	6	100
Require the transfer to his/her custody, public records with archival value	6	100
Advise on preparation of record retention schedule	6	100
Advise on records disposal	6	100
Provide records management training	4	66.7

Table 35 shows that the least cited responsibility of the Director, KNADS, with regard to the management of public records, was providing records management training, with a score of 4 (66.7%). One respondent among the four who cited provision of records management training as one of the

responsibilities of the Director, KNADS, noticed that this responsibility was not explicitly stated in Cap 19, but implied. Section 4 (1) a Cap 19 states that the Director:

“...may examine any public records and advise on the care, preservation, custody and control thereof...”

When asked if Cap 19 in its current form, stated the responsibilities of records creating agencies in managing their own records, all six (100%) recorded a “no” response.

5.3.2 Continuity of Records Care

When asked if Cap 19 stressed the continuity of records care during their entire life-cycle, four (66.6%) out of six archives staff gave a “no” response, one (16.7%) respondent answered in the affirmative and the other one (16.7%) respondent was not sure whether the Act stressed or did not stress the continuity of records care during their entire life-cycle. When asked how Cap 19 stressed the continuity of records care during their entire life-cycle, the one (16.7%) respondent who recorded a “yes” response explained as follows: “the Act stresses constant consultation between archives and records creating agencies”.

The other one respondent who gave a “somehow” response justified his response by noting that Cap 19 Section 4 (1) a-k listed Directors’ records and archives management responsibilities and this implied an aspect of continuity in records care.

Five (83.3%) out of the six archives personnel replied that the Act did not establish partnerships between record-creating agencies and the Director, KNADS, while the remaining one respondent answered in the affirmative. When respondents were asked to state if Cap 19 covered the management of paper and non-paper based records, five (83.3%) recorded a yes response, while one recorded a no response. Those five (83.3%) who indicated that

Cap 19 covered both the management of paper and non-paper records justified their response by citing section 2 of Cap 19, which states that:

“...records include not only written records, but records conveying information by any means whatsoever...”

5.3.3 Powers of the Director, KNADS

Five (83.3%) felt that Cap 19 did not provide for sufficient penalties with regard to destruction or alteration of public records, while the remaining one respondent felt that Cap 19 provided sufficient penalties. All six (100%) archives personnel noted that Cap 19 gave sufficient authority to the Director of KNADS to take custody of all public records.

Four (66.7%) archives personnel answered that Cap 19 did not give the Director, KNADS, authority to conduct research with respect to the improvement of recordkeeping in the public service, while two (33.3%) responded in the affirmative. When asked if the Act gave the Director of KNADS authority to collect and disseminate information on technological developments relating to records management in public agencies, four (66.7%) gave a “no” response, while the remaining two (33.3%) stated in the affirmative. Those two (33.3%) respondents who gave a “yes” response cited the application of computers in records management as an example of technological developments disseminated to public agencies. On-going government e-governance initiatives in the public service would lead to increased use of computers in government ministries. They cited microfilming as an example of technology they had advised government ministries to use. They noted that the KNADS had microfilmed the Ministry of Lands land title deeds.

5.3.4 Revision of the Public Archives and Documentation Service Act Cap 19

When asked if Cap 19 had undergone revision since its enactment, and new clauses introduced, all six (100%) archives personnel recorded a “yes”

response. When asked to name the new clauses introduced when Cap 19 was revised in 1991, they cited the following: Head of Service re-designated from Chief Archivist to Director; title of Department changed from Kenya National Archives to Kenya National Archives and Documentation Service; and establishment of a National Documentation and Information Retrieval Service.

A content analysis of the Public Archives and Documentation Service Act Cap 19 confirmed that new clauses were introduced when the Act was revised in 1991. Section 3 of The Public Archives (Amendment) Bill, 1990, stated that Section 1 of the principal Act was amended by repealing Section 1 and inserting the following:

“...this Act may be cited as the Public Archives and Documentation Service Act...”

Section 2 of the principal Act was amended by deleting the definition of “Chief Archivist” and “Service” and inserting the following: “Service” means the Kenya National Archives and Documentation Service established by Section 3 of the Act. Section 6 indicated the creation of the National Documentation and Information Retrieval Service division within the KNADS.

5.3.5 Strengths and Weaknesses of Cap 19

All six (100%) archives personnel said that Cap 19 had strengths in relation to the management of public sector records. They cited the following as some of the Act's strengths: the Act empowers the Director to examine all public archives and advise on their care, preservation and custody, transfer valuable records to his/her custody and authorize the destruction of valueless records to create space in government offices. They regarded the definition of public records, as in Cap 19, as adequate.

All six (100%) archives personnel felt that Cap 19 had weaknesses in relation to the management of public records. The following were typical responses in relation to the weaknesses of Cap 19:

“...it lacks the means or instruments to enforce the provisions contained there-in...”

“...it only establishes the Office of the Director. He can only advise on records management and the Act does not specify who enforces the provisions of the Act in case of an offence...”

“...It does not address private records/archives which would have implications on society...”

“...lack of clear-cut responsibilities for creators of public records...”

“...lenient penalties for those who contravene the provisions of the Act...”

“...component of records management is not explicitly stated in the Act, it is only implied...”

“...Director has no powers to prosecute...”

When asked if there were clauses archives personnel would like introduced into the current Public Archives and Documentation Service Act Cap 19, to enhance the management of public records, all six (100%) gave the following as new clauses they would like introduced :

- Director's powers in respect to private records/archives;
- Role of public offices in managing their records;

- Provision of adequate resources to implement the provisions of Cap 19;
- Prosecution of offences relating to the destruction of public records.

Respondents were asked to indicate how the proposed new clauses would enhance management of public sector records in Kenya. Respondents replied that the new clauses would arrest unauthorized destruction, mishandling and mutilation of public records, public offices would embrace their responsibilities in respect to records management and the Department would be provided with adequate resources, commensurate with its records management responsibilities in the public service.

5.3.6 Opportunities and Threats Lend by Cap 19

Archives personnel were asked to state if opportunities existed which would be utilized by the Director of KNADS to enhance management of public records, using the current Public Archives Act. Their multiple responses were as given in Table 36.

Table 36: Opportunities that can be Utilized by Director KNADS to Enhance the Management of Public Records (n=6)

Opportunity that can be utilized by Director KNADS to enhance records management	Total number reporting opportunity	Percentage
Clamour for transparency and accountability in the public service	6	100
E-government strategy	6	100
New socio-political environment in Kenya	6	100
Fight against corruption in the public service	6	100
On-going public sector reform programmes	6	100
The current clamour for freedom of information legislation	6	100
Existence of training institutions in records management	5	83.3

Table 36 shows that the least cited opportunity, which would be utilized by the Director of the KNADS to enhance the management of public records, was the existence of training institutions in records management, with a score of five (83.3%). When asked if the Director of KNADS faced any particular threats (challenges) in using the Public Archives and Documentation Service Act Cap 19 to manage public records, all six (100%) gave a "yes" response. When probed to indicate the particular challenges they faced, their multiple responses were as given in Table 37.

Table 37: Challenges Faced by Director of KNADS in Using Cap 19 to Manage Public Records (n=6)

Challenge faced	Number indicating challenge	Percentage
Inadequate professional staff	6	100
Insufficient government funding	6	100
Staff lacking skills in IT	6	100
Lack of co-operation from senior government officers	6	100
Insufficient marketing of records management in the public service	6	100
No clear records management strategic direction	2	33.3

Table 37 shows that the least cited challenge faced by the Director of KNADS in using Cap 19 to manage public records was lack of a clear records management strategic direction, with a score of 2 (33.3%). Under the "other, please specify" category, one respondent cited the lack of support in retention and disposal schedule preparation and implementation as a major threat to using Cap 19 to manage records effectively.

Five (83.3%) archives personnel felt that Cap 19 had facilitated the management of public sector records while one respondent gave a "no" response. Those five (83.3%) who indicated that Cap 19 facilitated management of public sector records justified their responses by listing the following:

- Survey and appraisal visits had been facilitated in government ministries;
- Some ministries had prepared records retention and disposal schedules;
- Ministries had been sensitized on the need to manage records properly;
- The profile of records management had been raised in the public service; and
- Valuable records had been transferred to KNADS, while valueless ones had been destroyed.

The one respondent who indicated that Cap 19 did not facilitate management of public sector records justified his/her response by stating that Cap 19 did not delegate clear records management responsibilities between record-creating agencies and the KNADS.

5.4 Extent of Computer Applications in Records Management and the Resultant Challenges

The fourth objective of the study was to establish the extent of computer application in registry management and the resultant challenges. Data addressing this objective was sought from questionnaires administered to registry personnel, interviews with KNADS archives personnel and by the observation checklist

5.4.1 Data from Registry Personnel

Questionnaire items 170 to 193 sought information relating to computer applications in registry management. The specific issues investigated were: presence of computers; if networked; if used to create records and guidelines for identification, storage, labelling, security, appraisal, disposition and long-term preservation. Other aspects investigated were how computers would assist in managing records and challenges faced in managing electronic records.

When asked if they had a computer in the registry, responses varied, as shown in Figure 40.

Figure 40: Presence of Computers in the Registry

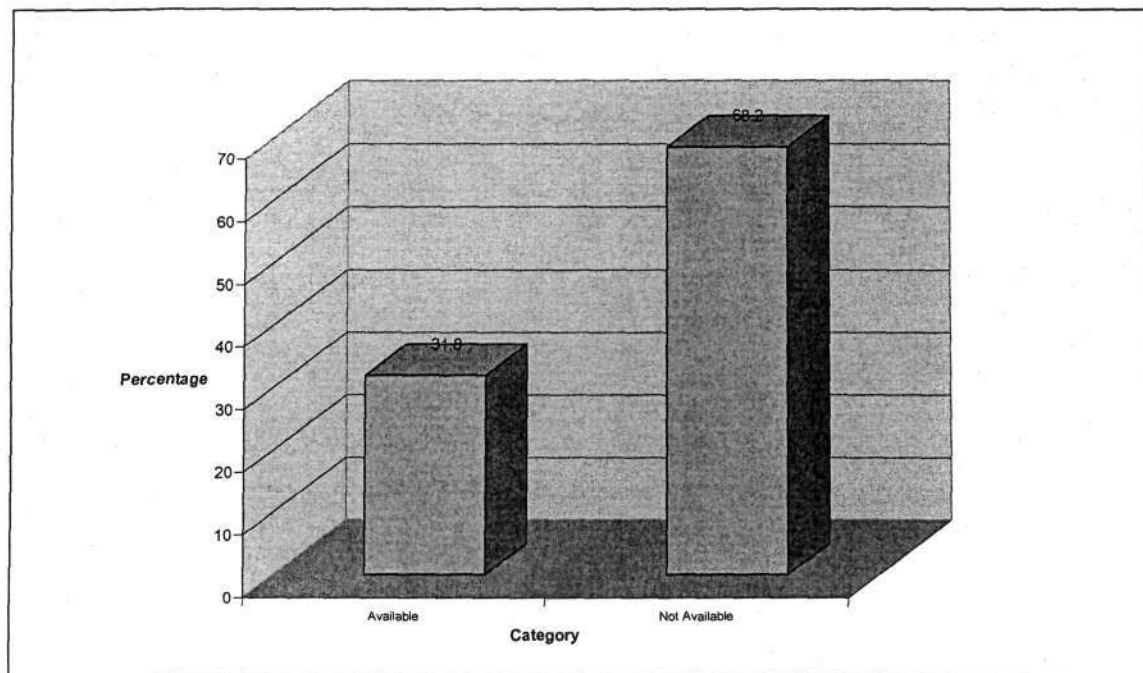
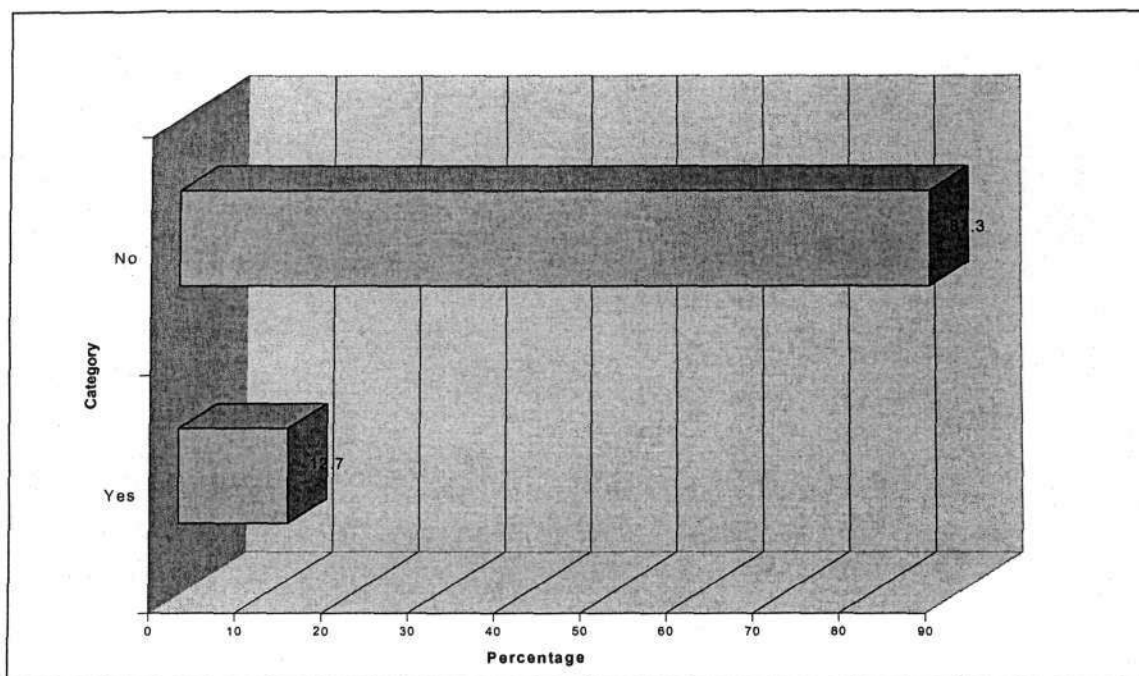


Figure 40 shows that 107 (68.2%) of the respondents did not have computers in the registry, while 50 (31.8%) answered in the affirmative. When asked if the computers were networked, 20 (12.7%) gave a "yes" response, while 137 (87.3%) responded in the negative, as illustrated by Figure 41.

Figure 41: Networking of Computers

The 20 respondents were asked to state the type of computer network available. All 20 (12.7%) cited the Local Area Network. When asked if they used computers to create records, responses varied, as shown in Figure 42.

Figure 42: Use of Computers to Create Records

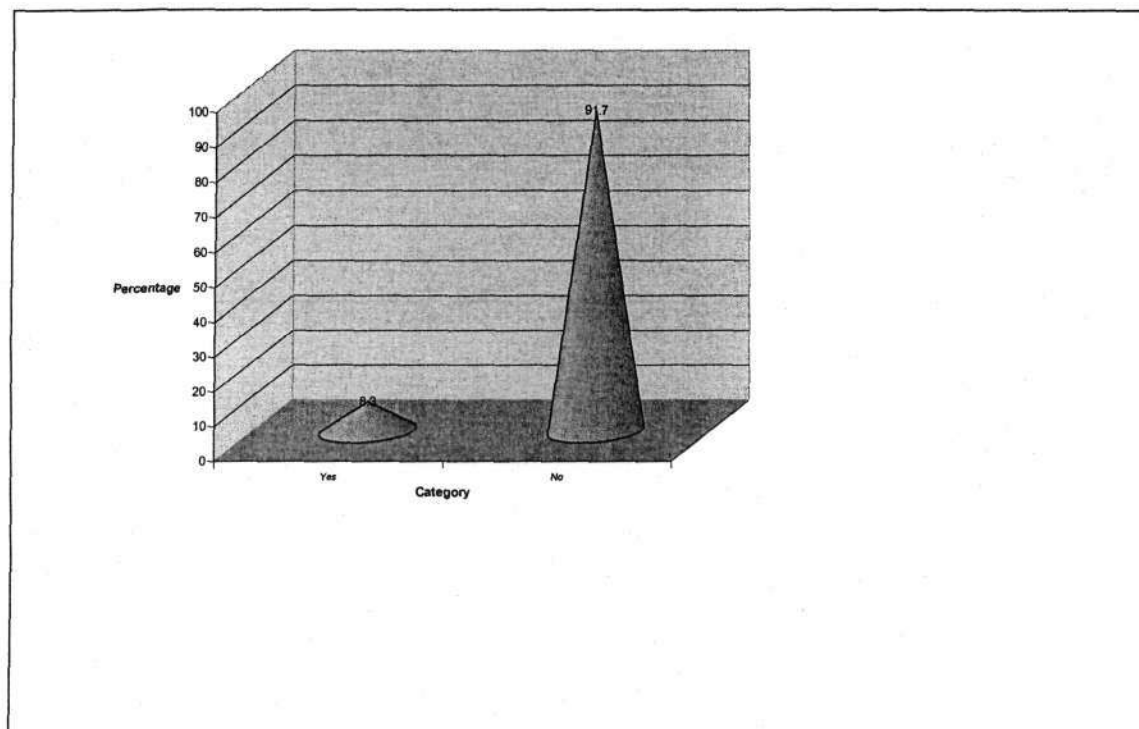


Figure 42 shows that 144 (91.7%) did not use computers to create records, while 13 (8.3%) gave a “yes” response. The 13 respondents (8.3%) who indicated that they used computers to create records were asked to indicate the types of electronic records, from a list of choices provided (see question 174 in Appendix 1). Their multiple responses are shown in Table 38.

Table 38: Types of Electronic Records Created (n=13)

Type of electronic record	Number indicating type of electronic record	Percentage
Emails	13	100
Databases	13	100
Spreadsheets	13	100
Word-processed documents	13	100

Table 38 shows that respondents cited emails, databases, spreadsheets and word-processed documents as the type of electronic records created, with a score of 13 (100%) each. None of the respondents cited multi-media

presentations, websites and online transactions as examples of electronic records created.

The 13 respondents who reported that they used computers to create records were asked to indicate the information captured when creating records. All 13 (100%) listed content, context and structure. The 13 did not have guidelines for the identification of electronic records. When asked if they had guidelines for the identification of electronic records, all 13 (100%) gave a "yes" response. All 13 (100%) respondents answered that they had a list of activities that formed the basis for the creation of electronic records.

Respondents were asked to reveal the formats used to create electronic records, from a list of options provided (see question 178 in Appendix 1). Their multiple responses are given in Table 39.

Table 39: Formats used to Create Electronic Records (n=13)

Format	Number indicating format	Percentage
Word processing format	13	100
Database format	13	100
Spreadsheet format	13	100

Table 39 shows that the formats used to create electronic records were word-processing, database and spreadsheet formats, with a score of 13 (100%) each. None of the respondents cited ASCII files, text files with mark up, audio and video/moving images. When asked to state the common medium used for the storage of electronic records, from a list of choices provided (see question 179 in Appendix 1), all 13 (100%) cited PC hard drives. None of the respondents cited use of mainframe storage, network attached storage, magnetic tape, CD-ROMS and WORM. Under the "other, please specify" category, respondents mentioned the use of floppy diskettes.

When asked if they had standard procedures for labelling storage devices such as diskettes, magnetic tapes and compact disks, all 13 (100%) gave a

"no" response. Questionnaire item 182 sought to establish the methods used to ensure the security of electronic records. Their multiple responses are given in Table 40.

Table 40: Methods Used to Ensure the Security of Electronic Records (n=13)

Method Used	Number indicating method	Percentage
Passwords	13	100
Log-in procedures	13	100

Table 40 shows that all 13 (100%) cited the use of passwords and log-in procedures as the methods used to ensure the security of electronic records. None of the respondents cited other methods of securing electronic records such as the use of access levels, firewalls, gate way filter software, online /offline storage, audit trails to track use and encryption techniques. All 13 indicated that they did not appraise electronic records, nor did they have procedures for appraising electronic records. When asked if they had procedures for the disposal of electronic records; all 13 (100%) gave a "yes" response. With regard to disposal of electronic records, the most common method used for disposal of electronic records was deleting, as cited by all 13 of the respondents. None of the 13 respondents cited the other options provided, namely use of reformatting, re-writing or crushing of the disk.

When asked to state the methods they used for the long-term preservation of electronic records, from a list of choices provided (see question 187 at Appendix 1), all 13 stated that they printed electronic records to paper. None of the 13 respondents cited the other options provided, namely use of migration to another medium, preservation of hardware and preservation of software as methods used for the long-term preservation of electronic records.

Certain benefits can be accrued from using computers in records management, such as improved data warehousing, speedy and efficient retrieval of information, improved records security and sharing of information resources. Respondents were asked to indicate how computers would assist in managing records. All 13 (100%) listed all the options provided in question 188 in Appendix 1, namely enhanced storage, retrieval, access, use, security, preservation, communication and report generation.

Registry personnel may face certain challenges relating to managing electronic records, such as technology dependence, legal admissibility, questions of access and security, application of principles of records and archives management and training users and registry personnel. When asked if they faced challenges in managing electronic records, all 13 (100%) gave a "yes" response. Respondents were asked to cite the challenges faced in managing electronic records, from a list of choices provided (see question 190 in Appendix 1). Their multiple responses are given in Table 41.

Table 41: Challenges Faced in Managing Electronic Records (n=13)

Challenge faced	Number challenge	indicating	Percentage
Preservation of data	13		100
Security of data	13		100
Lack of computer skills	13		100
Users lack computer skills	-		-
Lack of policy	13		100

Table 41 shows that respondents cited preservation of data, security of data, lack of computer skills and lack of policy as the challenges they faced in managing electronic records, with a score of 13 (100%) each. None of the respondents cited the other options provided, namely capturing metadata, hardware and software dependency, changing technology, authenticity and liability of electronic records and legal admissibility.

5.4.2 Data From Archives Personnel

Items 20 to 28 in the interview schedule for archives staff (see Appendix 3) sought to establish if KNADS archives personnel were involved in managing electronic records generated in the public sector. The specific aspects investigated were if they had undertaken a survey to determine the amount of electronic records generated, if they provided advice to registry staff on managing electronic records, collaboration with other IT professionals and government agencies and challenges faced in providing advice relating to the management of electronic records.

All six (100%) archives staff indicated that they had not undertaken a survey to determine the volume of electronic records generated in the public service. When asked if they provided advice to registry staff on how to manage electronic records, all six (100%) recorded a "no" response. All six (100%) indicated that they did not have an electronic records management programme for public sector records. When asked if they collaborated with other government IT professionals or agencies to develop a programme for managing electronic records in the public sector, all six (100%) gave a "no" response.

All six (100%) provided multiple responses, which indicated that they faced particular challenges relating to management of electronic records in government ministries, as shown in Table 42.

Table 42: Challenges Faced by Archives Personnel in Managing Electronic Records (n=6)

Challenge faced	Total number reporting challenge	Percentage
Lack of adequate staff	6	100
Lack of adequate IT training	6	100
Lack of adequate financial resources	5	100
Not determining amount of electronic records created	5	83.3
Inadequacy of existing records and archives legislation	5	83.3
Business administrators not including recordkeeping requirement when developing and updating software	5	83.3
Defining the role of system administrators and managers	5	83.3

Table 42 shows that the most cited challenges were lack of adequate IT training and lack of adequate staff, with a score of 6 (100%) each. The next most cited challenges were not determining the number of electronic records created, lack of adequate financial resources, inadequacy of existing records and archives legislation, business administrators not including recordkeeping requirements when developing and updating software and defining the role of system administrators and managers, with a score of 5 (83.3%) each.

5.4.3 Data From the Observation Checklist

Items eight and nine in the observation checklist (see Appendix 4) sought to establish the existence of computers in the registries and if they were applied in records management. The researcher sought to observe the storage equipment for electronic records and determine if there were any back-ups.

When the observation technique was used, the researcher observed the presence of computers in only four (33.3%) of the 12 ministries. The total number of computers in the four ministries was six. Out of the six computers, one ministry had three, while the remaining three ministries had one computer each. In one of the ministries which had one computer, the researcher was

informed that they were expecting 26 more computers. On the question of computer applications, in one ministry the computer stored data (on a database) relating to all personnel files in the ministry and the fields recorded included the name of staff, personal numbers (PF), designation and station. The other ministry with three computers used them to store Group Personal Accident Scheme file lists. These involved lists of government employees from various ministries who sought compensation from the government due to injuries caused while on government service. The storage equipment for electronic records was computer diskettes and hard drives. In the latter case diskettes were used as back-ups. In the remaining two ministries, the computers were not used for any purpose.

5.5 Professional Knowledge and Skills of Staff Responsible for Managing Records

The fifth objective of the study was to establish the professional knowledge and skills of registry personnel responsible for managing records. Data to address this objective were obtained from registry personnel and senior ministerial officers.

5.5.1 Data From Registry Personnel

Questionnaire items 194 to 200 (see Appendix 1) sought to establish the highest levels of professional education and training received in records management and what courses were offered by ministries to update their knowledge and skills and training needs in records management. Respondents were asked to indicate if they had received education and training in records management. Their responses are shown in Figure 43.

Figure 43: Received Education and Training in Records Management

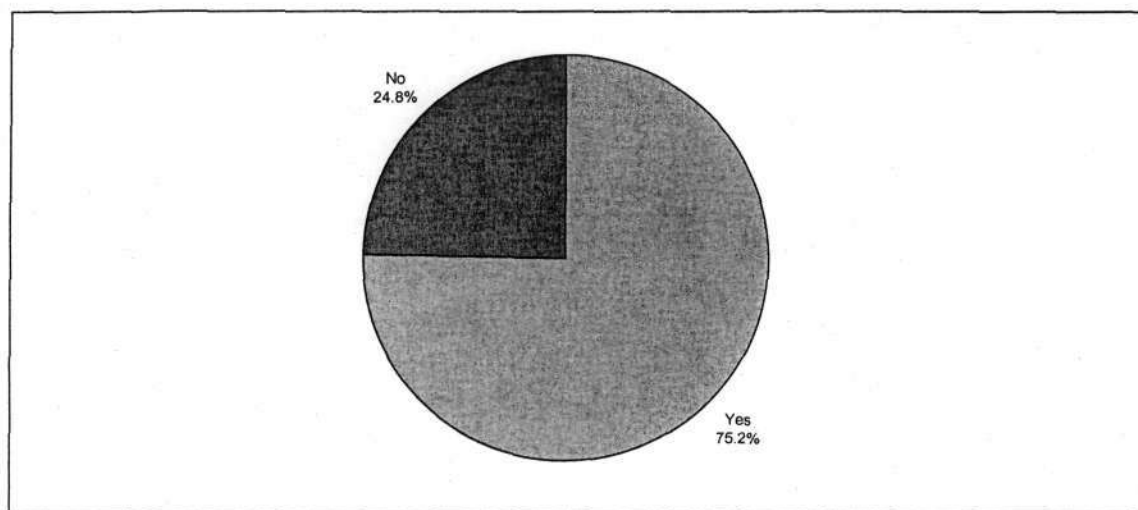


Figure 43 shows that 108 (75.2%) had received education and training in records management, while 39 (24.8%) had not.

Although this finding is contrary to data obtained from senior ministerial officers, who indicated that registry personnel had few training opportunities, it can be explained as follows. Archives personnel from the KNADS visited most ministries and provided records management advice to registry staff on how to manage records during their entire life-cycle (see Section 5.2.1). For example, all 157 (100%) answered that they were aware of the KNADS and 152 (96.8%) that they had received professional records management advice from the KNADS. Thus the education and training alluded to by registry personnel does not appear to refer to formal education and training received in formal training institutions, but rather records management knowledge and skills gained from archives personnel.

The researcher established that most of the registry personnel were of clerical cadre and were required to sit and pass proficiency examinations before attaining promotion. Among the papers sat in the proficiency examinations

was one on records management. Table 43 summarizes the highest levels of professional training received by registry personnel.

Table 43: Registry Personnel Education and Training levels in Records Management (n=157)

Registry staff education and training level	Frequency	Percentage
Not received training in archives and records management	78	49.7
Student at diploma level in archives and records management	35	22.3
Diploma in archives and records management	31	19.7
Certificate in archives and records management	13	8.3
Total	157	100

Table 43 shows that 31(19.1%) had received diploma level training in archives and records management, while 13 (8.3%) had received certificate level training. Seventy eight (49.7%) respondents reported that they had had not received any training in archives and records management. Respondents were asked to indicate if their ministry ran courses to update their knowledge and skills and their responses are as depicted in Figure 44.

Figure 44: Updating Registry Personnel Knowledge and Skills in Records Management

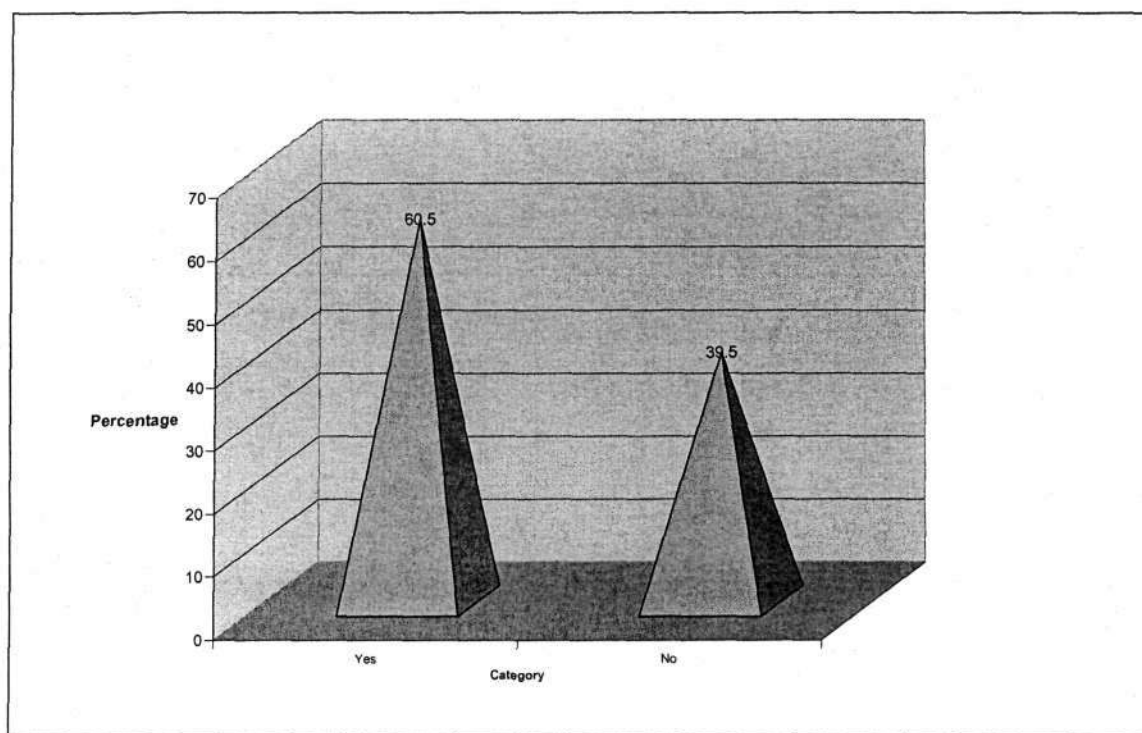


Figure 44 shows that 95 (60.5%) stated that their ministries ran courses to update their knowledge and skills in records management, while 62 (39.5%) gave a "no" response. When asked to state if they had attended any records management course run by their ministry, responses varied, as shown by Figure 45.

Figure 45: Attended Records Management Course run by Ministry

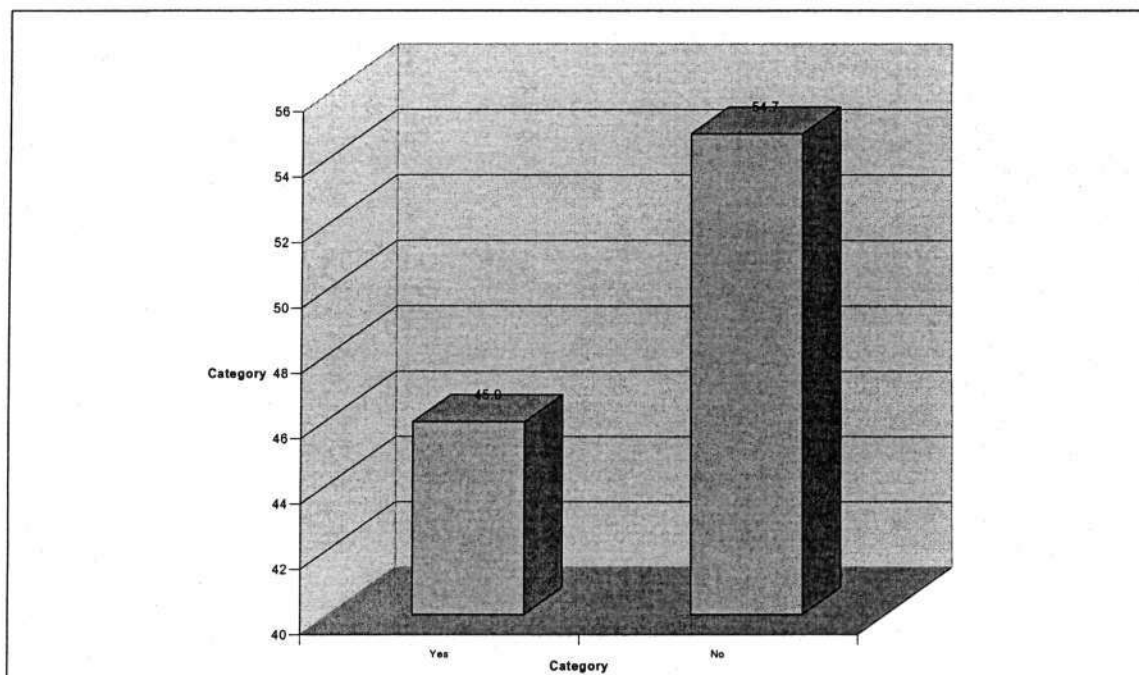


Figure 45 shows that 72 (45.9%) had attended records management courses run by the ministry, while the majority 85 (54.2%) had not.

Those 72 (45.9%) respondents who revealed that they had attended a records management course run by their ministry were asked to state the year, nature and institution that ran the course. Respondents cited a one-month records management course organized by the KNADS for registry staff in the year 2003. Also cited was a two-week training workshop for registry supervisors on records management, organized by the Directorate of Personnel Management held from 20 to 24 September 2004.

A sample of Certificate of Participation obtained by the researcher from one of the respondents indicates that participants covered the following areas:

- Introduction to registry management;
- Registry study-findings and recommendations;
- Mail management in the civil service;
- Management of active records 1 and 11;

- Management of semi-active records;
- Case studies from African countries;
- Information technology in records management;
- Management of non-current records and archives 1 and 11;
- Security of records; and
- Customer care.

Respondents cited a one-month records management programme run by the Eastern and Southern Africa Management Institute (ESAMI), Arusha, Tanzania, in the year 2005. When asked to tick from a list of choices provided what constituted training needs in records management (see question 199 in Appendix 1), respondents multiple responses showed that they had various training needs in records management, as given in Table 44.

Table 44: Registry Personnel Training Needs in Records Management (n=157)

Training need	Number indicating training need	Percentage
Computer applications in records management	144	91.7
Managing electronic records	136	86.6
Computer skills	117	74.5
User needs analysis	117	75.5
Management of paper records	115	73.2
Changing role of the registry	108	68.8

Table 44 shows that the most cited training need in records management was computer applications in records management, with a score of 144 (91.7%), while the least cited was the changing role of the registry, with a score of 108 (68.8%).

Respondents were asked to indicate the methods which would be useful in meeting their training needs in records management, from a list of choices provided (see question 200 in Appendix 1). The multiple responses of registry personnel are given in Table 45.

Table 45: Methods Useful in Meeting Registry Personnel Training Needs (n=157)

Method	Number indicating method	Percentage
Seminars and workshops	141	89.8
Training in records/archives schools and colleges	123	78.3
KNADS	121	77.1
On-the-job training	112	71.3
Internships	80	51
Consultants	64	40.8

Table 45 shows that the most cited method useful in meeting the training needs of registry personnel was seminars and workshops, with a score of 141 (89.8%), while the least cited method was the use of consultants, accounting for 64 (40.8%) of the respondents.

5.5.2 Data From Senior Ministerial Officers

Items 12 to 14 in the interview schedule (see Appendix 2) for senior ministerial officers sought to determine if ministries had a training needs assessment programme for registry staff, if ministries ran courses to update the knowledge and skills of registry personnel and whether or not a training policy for registry personnel existed. Six (60%) answered that they had a training needs assessment programme for registry personnel, while four (40%) did not. Seven (70%) said that they ran courses to update knowledge and skills of registry personnel, while three (30%) replied negatively. On whether or not they had a training policy for registry personnel, six (60%) recorded a "yes" response, while four (40%) gave a "no" response.

In one ministry which had a training policy for registry personnel, the officer in charge of training noted that a Training Needs Assessment (TNA) was part of on-going public sector reform initiative by the government:

“...there is a deliberate co-ordinated effort to conduct training needs assessment in the public service...in my ministry, training needs assessment covers officers in core departments and officers in non-core departments...”

According to the officer, the core departments were physical survey, lands, housing and land adjudication, while the non-core departments included general administration. The officer stated that in providing training opportunities, priority was given to those officers from the core or technical departments. Registry personnel were usually disadvantaged, as they were considered to fall under the general administration department, considered to be non-technical.

One of the methods used to determine training needs assessment was annual appraisal for all staff. It was established that various government initiatives relating to training of public officers had taken place. In the year 2004, the Directorate of Personnel Management organized a two-week TNA seminar for officers in charge of training in the various ministries. The Directorate of Personnel Management, with the support of the World Bank, initiated a training needs pilot project in six ministries, in May 2005. The six ministries included Roads and Public Works, Livestock and Marketing, Agriculture, Trade and Industry, Office of the President and Vice-President and Ministry of Home Affairs. The next phase of the project will cover ten other ministries.

One Senior Principal Personnel Officer pointed out that there were limited training opportunities for registry personnel. In all the ministries in which the officer had worked, registry personnel were disadvantaged in terms of access to training opportunities:

“...staff working in registries are a neglected lot...opportunities for training registry staff are limited compared to officers in other areas...”

In one ministry which indicated that they did not have TNA programmes for registry staff, the officer said that training was considered an essential element in meeting their mission and vision as contained in the ministry's strategic plan 2005-2010. The officer stressed that training would be a top priority of the ministry and all staff would be considered, including registry personnel.

5.6 Factors that Contribute to the Current State of Recordkeeping in Government Ministries

The sixth objective of the study was to establish the factors that contribute to the current state of recordkeeping in government ministries. To address this objective, data were sourced from registry personnel, senior ministerial officers, KNADS archives personnel and the observation checklist.

5.6.1 Data from Registry Personnel

Although the questionnaire for registry personnel did not have any specific question that sourced data relating to factors that contribute to the current state of recordkeeping in government ministries, responses from registry personnel were obtained through informal talks, when distributing questionnaires, or at the stage of their collection. From their comments, it was possible to isolate some of the factors that contributed to the current state of recordkeeping in government ministries. Typical single comments by registry personnel included:

- "Registries are neglected units in the ministries";
- "Registry staff is demoralized";
- "Lack of support from senior officers";
- "Lack of records management committee";
- "Record management is a neglected area in the ministries";
- "Registry personnel are ignored in this ministry";
- "Re-designation of supplies officers to records officers will have a negative effect on records management";
- "Registries are viewed as dumping grounds";

- “Few opportunities for training”;
- “Poor scheme of service”;
- “Storage space is inadequate”;
- “Health and safety of registry staff is not taken into account”

5.6.2 Data from Senior Ministerial Officers

Items 16 to 20 in the interview schedule for senior ministerial officers (see Appendix 2) sought to establish if they faced any challenges in managing records, factors contributing to the current state of recordkeeping and if any steps were being taken to address the challenges faced. All 10 (100%) indicated that they faced challenges while managing their records. Typical single comments by senior ministerial officers were:

“...records management situation is pathetic across all ministries, including our ministry...”

“...senior managers do not appreciate the role of records management...”

When asked to indicate the challenges faced from a list provided (see question 18 in Appendix 2), their multiple responses were as given in Table 46.

Table 46: Challenges Faced by Senior Ministerial Officers in Managing Records (n=10)

Challenge faced	Total number reporting challenge	Percentage
Non-application of IT in records management	8	80
Inadequate trained registry staff	7	70
Lack of records management policy	5	50
Lack of senior management support	5	50
Inadequate funding	4	40
Inappropriate storage equipment	2	20

Table 46 shows that the most cited challenge was non-application of IT in records management, with a score of 8 (80%), while the least cited challenge was inappropriate storage equipment, with a score of 2 (20%). Under "other, please specify", respondents cited the following challenges:

- Training of registry personnel;
- Practice of all mail going to permanent secretaries for marking to action officers delayed service delivery; in some cases, accounting officers delayed marking mail to action officers on time, thus compromising service delivery.
- Absence of registry work plans;
- Merging and separation of government ministries during cabinet reshuffles leading to records being scattered in two different ministries;
- Absence of recordkeeping manual in the public service;
- Official Secrets Act hindered maximum utilization of records for service delivery.
- Effects of re-designating supplies officers as records officers.

One senior ministerial officer observed that re-designating supplies officers as records officers had adverse effects on recordkeeping in government ministries. For example, records management was a new discipline to them, as they lacked formal education and training in records management. No scheme of service had been developed for these officers, thus leaving them demoralized. In one ministry, the researcher was informed by a newly re-designated officer that, despite the fact that he/she possessed a Bachelor of

Economics degree, which had made him/her suitable for recruitment as a supplies officer, after being re-designated as a records officer, he/she had opted to undertake a diploma in records and archives management at the Kenya Polytechnic.

When senior officers were asked to state if they were taking steps to address the challenges identified in managing their records, nine (90%) out of ten respondents replied "yes", while the remaining one responded in the negative. The nine (90%) respondents who said that they were taking steps to address the challenges, provided the following multiple responses from a list provided, as shown in Table 47.

Table 47: Steps Taken by Senior Ministerial Officers to Address Challenges Faced in Managing Records (n=10)

Step taken	Number indicating step	Percentage
Training registry staff	7	77.8
Adopting computerization	7	77.8
Seeking senior management support	6	66.7
Enhancing contacts with KNADS	4	44.4
Marketing records management	3	33.3
Increased registry funding	2	22.2

Table 47 shows that the most cited steps taken by senior ministerial officers to address challenges faced in managing records were training registry staff and adopting computerization, with a score of seven (77.8%) each. The least cited was increased registry funding, with a score of two (22.2%).

Under the "other, please specify" category, one respondent said that his ministry was in the process of formulating a records management committee, chaired by the undersecretary of administration. Other members of the

committee were the head of the training department and all officers in charge of registries in the ministry. The respondent volunteered the information that they were considering including the finance officer, or a representative from the finance department, in the records management committee. In another ministry, it was established that the ministry was developing a records management policy and improving the dissemination of information to action officers.

In one ministry, a Senior Personnel Officer interviewed revealed that, to improve the performance of registries, the government, in consultation with the World Bank, had launched a project known as Rapid Results Initiative. The Project, initiated by the Ministry of Finance through the Directorate of Personnel Management, was to cover the period March 2004 to December 2005. It identified the registry as a key focal point for service delivery in the public service and sought to reverse the existing poor file keeping, maintenance and tracking systems in the public service.

The main objective of the Rapid Results Initiative was to reduce the length of time taken to produce files when needed for action. Other objectives of the project included reducing file retrieval time from the current one week to two hours or less and improving service provision and customer care. The recordkeeping aspects that the project targeted were:

- Physical tracing of files every Wednesday of the week;
- Carrying out attitudinal tests on registry personnel;
- Enhanced use of file movement register;
- Having in place, systems in the registries that are result oriented;
- Having in place, registry work plans with specific targets;
- Having client service delivery surveys (internal and external);
- Having a plan for sustaining results by the computerization of personnel records through the Integrated Payroll and Personnel Database (IPPD) system; and
- Capacity building through IT packages, provision of adequate registry funding and the provision of sufficient equipment and tools.

5.6.3 Data From Archives Personnel

Archives personnel noted that the factors contributing to the current state of recordkeeping in the public service emanated from the weaknesses of the current Public Archives and Documentation Service Act Cap 19, which was enacted in 1965 (see Appendix 10). The weaknesses of Cap 19 have already been discussed in Sections 5.4.1 to 5.4.6.

Apart from the weaknesses of Cap 19, archives personnel pointed out other factors which had contributed to the current state of recordkeeping in Kenya, namely bad attitude towards registries, as they were perceived to be dumping grounds for inefficient staff; registries were generally ignored by senior management; lack of records management committees in the ministries and government policy; freezing the appointment of new staff in the public service had contributed to few staff being available in the KNADS to conduct records survey and appraisal visits in government ministries.

5.6.4 Data From Observation Checklist

Through the observation checklist, the researcher was able to identify the factors which contribute to the current state of recordkeeping in government ministries. These factors can be summarized as follows: mix-up of active and inactive files; inadequate records storage space in some ministries; records inventory not carried out; inadequate records preservation, as evidenced by prevalent wear, tear and dust; records disposal not carried out and non-adoption of IT in records management.

5.7 Records Management and Public Service Delivery

It has already been shown in Chapter One, Section 1.2 and Chapter Two, Section 2.3, that delivery of public services is dependent upon efficient records management practices. One key aspect of this study was to establish if existing records management practices undermine public service delivery in government ministries. To address this objective, data was obtained from registry personnel, senior ministerial officers and KNADS archives personnel.

5.7.1 Data from Registry Personnel

Questionnaire items 201 to 203 (see Appendix 1) sought to establish if registry personnel considered records management as key to the delivery of public services and if current recordkeeping practices undermined public service delivery. All 157 (100%) registry personnel considered records management as key to the delivery of public services. When asked to reveal if current recordkeeping practices undermine public service delivery, responses varied, as listed in Table 48.

Table 48: Records Management Practices and Public Service Delivery (n=157)

Undermines public service delivery	Frequency	Percentage
Uncertain	73	46.5
Yes	53	33.8
No	31	19.7
Total	157	100

Table 48 shows that 53 (33.8%) felt that existing records management practices undermined public service delivery, while 31 (19.7%) gave a "no" response. One significant finding was that 73 of the respondents were uncertain as to whether existing records management practices undermined or did not undermine public service delivery. The 53 (33.8%) and 73 (46.5%) respondents who answered "yes" and "uncertain", respectively, were asked to, give examples of how existing records management practices undermined public service delivery in government ministries. The single comments provided by respondents were:

- "Poor record storage facilities in some ministries resulted into file accumulation, wear and tear and presence of dust, thus compromising file access and use" ;
- "Lack of protective clothing for registry staff compromised file retrieval";
- "Lack of appraisal and disposal led to file accumulation, which hampered retrieval efficiency, hence compromising decision-making" ;

- “Lack of updated file retrieval and tracking tools hampered file access, thus compromising decision-making” ;
- “Unnecessary retention, non-recording and misplacement of files by action officers compromised decision-making, hence service delivery” ;
and
- “Non-adoption of IT in records management hampered efficient files storage, access and retrieval, security and preservation, thus compromising public service delivery”.

Regarding the non-adoption of IT in records management, one respondent answered:

“...there is too much paperwork....if electronic record systems are introduced, delivery of services to the public would be better...”

5.7.2 Data from Senior Ministerial Officers

Items eight to eleven in the interview schedule (see Appendix 2) for senior ministerial officers sought to determine if the services provided by the ministries were supported by records, the types of records that supported services provided and if current recordkeeping practices undermined public service delivery. All 10 (100%) senior ministerial officers answered that public service delivery was dependent on records. The types of records which supported service delivery were financial, personnel, administrative and policy files. Under the “other, please specify” category, the other types of records cited by respondents which supported service delivery were records on training, succession, planning, reports and technical reports.

All 10 (100%) respondents felt that current recordkeeping practices affected service delivery in their ministries. When asked to indicate, from choices provided, how current recordkeeping practices affected public service delivery, their multiple responses were as shown by Table 49.

Table 49: Senior Ministerial Officers Views on how Current Recordkeeping Practices Affect Public Service Delivery (n=10)

View	Total number reporting view	Percentage
Records cannot be located easily	7	70
Delayed decision-making	7	70
No decisions taken at all	4	40
Transparency and accountability compromised	2	20
Difficulties in meeting citizens and employee rights	1	10

Table 49 shows that the most cited view regarding how current recordkeeping practices affected public service delivery were that records could not be located easily and delayed decision-making, with a score of seven (70%) each. The least cited view was difficulties in meeting citizens and employee rights, with a score of one (10%).

5.7.3 Data from Archives Personnel

Items 18 and 19 in the interview schedule (see Appendix 3) for archives personnel sought to establish if, in their view, provision of recordkeeping advice to registry staff enhanced service delivery. All 6 (100%) felt that the provision of recordkeeping advice to registry staff enhanced public service delivery.

Respondents were asked to provide examples of this. In general, archives personnel felt that records management advice provided to registry staff enhanced public service delivery. Typical responses by archives personnel were as follows:

“...efficient file subject classification schemes leads to quick and efficient records retrieval and prompt decision-making on the part of action officers...”

"...in working registries service delivery is fast and efficient..."

"..File and retrieval is efficient, leading to prompt decision-making..."

"...proper records management eliminates corruption in public service and transparency is enhanced..."

"...poorly organized records are a good breeding ground for corruption, as people are induced to bribe before their files are retrieved..."

"...good records management practices have greatly reduced corruption in those organizations notorious for corrupt practices..."

"..appraisal and disposition of records led to decongestion of registries, expanding and creating efficient use of office space, providing efficiency and economy in both storage and retrieval of files..."

"...updating finding aids leads to prompt records retrieval and decision-making..."

"...controlled file opening and closure curbs file loss in registries..."

"...training of registry clerks and supervisors leads to acquisition of new knowledge and skills in records management, cases of missing files reduced, improved attitude and service delivery..."

5.8 Recommendations by Respondents

The preceding sections of this chapter show that, in the 18 ministries surveyed, respondents identified various recordkeeping issues that affect current records management practices. The present study also demonstrated that existing records management practices, to some extent, undermined public service delivery. Registry personnel, archives personnel and senior ministerial officers were asked to provide recommendations to address the issues identified which affected records management practices. The discussion that follows highlights the recommendations that were provided by each of these respondents.

5.8.1 Recommendations by Registry Personnel

Questionnaire item 204 (see Appendix 1) required registry personnel to provide additional information which would improve current recordkeeping practices and enhance public service delivery. Registry personnel made the following recommendations:

- Train registry personnel with no formal education and training in records management;
- Provide education and training in records management to supplies officers who were re-designated as records officers and are now in charge of registries;
- Sensitize action officers and secretarial staff on the importance of records management, as they are involved in handling records on a daily basis;
- Deliberate efforts be made to change the image of the registry as a "dumping ground" for officers;
- Provide sufficient registry equipment and supplies;
- Sensitize all officers in the ministries on the importance of information contained in the records, to enhance better handling and care of records;
- Have in place records management committees;
- Computerize registry operations;
- Systematically appraise records and their disposal;

- Promote health and safety of registry personnel through the provision of dust coats and masks; and
- Provide registry with fire-fighting equipment.

5.8.2 Recommendations by Senior Ministerial Officers

Item 21 on the interview schedule (see Appendix 2) for senior ministerial officers required them to make recommendations which would help enhance recordkeeping in ministries:

- Computerize registry operations to enhance storage, access and security of records;
- Establish records management committees in the ministries;
- Develop a recordkeeping manual to be applied in all ministries;
- Sensitize senior officers in the ministries on the role of records management in meeting the vision and mission of ministries;
- Change existing mail management procedures;
- Develop a scheme of service for registry personnel;
- Provide education and training to supplies officers re-designated as records officers; and
- Market records management in the public service.

5.8.3 Recommendations by KNADS Archives Personnel

Item 60 in the interview schedule (see Appendix 3) for archives personnel asked them to make recommendations which would enhance management of recordkeeping practices in government ministries. Archives personnel recommended the following: the government should empower KNADS with more resources to implement the provisions of Cap 19 in relation to records management in the public service; make deliberate efforts to sensitize public officers on the importance of records management; establish a records management cadre in the ministries, with a corresponding scheme of service; and revise existing records and archives legislation and define the role of record-creating agencies in managing their own records. Other recommendations by archives personnel were for archivists to acquire IT skills, to enable them to provide advice to record creating agencies on how to

manage electronic records; recruitment and deployment of staff in the registries, based on records management qualifications and experience; and raising the profile of records management in the public service, through marketing.

5.9 Summary of Findings

Some of the major findings of the study were:

5.9.1 Ministry and Registry Mission Statement

- All ministries surveyed had mission statements;
- Most registries lacked mission statements;
- Records management was considered by registry staff as being core to the attainment of ministry's mission statements; and
- Some senior ministerial officers did not consider records management as being core to the attainment of the ministry's mission, vision and core values.

5.9.1.1 Records Management Policy, Committee, Manual and Audit

- Records management policies were absent in most registries;
- Registry procedures manual were not available in most registries; and
- Most registries did not have records management committees.

5.9.1.2 Registry Budget

- Registries were not allocated their own budgets;
- Registries were funded from the central administration, personnel, general funds or miscellaneous votes;
- Most registry personnel indicated that the state of registry funding was not adequate; and had not increased or decreased in the past five years;
- Most senior ministerial officers reported that registry funding had not increased or decreased over the past five years; and
- Registry personnel faced particular problems due the current state of registry funding.

5.9.1.3 Records Creation

- Most registries lacked a policy for creating paper records;
- A list of activities that constituted the basis for records creation was not available in most registries;
- The most cited criterion for creating files was precedent;
- Ministries created vast volumes of records, depending on their functions, and the main medium for records creation was paper; and
- Registry personnel did not have the number for the exact amount of active, semi-active and non-active files.

5.9.1.4 Classification and Indexing

- Most registry personnel indicated that current classification systems were not easy to understand, out of date, not updated and incomplete;
- Most classification systems were not backed by procedures manual;
- Classification systems in most registries did not support organizational requirements;
- Most classification systems were not amenable to automation;
- Although study findings indicated that some registries used a controlled vocabulary in classifying files; data obtained from the observation checklist indicated that none of the registries used a controlled vocabulary; and
- The most common filing classification schemes were alpha-numeric (central registries) and numeric filing (personnel registries).

5.9.1.5 Finding Aids, File Tracking and Performance Measurement

- Most commonly used finding aids were subject index and subject register;
- The file movement register was the most widely used tool to track records use by action officers;
- All registry personnel indicated that they faced problems in providing access to records; and
- Most registry personnel did not conduct performance measurement of registry services provided.

5.9.1.6 Forms, Reports, Directives and Mail Management Programme

- All ministries surveyed did not have a forms management programme;
- Few registry personnel indicated that they had a reports and directives management programme;
- All ministries had a mail management programme which constituted activities such as receiving, sorting, opening, classifying, filing, delivery and control of mail;
- The most cited type of incoming mail was officially addressed and officially registered mail;
- All registry personnel indicated that they recorded received mail in the inward mail register;
- Most respondents indicated that security grading of mail was conducted in their registries;
- All ministries had a secret registry in which restricted mail was kept;
- Registry personnel had procedures for handling incoming, circulation and outgoing mail; and
- Registry personnel faced problems in managing mail, for example retention of mail by action officers.

5.9.1.7 Records Storage

- The most common method for the storage of was the use of steel cabinets;
- Registry personnel faced problems in the storage of current, semi-current and non-current records,
- In most ministries, registry layout and design was poor and not secured and hence did not facilitate service delivery; and
- The existing storage equipment did not adequately cater for the storage of records.

5.9.1.8 Environmental Monitoring and Control

- Registry personnel did not monitor and control temperature and relative humidity in most registries;
- In most ministries, registry personnel did not monitor and control light in the record storage area;
- Most registry personnel had not experienced insect infestations in the record storage area;
- Registry personnel in most ministries controlled fungal infestations in the records storage area; and
- File wear and tear was prevalent in the registries.

5.9.1.9 Record Inventory, Appraisal, Retention Scheduling and Disposal

- Most registries did not conduct record inventories; those that conducted record inventories mainly used physical checking of files;
- Records appraisal was conducted in most ministries and the most cited appraisal criteria was records value;
- Although retention schedules were used to guide records disposition, majority registry staff did not, once developed, monitor and ensure their implementation;
- The questionnaire results which indicated that registries used retention schedules were contradicted by observation results, which indicated that few ministries had record retention schedules to guide the disposition of records;
- Registry personnel indicated that they had a records disposition programme and the most cited records disposition programme was physical destruction and transfer to the national archives; and
- The instruments most cited as guiding records disposition in the ministries were the records retention schedules.

5.9.1.10 Disaster Management and Security Control

- Most registry personnel did not have a vital records programme, nor did they have criteria to evaluate potential hazards;

- Registry personnel in most ministries did not have fire detection systems in the records storage area;
- Most registry personnel had not received training in fire fighting; and
- Respondents in most ministries reported the absence of disaster management committees.

5.9.2 Provision of Records Management Advice by KNADS Archives Personnel

- All registry personnel were aware of the KNADS and had received professional records management advice from the institution;
- Registry personnel in most ministries did not face any problems in seeking professional records management advice from the KNADS;
- All senior ministerial officers indicated that they sought assistance from the KNADS regarding management of their records;
- Archives personnel indicated that they provided records management advice to government ministries, such as in developing file classification and indexing, conducting records survey and appraisal, advising on records disposition and developing records management policies;
- Archives personnel indicated that registry personnel did not implement the professional records management advice provided; and
- Archives personnel faced problems in providing records management advice to government ministries and departments.

5.9.3 Existing Records and Archives Legislation and Management of Public Sector Records

- Archives personnel revealed that although Cap 19 stated the responsibilities of the Director of KNADS, it did not stress continuity of records care;
- Although Cap 19 had certain strengths, it also had major weaknesses in relation to the management of public records; and

- Archives personnel warned that although opportunities existed which would be utilized by the Director of the KNADS to enhance management of public records, there were also particular threats lent by Cap 19 in using the Act to manage public records.

5.9.4 Computer Applications in Records Management and Resultant Challenges

- Most registry personnel did not have computers in the registry;
- Registry personnel in most ministries did not use computers to create records;
- A few registry personnel used computers to create records, mainly databases, spreadsheets and word-processed documents;
- The common medium used for the storage of electronic records was PC hard drives and diskettes;
- Passwords and log-in procedures were used to ensure the security of electronic records;
- No procedures existed for the appraisal of electronic records;
- The most common method used for the disposal of electronic records was deleting;
- For the long-term preservation of electronic records, registry personnel printed electronic records to paper;
- Registry personnel reported that the benefits of using computers in registry management include enhanced storage, retrieval, access, preservation, communication and report generation;
- Registry personnel faced particular challenges in managing electronic records, such as lack of computer skills, data security and preservation and lack of policy;
- Archives personnel had not undertaken a survey to determine the volume of electronic records generated in the public service;
- Archives personnel were not providing advice to registry staff on how to manage electronic records, nor did they have an electronic records management programme for public sector records;

- Archives personnel did not collaborate with government IT professionals or agencies to develop a programme for managing electronic records; and
- Archives personnel faced particular challenges in managing electronic records.

5.9.5 Professional Knowledge and Skills of Registry Personnel

- Registry personnel had attained various professional qualifications in records and archives management and others were undergoing training in archives and records management;
- Most registry personnel had not attended records management courses run by their ministries;
- Registry personnel had various training needs in archives and records management;
- The most cited methods for meeting the training needs of registry personnel was use of seminars and workshops and KNADS;
- Senior ministerial officers revealed that they had a Training Needs Assessment Programme for registry personnel and ran courses to update their knowledge and skills in records management; and
- Senior ministerial officers felt that registry personnel were considered to be in a non-core department and were disadvantaged in terms of training opportunities, compared to officers from ministry's core departments.

5.9.6 Factors Contributing to the Current State of Recordkeeping in Government Ministries

- Registry personnel identified some of the factors contributing to the current state of recordkeeping in the Kenyan public service, namely: lack of support from senior ministerial officers, lack of records management committee, registries viewed as dumping grounds and few opportunities for training;
- Some of the factors identified by senior ministerial officers as contributing to the current state of recordkeeping in the Kenyan public service include lack of training opportunities for registry personnel,

- absence of registry work plans, absence of recordkeeping manuals and effects of re-designating supplies officers as records officers; and
- Archives personnel stressed that some of the factors contributing to the current state of recordkeeping in the Kenyan public service emanates from the weaknesses of Cap 19. Other factors include a bad attitude towards registries, lack of records management committees. Government policy of freezing employment of new staff in the public service had contributed to few staff available in the KNADS to conduct records surveys and appraisal visits to government ministries.

5.9.7 Records Management and Public Service Delivery

- All registry personnel considered records management as being key to the delivery of public services;
- Most registry personnel felt that existing records management practices affected public service delivery to some extent;
- All senior ministerial officers were of the opinion that current recordkeeping practices affect public service delivery;
- All archives personnel felt that provision of recordkeeping advice to registry staff enhanced public service delivery; and
- Registry personnel, senior ministerial officers and archives personnel provided various recommendations which would help improve current recordkeeping practices and enhance public service delivery.

5.10 Summary

Chapter Five has presented and analyzed data, in accordance with the research objectives and research questions. It has provided a summary of the research findings. The use of qualitative and quantitative data collection tools elicited reliable and verifiable data which facilitated the identification of data conformity or divergence, in concurrence with study research objectives. The observation checklist enabled the researcher to confirm data provided by registry supervisors and clerks, archives personnel and senior ministerial officers.

The key themes which emerged from data presented were that existing policies and practices for managing records were not effective and required improvement and that this situation undermined effective public service delivery. The KNADS provided recordkeeping advice to registry personnel and registry personnel did not implement the advice provided. Existing records and archives legislation had certain strengths, weaknesses, as well as opportunities and threats, in relation to the management of public records. Data presented revealed that most registries were not using computers in records management. Registry and archives personnel faced challenges in managing electronic records. Registry personnel had various training needs in records and archives management and various factors contributed to the current recordkeeping situation in government ministries. The data provided in this chapter formed the basis for the data interpretation presented in Chapter Six.

CHAPTER SIX: DATA INTERPRETATION

6.0 Introduction

Chapter Six provides an interpretation of data presented in Chapter Five. It is only through interpretation that the researcher can expose relations and processes that underlie the findings (Kothari 2004: 344). Interpretation is a search for the broader meaning of the research findings. An attempt was made to interpret data in the light of existing records management theories, and the literature, and how current research findings concur with, or differ from, previous records management research of a similar nature.

Data interpretation took into account the order in which data was presented in Chapter Five, that is, according to the study objectives. namely:

- Strategies used for managing records during their continuum;
- Extent to which the Kenya National Archives and Documentation Service has assisted registry staff to effectively manage records during their continuum;
- Strengths, weaknesses, opportunities and threats of the existing records and archives legislation in Kenya and the extent to which it facilitates the management of public sector records;
- Extent of computer applications in registry management and the resultant challenges; and
- Professional knowledge and skills of registry personnel responsible for managing records.

6.1 Strategies Used for Managing Records Throughout the Continuum

Data interpretation in relation to the strategies used to manage records during their continuum is presented under the following sub-headings:

- Ministry and registry mission statement;
- Records management policy;
- Records management manual;
- Records management audit;
- Records creation;
- Forms management;

- Reports management;
- Directives management programme;
- Mail management;
- Records storage;
- Records inventory;
- Control of environmental conditions;
- Survey and appraisal;
- Records scheduling and disposition; and
- Disaster management.

The following discussion interprets data concerning each of the above-mentioned sub-headings.

6.1.1 Ministry and Registry Mission Statement

A mission statement is a written articulation of an organization's purpose or mission and has four elements: a statement of the organization's overarching purpose or mission, a vision of what the organization would like to become, a statement of the organization's core values and beliefs and a statement of the organization's goals and how it will reach its vision (Roper and Williams 1999:31). Ngulube and Tafor (2006:74) felt that a mission statement needed to contain only the purpose, business statement and values of the organization.

All 157 (100%) registry personnel said that their ministries had mission statements. As part of the on-going public sector reform programmes, government ministries were required to craft strategic plans covering the period 2004-2009. Roper and Williams (1999:8, 28) defined strategic planning as the management process of identifying an organization's mission, aims, objectives, needs, capabilities and resources and then developing strategies to achieve these goals.

The Office of the Vice-President and Ministry of Home Affairs Strategic Plan (2004-2008:4) emphasised that the implementation of government national

development strategy agenda was through effective public sector performance and service delivery. Reshaping the public sector called for fundamental changes in the way the sector operated and thus, how the ministry prepared its strategic plan, which defined its vision, mission, strategic objectives, strategic initiatives and action programmes.

The situation was different when it came to registries. One hundred and sixteen (73.9%) respondents revealed that registries did not have mission statements, while 41 (26.1%) responded in the affirmative. Copies of documents purporting to be registry mission statements, obtained by the researcher from registry supervisors in one of the ministries surveyed, did not have the characteristics of mission statements. They merely stated the intention of the registry to provide information in a timely manner at the lowest possible cost and did not have the other attributes of a mission statement stipulated by Roper and Williams (1999). This showed that registry personnel were not aware of what might constitute a registry mission statement. This calls into question the reliability of those 41 (26.1%) respondents who reported that their registries had mission statements.

The finding concurs with the findings of a study conducted by Ngulube (2003:285), which established that there was some confusion among South African archival professionals when it came to distinguishing the difference between mission statements and, for instance, other policy documents. In the present study, some respondents confused the intention of the registry to provide information in a timely manner and at lowest possible cost to be a mission statement, while the participants in Ngulube's (2003) study wrongly considered archival legislation to be a mission statement.

It was observed that the strategic plans prepared by ministries largely mirrored the strategic objectives, initiatives and action plans of all the departments constituting ministries. All sections within each department had an input into preparing strategic plans. Thus the various sections within the departments would not be expected to prepare their own individual strategic

plans, but rather develop strategic objectives which would assist their respective ministries attain their mission and vision, as contained in the strategic plan. For example, the registry as a section in the general administration department was expected to develop strategic objectives, indicating how records would be managed during their continuum, to assist the respective ministry achieve its vision and mission.

Senior ministerial officers confirmed that registries had not prepared their mission statements. The lack of registry mission statements implies that registries were unable to articulate their purpose adequately, provide a framework for achieving their goals and measure progress in attaining them. As Ngulube (2003:286) observed, without a mission statement it is extremely difficult to effectively execute an organization's core programmes. In that regard, the absence of a mission statement may affect public service delivery as a decision-making process in the ministries is dependent on efficient and effective recordkeeping systems. The absence of mission statements would further hamper attainment of the MDGs, which place heavy emphasis on service delivery and human development (see Chapter Two, Section 2.3).

6.1.2 Records Management Policy

Weak institutional capacity and the absence of, for example, comprehensive records management policies have been cited as one of the main causes of archival (as well as records management) underdevelopment in Africa (Ngulube and Tafor 2006:58). Organizations needed to document and define policy on records management. The objective of the policy should be the creation and management of authentic, reliable and usable records capable of supporting business functions and activities for as long as they were needed (ISO 15489-1, 2001:5).

The findings of the present study were that 122 (77.7%) respondents did not have a records management policy in the 18 ministries surveyed. A formally agreed records management policy was essential for developing strategies on how records would be managed in a public authority (Blake 2005). The policy

should establish how records could be created, captured, maintained and disposed off in accordance with the legal, regulatory and business needs of the public authority. The policy must define the responsibilities of the personnel who manage records or carry out recordkeeping activities.

Enactment of a records management policy is seen by archives personnel in Kenya as one of the strategies to improve the current recordkeeping situation. Kuchio (2002:9) called for enactment of a comprehensive and well co-ordinated policy on records management in the public sector, in order to ensure that current, semi-current and non-current records are properly managed. Responsibility for the Implementation of records management policy in the ministries should not be limited to registry personnel. There is need to include other key players such as senior ministerial officers who are responsible for resources allocation and policy formulation, and other staff who use and handle records on a daily basis.

The study findings (see Table 33) showed that the development of a records management policy was one of the items of advice of the records management provided by the KNADS Nairobi Records Centre archives personnel to selected government ministries and departments in the years 2002, 2003 and 2004. Unfortunately, such advice was not consistently provided as none of the ministries received advice in the year 2005. This would perhaps explain why most registries lacked records management policies.

The lack of records management policies in the public service constituted one of the terms of reference of a task force appointed by the Kenyan government in March 2003 to improve the performance of registries in government ministries and departments. The task force was mandated to review the existing government records management policies, with a view to accommodating ICT and other emerging issues.

The present study established that all 10 (100%) senior ministerial officers planned to enact records management policies in their ministries. In enacting such a policy, it is essential for ministries to follow the guidelines provided by Shepherd and Yeo (2003:255). They opined that a records management policy should have the following characteristics:

- Outline the legislative or regulatory framework, or make reference to other standards or best practices;
- Indicate the aim and scope of the programme and key objectives of the programme;
- Indicate a statement of responsibilities for records management;
- Provide a definition of technical terms; and
- Make reference to specific policies and other more detailed documentations.

ISO 15489-1 (2001: 5) stipulated that a records management policy should be adopted and endorsed at the highest level and promulgated throughout the organization and responsibility assigned for compliance. The policy should be developed from an analysis of business activities and be reviewed regularly, to reflect current business needs.

The absence of records management policies in the ministries surveyed would have negative implications for public service delivery, as it would be difficult to have in place efficient records management systems that support decision-making. The absence of up-to-date and accurate information would affect the role of public administrators in providing services, for example implementing laws, making policy and influencing policy by advising the politicians formally responsible for making the law (Oluwu 2002:1-2). Accountability in the public service could be compromised as recordkeepers and accountability advocates seemed to agree that, in support of accountability, good records systems must exist (Hurley 2005:224).

Since records management policies should be adopted and endorsed at the highest level in the organization, the lack of records management policies

implied that registries did not receive the necessary support from senior management. This would have implications for public service delivery, for example registry personnel required the support of senior management for adequate financing, accessing education and training opportunities and marketing records management as a resource in meeting the respective ministry's strategic plans. Adequate financing would, for example, ensure that registry staff purchased appropriate record storage equipment. This would enhance records storage and access, thus facilitating the use of records as decision-making tools for public service delivery and enabling Kenya to attain the ideals of the UN MDGs.

Previous researchers in Kenya and Ghana have highlighted the need for organizations to enact records management policies (Mnjama 1994; Wamukoya 1996; Akussah 1996), as indicated in Chapter 3, Sections 3.4.1.1 and 3.6. A study by Mnjama and Wamukoya (2004) pointed out that one of the challenges that countries in the ESARBICA region, in relation to the management of paper and electronic records, was the absence of policies and procedures to guide the management of paper and electronic records.

6.1.3 Records Management Manual

A records management manual outlines procedures and practices for managing records from the stage of creation to final disposition. Mnjama (1996) stated that, among the criteria used to assess the performance of a registry, was the presence of a registry manual. One hundred and twenty four (79%) respondents indicated that they did not have a registry procedures manual, while 33 (21%) had them. These findings concur with the views of archives personnel in Kenya, who called for the preparation of records management manuals to assist registry personnel in managing records (Akhaabi 1998). Akhaabi recorded that KNADS had formed a records management committee, consisting of seven members, chaired by the deputy director, records management. She stated that three chapters of the manual on current records management and registry systems had been typed and were still in draft form.

The lack of a records management manual, applicable across government ministries, has implications for public service delivery. For example, registry personnel would lack the necessary guidelines for managing records during the continuum of activities that facilitate the management of records throughout their life-cycle. This situation would compromise the ability of action officers to access and use the records. While KNADS had not developed a records management manual applicable across government ministries, in Botswana, Chebani (2005:145) recorded that, the Directorate of Public Service Management, in conjunction with the Botswana National Archives and Records Service, had produced a records procedures manual called The Registry Handbook, in August 1993. The document was initially used as a registry training module, but was enlarged to include most procedures that were carried out in records management.

The publication of a registry manual was one of the measures which would help improve the state of records management in government ministries (Ombati 1999). Despite KNADS forming a records management committee to spearhead the preparation of a records management manual, it is doubtful if the records management committee finally prepared and released the records management manual to government ministries, given that 124 (79%) respondents said that they did not have the records management manuals. The absence of a records management manual was reinforced by the Office of the President, Directorate of Personnel Management, when forming a task force, in March 2003, to improve the performance of registries in government ministries and departments (Office of the President, Directorate of Personnel Management 2003c). It pointed out that one of the shortcomings noticed in the management of records was the absence of written registry manuals and procedures.

The present study findings concur with those of Akussah (2002) in Ghana, which established the absence of registry procedures manuals. Unlike the current work, which established that the KNADS had not prepared records

management manual/guidelines for the public service, a study by Tough (2003) established that eight out of the 10 directors of the National Archives who had responded to Tough's (2003) study revealed that their organizations had policy and procedure manuals for records management in the public sector. However, seven out of the eight directors of the National Archives reported that they were aware of ministries, departments or agencies that disregarded the guidelines or regulations for records management in their day-to-day conduct of business.

6.1.4 Records Management Auditing

Compliance monitoring and auditing should be regularly undertaken, to ensure that the records systems procedures and practices are being implemented according to the organizational policies and requirements and that they meet the anticipated outcomes (ISO 15489-1 2001: 17). Such reviews should examine organizational performance and user satisfaction with the system and modifications to the records systems. Records management processes should be made if these be found to be unsuitable or ineffective.

One hundred and twenty seven (80.9%) registry personnel did not audit the records management practices in their ministries, compared to 30 (19.1%) who did. This was contrary to the advice given by Garratt and Du Toit (2003:130), which advocated information services audit based on recognized management processes. Discussing the issue of accountability and demonstration of the value of information services in South African law firms, they observed that monitoring and evaluating actual performance were one of the approaches of the information service audit. The objective methods of evaluation involved the analysis of documentary evidence that measured operational activities against the standard of optimal performance.

Auditing of records management practices has been implied in the various records management circulars issued by the Government of Kenya. One of the terms of reference of a task force, appointed in March 2003 to review the performance of registries in government departments, was to analyze the

records management situation in government ministries and departments and to review the existing records management policies, with a view to accommodating ICT and other emerging issues (Office of the President, Directorate of Personnel Management 2003c).

The Directorate of Personnel Management Circular, DPM. 4/10A (9) of 27 October (2003b), on streamlining the performance of registries in government ministries, departments, local authorities, provinces and districts emphasized the need for auditing records management. Recommendation 8 (c) called upon accounting officers to ensure that heads of departments supported and enhanced the role of registries as the "nerve centre" of ministries, departments, local authorities and districts, by "holding regular/monthly meeting and making frequent visits to registries to assess the working environment, working tools, equipment and the general staff performance, for improved service delivery".

The lack of records management audit in the ministries surveyed may compromise public service delivery and hamper attainment of the MDGs, as registry staff would be unable to determine the performance of their information delivery systems. Registry staff would be unable to measure operational activities against the standard of optimal performance, as noted by Garratt and Du Toit (2003).

6.1.5 Registry Budget

The study findings were that 144 (91.7%) registries were not allocated dedicated budgets. The findings concur with the view expressed by Wamukoya and Mutula (2005b), who cited Mnjama and Wamukoya (2004), to point out that one of the key challenges faced by countries in the ESARBICA region in capturing and preserving both paper and electronic records was the absence of dedicated budgets for records management. Ten (100%) senior ministerial officers confirmed that registries were not allocated their own budgets, but relied on various votes to fund their activities. Central or open registries were funded from the central administration vote, while personnel

registries were funded from the personnel department vote. Six (100%) archives personnel stated that registry funding over the past five years was inadequate.

Previous research identified funding as a key factor that affected records management programmes. In the case of Jamaica, it is noted by Emmerson (2003) that senior managers often inflicted deductions in spending on records departments and did not factor training of records personnel into the overall budget of the organization. One key finding of the present study was that 126 (80.3%) registry staff faced problems due to the current state of registry funding, as shown in Table 6. These problems related to the purchase of appropriate storage equipment and supplies and the inability to educate and train registry personnel.

Ministries are constrained by inadequate funding in their efforts to manage records. This was highlighted in a draft registry management report prepared by Lumumba (2002:1-5). It explained that the report was prepared after a visit to the Office of the Vice President and Ministry of Home Affairs by the Task Force to review the performance of registries established by the DPM Circular DPM 4.10A (9), dated 27 October 2003. Most of the recommendations contained in Lumumba's (2002) report, which was to enhance recordkeeping in the Ministry, had financial implications. These included, but were not limited to, installing a steel door at the entrance to the central registry, putting up a counter for providing services to the public in the central registry, adequate supply of registry stationery and equipment, recruitment of more registry staff, purchase of fire-proof cabinets in the secret registry and the need for disaster management and preparedness.

KNADS, the institution mandated to monitor and assist registries to improve their recordkeeping practices, is equally under-funded (Kuchio 2002). Kuchio (2002) decried the lack of adequate finances to KNADS, to enable it fulfil its records management responsibilities in Kenya. The author pointed out that lack of adequate finances to KNADS is due to the fact, that in most countries

of the world, government finances were under pressure. Kenya was no exception. Many countries faced budget deficits and the meagre resources available in many countries were directed towards alleviating hunger, poverty and health needs. As a result, public archives and other services were hardly at the forefront of public interest and, therefore, their resources were eroded year after year.

KNADS was operating in an environment of decreasing financial and personnel resources, while its responsibilities were increasing (Maranga 2002:3). Maranga (2002) pointed out that archives personnel also required adequate financing to be able to manage public records. The KNADS was disadvantaged in terms of government funding, as the government funding emphasized those programmes meant to alleviate poverty, as outlined in the Poverty Reduction Strategy Paper (PRSP).

The lack of adequate funding for registries would have negative implications for public service delivery and attainment of the MDGs. Some of the records management activities with financial implications include enacting records management policies and preparing manuals, training registry personnel, developing and implementing a disaster management programme, environmental control and monitoring and appraisal and disposition programmes. The non-implementation of these recordkeeping activities, due to lack of adequate financial resources, would create an environment where records were not properly managed and not utilized by action officers as tools for public service delivery.

Inadequate funding to KNADS would affect public service delivery, as the institution would be unable to achieve its mission of preserving valuable records as part of the information resources of the Republic of Kenya, through advising public offices on proper records management (KNADS 2000). Records would not be managed efficiently and effectively in public offices to serve as tools for facilitating public service delivery, if the KNADS does not provide advice to record creating agencies on a continuing basis.

6.1.2 Records Creation

Records creation or receipt is one of the key phases of a records life-cycle (NARA 2004). According to Blake (2005), records creation is an aspect of recordkeeping and is primarily concerned with the development and implementation of an effective recordkeeping system, to enable the organization to undertake the required range of activities specified in the records management policy. Some of the records creation elements include: an adequate system to document the activities of each business unit; ensuring that the records of each business unit are sufficiently complete and accurate to facilitate auditing; protecting the rights of the organization and any person affected by its actions and arranging records in a system to enable the organization to obtain maximum benefit from the quick and easy retrieval of information. Millar (1997:14) stated that, under the records continuum model, the records management action of creation or receipt falls under the first action of records care, namely identification and acquisition.

6.1.2.1 Records Creation Policy

Shepherd and Yeo (2003: 9, 11) reported that Part I of the ISO 15489-1 stipulated requirements relating to the description of records in order to capture, register, classify, retain, store, locate, track, provide access to and dispose of them. These requirements were captured in metadata (data describing context, content and structure of records and their management through time) associated with a record. They stressed that the efficient capture of accurate metadata had advantages for both the record creating organizations and end-users, as it became a source of information about business activities that supported subsequent activities and business decisions. It also ensured accountability to present and future stakeholders.

Eighty eight (56.1%) registry personnel revealed that they did not have a policy for creating paper records, while 107 (68.2%) confessed that they did not have a list of activities which constituted the basis for records creation. The lack of a policy for the capture of records implies that registry personnel may fail to create records which have good characteristics, as stipulated by

ISO 15489-1 (2001:7), namely record correctly reflecting the content, authenticity, reliability, integrity and usability.

Records are different from other information sources because of their transactional aspect, which made it important to identify the characteristics that needed to be present to ensure they were reliable and authentic (Reed 2005:102). Quoting the AS/ISO 15489, Australian Standard Records Management, Part 1-General 2002, Reed (2005) recorded that, to ensure the authenticity of records, organizations needed to implement and document policies and procedures which controlled their creation, receipt and transmission, maintenance and disposition, to ensure that records were authorized and identified and protected against unauthorized access, addition, deletion, alteration, use and concealment.

The lack of a records creation policy would have a negative effect on public service delivery, accountability and attainment of the MDGs, as registry personnel would be unable to create records which are authentic, reliable, complete, unaltered (record integrity) and usable for use by action officers. Transparency and accountability would be compromised, as access to full and accurate records is at the heart of the accountability process (Kansas State Historical Society 2002). Lack of a record-creation policy would affect accountability, as proof of accountability largely depends on the availability of reliable, accurate, trustworthy and complete information. Records, if well maintained, could be used to provide proof of the credibility or lack of it on the actions and transactions which may have taken place, as reported by Sebina (2005:64). In support of accountability, good record systems which are complete, authentic, reliable, accessible and usable, need to exist (Hurley 2005:224).

6.1.3 Forms Management

Some of the components of a records management programme encompass forms, reports and directives management (Penn, Pennix and Coulson 1994:5). Organizations need to simplify form management and distribution and, by managing forms more efficiently, organizations would improve user satisfaction and eliminate the costly errors and lost productivity that result when employees, customers, and partners cannot locate forms or complete incorrect versions (Adobe Systems Incorporated 2005).

All 157 (100%) respondents revealed that they did not have a forms management programme. Various forms are used in government ministries, for example in recruitment, training needs assessment, claiming retirement benefits, accounting for use of resources and procurement of supplies and equipment. A forms management programme has various objectives, such as to determine that the forms used are up-to-date, enhance information processing, ensure that the instructions used are clear, specify the most economical method of production and ensure their availability, when needed (Penn, Pennix and Coulson 1994).

Although forms are used in government ministries, the lack of a forms management programme shows that there are no procedures for their management. This would have implications for public service delivery. For example, resources would be wasted locating, duplicating and storing them. When forms were not managed properly, there was a possibility of them running out, to the extent that clients would not be served due to their unavailability. In designing and implementing paper or electronic forms management systems, government ministries should take into account the advice provided by Adobe Systems Incorporated (2005). In organizations that use paper forms, employees spend a significant amount of time searching for a specific form, or filling in a dated version. In organizations that use electronic forms, they were challenged with controlling versions and easily integrating form data, with back-end systems. Other challenges include

ensuring that users have an easy way to search for forms, track their status and maintain access to all completed forms.

6.1.4 Directives Management

Directives are authoritative documents that may be used to establish, prescribe or modify basic organizational structures and functions, duties and responsibilities, authority delegated to individuals, including any limitations, policies and procedures, and standards and methods (National Oceanic and Atmospheric Administration 2006). Directives may be in the form of organizational handbooks, administrative orders, circulars, delegations of authority and handbook series. Directives may take the form of office notices, bulletins, board notices, circulars and policies and serve various purposes, such as guiding and instructing, informing staff and achieving consistency in decision-making (Penn, Pennix and Coulson 1994).

With regard to a directives management programme, the findings of the study were that 115 (73.2%) respondents did not have a directives management programme. These findings suggest that, although ministries had various directives, no official programme existed that spelt out how directives were to be managed from the stages of creation to final disposition. For example, one finding of the study was that those 42 (26.8%) respondents who claimed that they had a directives management programme did not have a directives management checklist.

The lack of a directives management programme has implications for efficiency of the directives management programme and public service delivery, in general. It would imply that the review of directives is non-existent, no criterion exists for format and standardization and no guidelines exist for their reproduction, distribution and stocking (Penn, Pennix and Coulson 1994). The absence of a directives checklist would lead to departments keeping duplicates and thereby creating space and retrieval problems, due to lack of procedures for their appraisal and disposal. These, in turn, may affect public service delivery, as it would be difficult to access and retrieve directives

in an environment where storage space is constrained. The absence of a directives management programme would further affect public service delivery, as the organizational policies, procedures, standards, methods and authority delegated to individuals, as captured in the directives, may be unavailable for action officers when needed.

6.1.5 Reports Management

In Kenya, government ministries prepare various types of reports. In the first category are those which list the achievements, problems encountered and are an indication of future strategic direction. Reports normally indicate the activities of the various departments that constitute ministries and are prepared on a monthly, quarterly or annual basis. There are also those reports prepared to unravel various problems, for example commission of inquiry reports. One hundred and twenty nine (82.2%) respondents revealed that they did not have a reports management programme. These findings do not suggest that ministries do not prepare reports but, rather, the absence of a formal programme to manage reports from creation to the final disposition stage. A reports management programme provides the means to ensure economical processing of reports, prevent and eliminate unnecessary reports, reduce costs associated with their management and provide an avenue for evaluating them (Penn, Pennix and Coulson 1994). Managing enterprise reports, as part of an overall enterprise content management system, helps organizations reduce storage costs, minimize liabilities and enhance compliance capabilities (EMC Corporation 2005).

In managing reports for improved public service delivery, government ministries should consider unifying reports management by the use of a reports enterprise management programme (EMC Corporation 2005). The benefits of unifying reports management are reduced cost of ownership through consolidation, elimination of massive redundant support costs, rapid access to business-critical information and improved customer satisfaction. Other benefits include increased security, risk mitigation and compliance,

optimized storage resources and ability to drive report-centric business processes.

Data provided by archives personnel (see Table 19) showed that none of the ministries received records management advice regarding forms, reports and directives management from the KNADS Nairobi Records Centre archives personnel. Previous records management research conducted in Kenya and other countries in Africa did not investigate the presence of forms, directives and reports management programmes (Mnjama 1994; Akotia 1995; Wamukoya 1996; Tafor 2001; Akussah 2002; Akotia 2002; Chinyemba 2003; Sejane 2004; and Chachage 2005). The researcher thus had no previous studies with which to compare and contrast current research findings.

The absence of a reports management programme would have negative implications for public service delivery and attainment of the MDGs, since they would not be managed in a manner that would facilitate their use as tools for providing information to action officers in support of public service delivery. It would imply that departments within ministries would keep copies of the same reports and this would further constrain office space, particularly when there were no procedures for their appraisal and disposal.

Government ministries should consider integrating the use of IT in managing reports for enhanced public service delivery and would consider using the Microsoft Corporation's (2006) Report Manager as a useful tool for managing reports, in view of its diverse features.

6.1.6 Mail Management

Mail management is a key component of a records management programme (Penn, Pennix and Coulson 1994:5). All 157 (100%) registry personnel reported that they had a mail management programme. One of the means of conducting government business (*internal or external*) is by using mail, as it provides evidence of government transactions and makes public officers accountable for their actions. Registry personnel are responsible for receiving,

sorting, opening, filing and delivering mail to action officers. Other mail management activities that registry staff are responsible for is the control of mail management and security grading. Southwood (undated: 3) also noted that these activities constitute some of the responsibilities of registries.

One hundred and twenty nine (82.2%) respondents cited the following as constituting their mail management activities: receiving, sorting, opening, classifying, filing and delivering of mail to action officers. This finding concurred with Kenosi's (1999:122) view that registries were the nucleus of active records management, accounting for classification, filing, storage, equipment and access to records.

6.1.6.1 Classification and Indexing Systems

Classification and indexing facilitate the capture of records in a system, as they allow appropriate linking, grouping, naming, security protection, user permission and retrieval, disposition and identifying vital records (ISO 15489-1 2001:13). In Kenya, The Office of the President, Directorate of Personnel Management Circular DPM.4/10A (9) of 27 October (2003b) recorded that file classification and indexing enabled records to be kept in a systematic manner, thus facilitating their retrieval. The following discussion interprets data related to file classification and indexing systems.

6.1.6.1.1 Classification Systems

The National Archives and Records Service of South Africa (2005) pointed out that one element of a sound records management programme for both paper and electronic records is the presence of records classification schemes. Classification enables records to be grouped together by functions and activities and to be managed as an aggregation, sharing specific characteristics, such as managing assignment of the control over who would access particular sets of information (Reed 2005:112). According to Millar (1997:14), one of the four actions of records care under the records continuum model was intellectual control which refers to the classification of records within a logical system.

The findings of the study showed that 106 (67.5%) of the respondents had a written classification scheme, while 51 (32.5%) did not. These findings were contrary to what the researcher discovered through the observation technique. Although the majority of ministries had written classification schemes, they were not fully documented and updated. Previous records management researches and records management circulars highlighted poor file classification systems as being one of the problems that faced record creators in the public sector. A study by Kemoni (1998:59) established that one of the records management problems faced by records creators on a recurring basis was lack of comprehensive and efficient file classification systems. Ombati (1999:35) observed that the KNADS had yet to influence public offices to use appropriate file classification schemes.

The Office of the President, Directorate of Personnel Management Circular DPM.4/10A (9) of 27 October (2003b), proposed that one way of improving performance of registries was to streamline file classification systems. The circular stated:

for records to be meaningful, there must be a systematic way of filing correspondence with a view to retrieving it whenever it is needed. In this connection, the registry personnel should update the existing file classification/indexing system to avoid duplication and overlapping of subject files that may lead to confusion in filing and delay in retrieval of information.

One key finding of the current study was that 137 (87.3%) respondents answered that current file classification systems were easy to understand and 70 (44.6%) felt that filing classification systems supported organizational requirements. These findings imply that some gains have been made in the area of file classification systems. The KNADS provided professional assistance to record creating agencies concerning the review of file classification systems. However, current file classification systems require improvement (see Table 11). The findings of the present research were that 84 (53.5%) respondents felt that classification schemes were not backed by

procedures manuals. A significant number, that is 65 (41.4%), revealed that their file classification systems did not support organizational requirements, while 59 (37.6%) stated that classification systems were not updated.

A study by Leach and Verbeek (1999), which reviewed filing and document management systems at the KwaZulu-Natal Department of Land Affairs, South Africa, called for redesigning the filing system as part of the implementation of an efficient records and documents management system. In Namibia, Nengomasha (2003:68) observed that the state of records management in the Namibian public service left a lot to be desired.

In the opinion of Thurston and Cain (1995), records classification systems were breaking down in developing countries. There is a need for action if information is to be grouped, entered and named in a manner that facilitates storage, retrieval and use. A study by Akussah (1996), in Ghana, established that records classification indexing, indexing and retrieval systems were chaotic. Tough (2003) pointed out that some countries in Africa (Zambia, Uganda and South Africa) had developed model classification schemes. For instance, the National Archives of South Africa (1998) developed a prototype classification of main series for all government bodies (except local authorities). Improvement of classification schemes in Commonwealth Africa may be achieved through collaborative efforts. Classification schemes represented an area in which collaborative effort might achieve real progress in Commonwealth Africa (Tough 2003:11).

Classification systems and indexes may be supported by vocabulary controls that are suited to the complexity of the records of an organization. Such vocabulary controls should explain organization-specific definitions or usage of terms (ISO 15489-1 2001:14). Descriptive and control details can be attached to the record by using vocabulary controls, such as a list of authorized headings, or a thesaurus. The tool used to control the vocabulary in an index is called a thesaurus and a keyword list is an example of a controlled vocabulary (Griffin and Roper 1999:39). The findings of the present

research were that 70 (44.6%) respondents used a controlled vocabulary when classifying files, while 87 (55.4%) did not. This was contrary to data obtained from the observation checklist, which indicated that none of the registries used a controlled vocabulary when classifying files.

The present research showed that the non-use of a controlled vocabulary implied that the list of keywords in registries was not standardized. This would have implications on public service delivery and information retrieval. Lack of controlled vocabulary may lead to misfiling of information and delaying information retrieval, thus compromising service delivery. In the absence of a keyword list or thesaurus, it would be difficult for registry personnel to file and retrieve records. Records would be scattered across more than one record group, or series, and this would complicate their access, including access controls, for example determining which officers would access specific types of records.

The prevailing situation in government registries regarding the lack of efficient classification schemes and vocabulary controls may compromise service delivery, as information contained in the records would be difficult to locate. Records that are supposed to be grouped may be inappropriately filed, as a result of inadequate classification systems and vocabulary controls. Inadequate classification schemes and vocabulary controls are not likely to support the functions of any organization. They are not likely to help an organization fulfil its mission. The overall picture depicted from the research findings is that there is need for further improvement in the design and overall management of file classification systems. Classification systems should be designed to serve the organization, enable reference numbers and codes to be assigned, documented, kept up-to-date, flexible and reflect changes in the functions and activities of the organization (Griffin and Roper 1999:37).

6.1.6.1..2 Indexing Systems

Records are kept so that they can be made available to authorized users when required. To facilitate their use, access control mechanisms need to be

put in place (Shepherd and Yeo 2003:218). Finding aids are vital tools for accessing records in government ministries and examples of finding aids commonly used include a file index and a subject register. Lumumba (2002:1) pointed out that a file index was a key tool in the management of records, as it guided the user to access information contained in the files.

Indexing was the process of establishing and applying terms as access points to records. Terms usually organized in alphabetical order provided a fast means of access by subject, regardless of text or provenance (Griffin and Roper 1999:38). The International Records Management Standard Speakers Notes Seminar (2005), based on the Australian Records Management Standard AS 4390, observed that one of the ways of enhancing a records management system was through indexing records by establishing terms or codes to be applied to records to facilitate retrieval.

The present study found that the subject index was the most cited finding aid, accounting for 144 (91.7%) of the respondents, followed by the subject register, with 93 (59.2%). Although there were file indexes, the study established that they were outdated. Mnjama (2004) pointed out that the lack of file indexes and registers was one of the many problems plaguing the management of records in Kenya, Botswana, Tanzania, Ghana, The Gambia, Sierra Leone, Guyana and Belize. This view concurs with that expressed by the Government of Kenya regarding the use of finding aids to access records in public offices. In appointing a Task Force to review the performance of registries, in March 2003, the Office of the President, Directorate of Personnel Management, stressed that one of the key problems that plagued government ministries and departments was that retrieval tools were non-existent or outdated.

Although data obtained from archives personnel (see Table 33) showed that government ministries and departments received advice regarding development of records classification and file indexes, most ministries experienced problems in managing their file indexes. For example, a draft

registry management report by Lumumba (2002) stated that one of the areas that the Records Management Task Force (2003) reviewed when it visited the ministry was file indexes. He warned that the index used in the ministry had not been reviewed, even when the ministry was split and merged due to cabinet reshuffles. When the Office of the Vice-President and Ministry of Home Affairs was split into two, registry staff continued to use the old index. Other problems faced in using current file indexes were that codes were too long and complicated. The actions taken by the Records Management Task Force which visited his ministry, included incorporating recently transferred departments into the file indexes, merging files on related subject areas and revising file codes. Other actions included deleting obsolete files which lacked continuity and identifying closed volumes to be taken to the new ministry occasioned by the merger and splitting of the ministry. The revised index made provision for the future expansion of files.

The lack of updated file indexes would affect the management of records during the continuum of activities that facilitate the management of records throughout their life-cycle and make it difficult to access them, thus making them unavailable for use as tools for enhancing public service delivery and attainment of MDGs. Registry staff would be unable to access files promptly when required to do so by action officers, as they would not be stored according to subject or activity. It would affect the management of records during their continuum, since classification and indexing allowed appropriate linking, grouping, naming, security protection, user permission and retrieval, disposition and identifying vital records, as noted by ISO 15489-1 (2001:13,17). Appropriate allocation of index terms extended the possibilities of retrieval of records across classifications, categories and media.

In terms of information-seeking behaviour, the findings of the present study were that 58 (36.9%) of the action officers used registry personnel, while the next most used was the subject index, 33 (21%) and the telephone 32 (20.4%). These findings are hardly surprising, as they are the normal practice in government ministries concerning the information-seeking behaviour of

action officers. It is apparent that action officers used more than one method to access files from the registry. When action officers required certain files, those close to the registries personally visited the registries to request particular files, while others simply telephoned the registry supervisors and requested certain files. To locate the files on the shelves, registry staff used subject indexes, while those who had worked in the registries for a long time knew where the files were located.

There were, however, problems associated with registry staff relying on memory to locate files and this would affect public service delivery. When registry staff were transferred to other ministries, it would be difficult for new employees to locate files, since there would be no documented procedures to follow. Other problems relating to the use of memory include memory failure, which would impede file retrieval and access.

6.1.6.2 Records Use and Control of File Movement

The IRMT (1999) warned that, in many countries of the world, particularly in developing countries, public sector recordkeeping systems were not just weak, but had actually collapsed, to the point where they did not function at all. Some of the symptoms of failure to manage records effectively were loss of control over the creation, use and access to records. According to Blake (2005), a records management system should include a tracking system, to control the movement and location of records, for easy retrieval. All 157 (100%) respondents revealed that they tracked records use and 120 (76.4%) cited the use of a file tracking register, while 37 (23.6%) indicated a combination of file tracking register and physical checking of files.

It is essential for mail to be recorded on an inward mail register, as a way of providing evidence of mail received, discouraging dishonest registry staff from removing or destroying mail and tracing wrongly filed mail. All 157 (100%) registry personnel said that they recorded mail in an inward mail register.

Control of mail is essential in order to know who has a file at a particular time. The findings of the study were that the file movement register was the most widely used tool to control file movement, as chosen by 107 (68.1%) respondents. Recording the use of mail ensured the capture of records in a system (ISO 15489-1 2001:13). Registration of a record profiled the actions undertaken in doing business. In addition, ISO 15489-1 (2001:15) pointed out that tracking the movement and use of records, within a records system, was required to:

- Identify outstanding action required;
- Enable retrieval and prevent loss of records;
- Monitor usage of systems maintenance and security,
- Maintain an auditable trail of records transactions (capture or registration, classification, indexing, storage, access and use, migration and disposition); and
- Maintain capacity to identify the operational origins of individual records where systems have been amalgamated or have migrated.

In the present study, 127 (80.9%) respondents revealed that they had procedures governing file tracking. This was contrary to data obtained through the observation checklist, which proved the absence of procedures governing file tracking. It would appear that registry staff confused the presence of file tracking registers with procedures governing file tracking. Whereas the file tracking register is a tool used to record the movement of files among action officers, file tracking procedures refer to use of documented actions or activities which staff are required to use to control the movement of files in the registry.

Existing records management circulars identified lack of tools or procedures to track the use of records as one of the key shortcomings experienced in the management of records in Kenya. For example, the Office of the President Circular, OP.39/2A of 14 November 1999, decried cases of missing and lost files and documents in the public service and called for government officers to

place greater emphasis on the importance of maintaining proper records, by having procedures to govern the tracking of files.

The Office of the President, Directorate of Personnel Management, in forming a Records Management Task Force in March 2003, named the lack of tools for tracking the movement of files as one of the shortcomings noticed in the management of records (Office of the President, Directorate of Personnel Management 2003b). It stated that the circulation of information was inadequate and sometimes lacked focus. To address the problem, the Office of the President, Directorate of Personnel Management (2003b), recommended that ministries and departments take into account file movement control using the following actions:

- Provide and reinforce the use of file movement cards in the registries as a monitoring device for the inward/outward movement of files;
- Ensure that registry personnel and secretaries attached to action offices and action officers who have no secretaries have file movement registers in place for monitoring and accountability purposes; and
- Ensure that registry supervisors submit a return of missing/lost files/records, on a weekly basis, to the departmental heads that should investigate and take appropriate action.

All 157 (100%) respondents replied that they faced problems in providing access to records (see Table 13). This finding concurs with previous records management research conducted in Kenya by Githaka (1996), Kemoni (1998) and Mnjama (2003), which indicated that record-creators faced problems in providing access to records. Records management circulars issued by the government have also highlighted the problems that public offices faced in managing their records. The Directorate of Personnel Management (2003) stated that one of the shortcomings noticed in the management of records was poor procedures in management of mail, for example delays in circulation of mail to action officers, frequent misplacement of files and the existence of temporary files. The Office of the President, Directorate of Personnel

Management circular, DPM.4/10A (9) of 27 October 2003, reported the findings of the records management taskforce:

most registries in ministries, departments, local authorities, provinces and districts are in a poor state. This also implies that the registries, given their current state, are unable to provide accurate records and information needed for quick and timely decision-making.

The lack of procedures for controlling the movement of files may have implications for public service delivery and attainment of the MDGs. It would be difficult to identify outstanding action required to be taken by action officers. Registry staff would be unable to know which action officers had a particular file at a particular time, thus impeding into prompt retrieval and access, when required. The lack of procedure to control the movement of files would lead to loss of files. This would affect other activities in the records continuum such as file storage, appraisal, retention scheduling, disposition and the preservation of files.

Although the present study did not investigate aspects relating to action tracking, it would be of benefit if ministries not only developed procedures for location tracking (recording the movement of records when in use), but also developed procedures for action tracking, that is, allocating steps to be taken in response to decisions or transactions documented in a record, assigning responsibility for action to a designated person and recording dates by which the predefined action would be taken and the dates when those actions occurred (ISO 15489-1 2001:15). Focussing on action tracking would speed up delivery of public services.

6.1.6.3 Grading of Mail and Records Security

Security grading is a key aspect of registry work. Crooks (1990) suggested that classification marking be divided into the following categories: privacy markings, restricted, confidential, secret and top secret. Records should be allocated some security ranking, such as confidential or business, to protect

their status when they are actively being used to undertake business (Reed 2005:123). Such restrictions needed to have limits associated with them and have processes in place to review and downgrade them.

Eighty-nine (56.7%) registry personnel reported security classification of mail in the registries, while 68 (43.3%) did not. Sixty eight (43.3%) of the respondents confessed that security grading was not done in their registries. All ministries conducted security grading of mail, mainly in the secret registry or by action officers, including their secretaries. The classification categories included top secret, secret, confidential and open. Table 19 shows the various reasons for security classification of mail. All 157 (100%) respondents revealed that they had secret registries, where classified files were kept.

A formal instrument that identified the rights of access and the regime of restrictions applicable to records was necessary to manage records in organizations of all sizes and jurisdictions (ISO 15489-1 2001:12). Categories of access rights and restrictions were based on the organization's regulatory framework analysis, business activity analysis and risk assessment. Access restriction may take various forms (Reed 2005:123). She stated that forms of access restrictions included requirements to restrict knowledge, even the knowledge that a record existed. In other cases, access would be given to the fact that the record existed. Others included permission to view the content, but not for permission to change or alter the record; and redaction, that is, parts of the original record were blocked from access, where other parts would have access allowed.

Government ministries faced the problem of unauthorized access to records, particularly records kept in the open or personnel registries. This finding concurred with Wamukoya and Mutula (2005), who viewed poor security and confidentiality controls as one of the challenges faced by countries in the ESARBICA region in the capture and preservation of both paper and electronic records. The problem of unauthorized access to records was further exacerbated by the prevailing state of registry layout and design, which were

not secured in most ministries. This compromised public service delivery, as records would be lost, altered, deleted or hidden, thus making them unavailable when required by action officers. This would promote corrupt practices in the public services for example, records could be altered in a personal file and this would affect the benefits claimed by employees in relation to retirement, promotion, dismissal, transfer of services or other forms of compensation arising from legal suits.

The finding relating to the lack of security in registries concurs with the view expressed by the Government of Kenya, as revealed by the various records management circulars issued by the Office of the President and the Directorate of Personnel Management. The Office of the President, Directorate of Personnel Management (2003b), warned that one of the shortcomings noticed in the management of records related to malpractices such as hiding files to extort bribes from customers, a practice which had become common. The circular proposed that, to ensure the security of files or records, some of the measures to be put in place and adhered to, with immediate effect, were arranging for security vetting exercises for all staff working in the registry and making it a continuing exercise, to avoid leakage of information. Other measures were displaying restriction notices to deter entry of unauthorized personnel to the registry and ensuring that service counters were in place in the registries and doors and windows to the registries were secure.

To provide records security and enhance public service delivery, the government ministries should improve registry layout and design, including the use of service counters in the registries. Although access restrictions would be justified in certain circumstances as noted by Reed (2005) and ISO 15489-1 (2001), government ministries should have a mechanism for reviewing access controls, including the de-classification of secret and confidential records into the open status category.

As indicated in Section 6.1.4.2, all 157 (100%) respondents indicated that they faced problems in providing access to records in the registries. To enhance the management of registries in government ministries and departments, registry staff and senior ministerial officers should consider using the registry guidelines issued by the UK Cabinet Office, as suggested Southwood (Undated: 1-4) . Among the aspects the guidelines emphasized included the need to involve users in registry work, utilizing information technology, mail management procedures, improving image of the registry and taking into account management information. The guidelines would provide a useful tool and checklist for managing records in government registries, as they covered all the key aspects relating to registry management and would address the recordkeeping problems, identified in the current study, which affected public service delivery.

6.1.6.4 Performance Measurement

Compliance monitoring should be regularly undertaken to ensure that records systems, procedures and processes are implemented, according to the organizational policies and requirements, and meet the anticipated outcomes. Monitoring should examine organizational performance and user satisfaction with the system (ISO 15489-1 2001:17).

Discussing the link between performance measurement and accountability, Hurley (2005:237) emphasised that one of the roles and responsibilities of record-keepers, as agents of accountability, was that of auditor, which is evaluating performance against a pre-determined set of standards or benchmarks and reporting the results. Blake (2005) stressed that each public authority needed to ensure that it had in place a scheme to monitor performance of its records management system. Performance measurement was necessary to relate records activities to needs, to assess the efficiency or effectiveness of records activities and to demonstrate value and accountability.

The findings of the present study revealed that 111 (70.7%) did not conduct performance measurement of registries, compared to 46 (29.3%) who did. The findings further indicated that all 157 (100%) respondents had a plan for improving the management of records and the activities covered in the improvement plan, as shown in Table 14.

Although it is commendable that registry staff reported the presence of registry improvement plans, they should consider expanding the scope of records management activities in their registry improvement plan (Blake 2005), to include: volume of records created (for example, linear metres or megabytes), number of records inspected, response times in providing information from the records or retrieving the records themselves, quantity of records appraised, selected and destroyed or transferred to an archives and user satisfaction.

Lack of performance measurement in the registries would have negative implications for public service delivery and hamper attainment of the MDGs, as registries would not be able to provide accurate and timely information to meet the information needs of users, that is, information to support managerial and governance processes in the ministries.

The findings of the study were that registry staff did not establish the information needs of users. According to Yeo (2005:26), record users and their needs are multifarious and gaining an understanding of them is likely to provide an insight into the requirements that users bring, the challenges they face or the behaviour they adopt. Records managers and archivists needed a foundation of knowledge of who their users were and the composition of the user community, including the different ways in which records and records systems were used. Other issues to consider in satisfying user needs were identifying time taken to process mail, retrieve papers, deal with queries and record complaints (Southwood undated :4).

Other implications regarding the lack of performance measurement were registry staff being unable to establish the extent to which the registry was providing information to support the vision and mission of the parent ministry, in line with the ministry's strategic plan. Registry staff may be unable to assess levels of user satisfaction and dissatisfaction with the services provided and justify the need for more resources, for example, personnel, finance, equipment and supplies. It would be difficult to make changes to the records management system in the absence of performance measurement of registry functions and services.

6.1.7 Records Storage

The storage premises for current records should be clean and tidy and should prevent damage to records. The equipment used should provide storage which was safe from unauthorized access and which met fire regulations, but which allowed maximum accessibility to the information, commensurate with its frequency of use (Blake 2005).

The findings of the study were that registry staff used a variety of storage equipment for current records. The most common storage equipment was steel cabinets, named by 144 (91.7%) of the respondents. The next most common used storage equipment was cupboards 74 (47.1%) and wooden racks 72 (45.9%) (see Table 20). Whereas registries used various storage equipment, the key issue was adequacy of the storage equipment used. In most registries, the researcher observed that registries were full of records and some of the records were stored on the floor. These findings concur with a study by Akussah (2002), which sought to establish the care and handling of records in government ministries and departments in Ghana. It established that registries used a variety of storage equipment such as wooden shelves, wooden cabinets, metal shelves and steel drawer cabinets. A study by Makhura and Du Toit (2005: 221), at the South African National Parks (SANParks), further established that most respondents used cabinets to store records manually in their offices.

The findings of the present study were that ministries experienced problems with the storage of semi-current and non-current records (see Table 21 and Table 22). As pointed out by Southwood (undated: 1), mix-up of active and inactive files was one of the symptoms of a poor registry system. The prevailing inadequate record storage conditions is contrary to the requirements of ISO 15489-1 (2001: 18), which stated that appropriate storage conditions ensured that records were protected, accessible and managed in a cost effective manner.

Previous work has emphasised records storage as one of the records management problems that faced public offices. A study by Akussah (2002) established that public records at the semi-current stage were not properly stored and managed. In Kenya, a study by Kemoni (1998) identified inadequate filing equipment for records and insufficient record storage space as some of the problems record creators faced on a recurring basis. A study by Mnjama (2003) identified the provision of inadequate storage facilities as one of the factors that contributed to the poor state of recordkeeping in Kenya. In another study, Mnjama (2004) identified records storage space as one of the many problems that plagued management of records in many African and Central American countries.

The findings of the current study concerning inadequate records storage concurred with the concerns raised by the Government of Kenya regarding inadequate record storage conditions in government ministries and departments. The Directorate of Personnel Management, in appointing a Task Force to review the performance of registries in government ministries and departments (2003), noted that one of the shortcomings experienced in the management of records in Kenya related to lack of storage or inadequate storage for active records, which had resulted in records being thrown away or kept on the floors and corridors. It stated: "semi-current and non-current files are also kept on the floors, corridors and the registries, as opposed to well provided record rooms/record centres".

The picture painted by the study is that there was need for improvement in record storage in government ministries. As raised at the International Records Management Standard Speakers Notes Seminar (2005), storage of records should involve the storage systems, processes, facilities and devices, used for the storage of records.

Inadequate storage of current, semi-current and non-current records would negatively compromise public service delivery and hamper the attainment of the MDGs. It would affect the speed of retrieving current files, leading to delays in decision-making by action officers, as they would be stored on the shelves with semi-current and non-current records and on the floors. Mixing current, semi-current and non-current files on the shelves would increase file wear and tear and loss of file folios. Inadequate records storage would compromise the security of records, leading to their loss, theft and alteration, thus making them unavailable when required by action officers. Inadequate records storage equipment would increase the deterioration of records and this would affect their access and use and affect the health and safety of registry staff, for example, if the records were dusty. In answer to the question concerning the appropriate storage equipment for records, registry staff would benefit from the considerations provided by ISO 15489-1 (2001:18).

6.1.8 Control of Environmental Conditions

Control of environmental conditions is vital to records preservation and management. Roper (1999b:30) observed that the most significant factors affecting the physical quality and stability of archival material were fluctuating or excessively high or low temperatures and relative humidity, excessive exposure to light, fire and water damage and biological agents such as moulds, insects and rodents. The various general measures to protect archives (which would also apply to registries) involved monitoring and controlling temperature and relative humidity, limiting light, filtering air to reduce pollution, protecting archives from water damage, inhibiting mould

growth, reducing the tendency to attract insects and protecting records from mishandling and abuse.

Georgia Archives (2002) stressed that the storage environment in which records were housed would have a dramatic effect on their long-term physical conditions, as well as on the information contained in the records. Key environmental factors are temperature, relative humidity, pollutants and light. In the present study, all 157 (100%) of the respondents revealed that they did not monitor temperature and relative humidity, while 140 (94.9%) said that they did not control temperature and relative humidity.

These findings mean that records in the registries are in danger of deterioration due to the adverse effects of uncontrolled temperature and relative humidity. Ogden (2002) emphasised that control of temperature and relative humidity was critical in the preservation of library and archival materials, because unacceptable levels of these conditions contributed significantly to the breakdown of materials. Heat accelerated deterioration: the rate of most chemical reactions, including deterioration, was approximately doubled with each increase in temperature of 10° C. High relative humidity provided the moisture necessary to promote harmful chemical reactions in material and, in combination with high temperatures, encouraged mould growth and insect activity.

Preventive means are the key to minimizing damage from the environment (Georgia Archives 2002). Controlling temperature, relative humidity and light, and keeping the environment clean, would have a dramatic effect on the longevity of records. The lack of monitoring and controlling temperature and relative humidity in the records storage would affect public service delivery. The longevity of records would be compromised by uncontrolled temperature, relative humidity and light levels, leading to their deterioration by encouraging the growth of micro-organisms, paper fading and ink bleaching. Deterioration of records would make records unavailable for use by action officers and

members of the public and this, in turn, would compromise public service delivery and hamper the attainment of the MDGs.

With regard to light, ninety-three (59.2%) respondents answered that they did not control light in the record storage areas, compared to 64 (40.8%) who did. Light would affect the longevity of records and contribute to their deterioration, as light accelerates the deterioration of library and archival materials by acting as a catalyst in their oxidation (Ngulube 2005b). Light, whether natural or artificial, weakened some materials, causing them to fade or darken. Damage from light is irreversible and the effects of exposure accumulate over time (Georgia Archives 2002).

The present study established that 81 (51.6%) of the respondents had not experienced pest infestations in the record storage area, while 76 (48.4%) indicated that they had (silverfish, booklice, rats, mice and cockroaches). Insects would damage records considerably if not controlled. According to the Georgia Archives (2002), a pest infestation not only creates anxiety among staff, but can cause significant damage to records. Insects are generally a barometer for other environmental problems, such as high relative humidity, gaps in the building envelope or poor housekeeping.

The control of environmental factors has a positive impact on controlling biological factors such as rodents, termites, silverfish, cockroaches, booklice and beetles. Silverfish and booklice do not favour dry conditions, so monitoring and controlling the climate would greatly reduce insect infestations (Ngulube 2005b).

Ninety-three (52.2%) respondents stated that they did not control fungi in the records storage area. This situation would compromise public service delivery as fungal infestations would lead to damage of records, thus making them unavailable for use as tools for enhancing public service delivery and governance. Lee (1988:10) pointed out that mould (cryptogamic fungi, that is fungi that propagate by means of spores) caused stains on materials, a

condition known as "foxing". Virtually all organic materials were susceptible to some species of mould and therefore to mould growth. Excessive heat, poor air circulation and relative humidity above 65% provided a suitable climate for fungal growth.

The findings of the current study regarding lack of environmental monitoring and control in government registries agree with the concerns expressed by the Government of Kenya regarding environmental control and monitoring in registries. The Office of the President, Directorate of Personnel Management (2003b), stated that, to improve the security and working environment in the registries, one of the measures that needed to be taken was to "carry out frequent fumigation in the registries to curb the infestation of ants, cockroaches and rodents".

Frequent fumigation in the registries, as advised by the Office of the President and Directorate of Personnel Management Circular (2003b), would be inappropriate, as it can lead to contamination of records and endanger the health and safety of registry staff and other records users. Existing literature discourages the use of fumigation as a technique for controlling pest infestations. Ngulube (2005c:78) warned that the use of chemical treatments in the control of pests affected both human beings and pests. Fumigation included any treatment that relied on fumes or vapour of a biocidal compound to kill biological organisms such as mould, silverfish, beetles and cockroaches.

It is apparent from the findings of the present research that some ministries were taking positive measures to protect the environment in the records area. For example, smoking, eating, drinking and any form of cooking in the registries was not allowed in 10 (83.3%) out of 12 ministries. This was a positive development, given that eating food in the records storage area was likely to attract insects and other pests such as rats. Despite the positive measures described above, measures need to be taken to provide a stabilized environment for records in the storage areas. Environmental control

would assist in protecting records, to ensure their maximum exploitation for enhanced decision-making.

6.1.9 Records Survey and Appraisal

A records survey is a comprehensive and systematic gathering of information about records created and received by an agency, as noted by IRMT (1999d). Furthermore, it enabled a team to find out what records existed, their location, and understanding how they are used. Sometimes, record surveys facilitate the identification and resolution of recordkeeping problems, develop retention schedules and assist to raise the profile of records work and stimulate interest. Ngulube and Tafor (2006:62) pointed out that records surveys assisted national archives to manage records created by government throughout their life-cycle, as well to develop sustainable records management programmes.

Archives personnel revealed that survey and appraisal visits to government ministries and departments were not conducted on a regular basis, due to factors such as inadequate personnel strength (Kuchio 2002:11). Insufficient resourcing of the KNADS, in relation to its records management responsibilities, as stated by Kuchio (2002), was not limited to Kenya, but affected other archival institutions in the EASRBICA region as well. A study by Ngulube and Tafor (2006:63) established that national archival institutions in the ESARBICA region were not carrying out an effective programme of inspection and monitoring, or providing regular guidance to government agencies, due to limited funding and insufficient staff. The present study found that ten (83.33 per cent) of the respondents stated that their funding was entirely shouldered by the government, while, with the exception of one archival institution, the majority of the respondents complained about the inadequate financial support they received from government. Budgetary allocations increased slightly in the last five years, at four (33.33 per cent) institutions.

Seventy three (46.5%) respondents conducted a records inventory, while 84 (53.5%) did not. This was contrary to data obtained from the observation checklist, which indicated that ministries did not conduct records inventories. The absence of records inventories in the ministries would have negative implications for public service delivery and the attainment of MDGs. For example, it would be difficult to know the volume of records created, their location, preservation status and problems faced in providing access. It would be difficult to establish their status, that is, those records in the current, semi-current and non-current status, and identify those that were due for appraisal and disposition. Other problems which would be experienced and affect public service delivery due to the absence of record inventories, as suggested by Southwood (1987:1), were: ministries being unable to have a comprehensive gathering of information about records created or processed by an organization, knowing what records existed and the procedures associated with them, understanding users' records needs and being aware of all the media used and discovering current retention periods.

6.1.10 Retention Scheduling and Disposition

Records scheduling helps to determine how long records should be kept or how soon they should be disposed of (Ngulube and Tafor 2006: 67). Seventy-eight respondents (49.7%) cited the use of retention schedules as the most common instrument used to dispose of records, while 54 (33.4%) cited a combination of retention schedules and standing instructions.

The study established that most ministries did not have retention schedules. Perhaps this explains why most ministries did not dispose of their records. KNADS archives personnel provided advice to record-creating agencies, during the past five years, on records disposal (see Table 33). However, archives personnel had not effectively assisted government ministries and departments to develop records retention schedules, which would guide records disposition activities. Perhaps this explains why the majority of ministries lacked records retention schedules and were unable to dispose of records, since it would be impossible to dispose of records without retention

schedules. Kuchio (2002:11) pointed out that record centres had not given development of records retention and disposition schedules much attention, compared to other areas where records management advice was provided, such as developing and reviewing records classification schemes, survey and appraisal.

The present finding, relating to absence of retention schedules in most government ministries to guide records disposition, concurred with Wamukoya and Mutula (2005). These authors felt that one of the challenges faced by ESARBICA countries in the preservation and management of records related to the lack of retention and disposal policies. Ngulube and Tafor (2006:62) established that record surveys and inspections were conducted irregularly in countries such as Kenya, Namibia, South Africa, Tanzania and Zimbabwe. Two (16.67%) out of 12 respondents carried out retention scheduling once a year, whereas 10 (83.33 per cent) said they carried out retention scheduling as the need arose and that the development and implementation of records schedules largely hinged on the process of appraisal. The finding by Ngulube and Tafor (2006) concurred with the findings of the present study, which were that archives personnel conducted records surveys and appraisal when the need arose.

Records disposal is an important activity in the life-cycle of records (Blake 2005:54). Citing Section 9 of the Records Management Code, Blake stressed that it was particularly important, under the FOI legislation, that the disposal of records was clearly undertaken, in accordance with clearly established policies. The policies needed to have been formally adopted by the authorities and enforced by authorized staff. Blake (2005) stipulated that the disposal activity be dependent upon clearly established policies and formally adopted by the authorities and enforced by authorized staff. The present study would imply that, in disposing of records, registry staff ought to use retention schedules which have been prepared in consultation with KNADS archives staff and have been fully endorsed by senior ministerial officers. It would also

imply that archives personnel ought to ensure that, once developed, retention schedules would be implemented by government ministries and departments.

Although 112 (71.3%) respondents claimed that they had a records disposition programme, this was contrary to data obtained from the observation checklist, which indicated that most ministries did not dispose of their records. Registry staff based their responses on the fact that records disposition may have taken place in their ministries at one point, but not on a systematic and regular basis. This was confirmed by archives personnel, who said that records survey, appraisal and disposal visits were conducted when the need arose, or when resources were available.

Table 27 shows that the most cited records disposition programme was records transfer to the national archives and physical destruction. Some of the disposal options recommended by ISO 15489-1 (2001) were therefore not applied in Kenya. Retention of records for a further period of time within the business units would be inappropriate, as it would lead to congestion of record-storage areas, since current and semi-current records would be mixed with non-current records which had already been earmarked for disposal. As Ngulube and Tafor (2006:67-68) described, registries tended to become congested if there were no regular information disposal programmes. This led to departments dumping records in whatever available space there was, without considering long-term access to the information and its preservation. The way records were appraised also led to accumulation of backlogs. Overwriting and deflection would be applicable when disposing of electronic records.

Whereas some of the disposal options suggested by ISO 15489-1 (2001) presuppose the use of private disposal facilities, for example transfer of records to an external archives authority, this would be impossible to implement, as the current archives and records legislation in Kenya does not have provisions to cater for such a scenario. Private disposal facilities have not been developed and used in Kenya. The findings of the current study

regarding the non-disposal of records concur with the concerns expressed by the Office of the President and Directorate of Personnel Management (2003a), which warned that absence of specific and general disposal schedules had encouraged the unnecessary accumulation of ephemeral records.

The findings of the present study were that most ministries did not dispose of their records on a regular basis. This was confirmed by archives staff, who said that record creators did not implement professional records management advice given to them, including that regarding the disposal of records. Some of the reasons advanced by archives personnel for the non-implementation of records management advice provided to registry staff were the lack of support from senior ministerial officers, the low priority accorded to records management in government ministries and the constant transfers of registry staff within the public service. Other reasons included the non-enforcement of the provisions of the Public Archives Act Cap 19 and Cap 19 not giving record creators more responsibility to manage their own records.

Previous studies have identified lack of retention and disposal schedules as one of the challenges faced in managing public records. A study by Akussah (1996) in Ghana noted the lack of comprehensive record retention schedules as one of the problems that public offices faced. Mnjama (2004) also identified lack of retention and disposal schedules as one of the many problems that plagued management of records in many African and Caribbean countries.

Various records management guidelines issued by national archival institutions call for prompt appraisal and disposal of records. The IRMT (1999e) called for the development and implementation of records schedules, appraising records and retaining those with continuing value, while disposing off non-current records. The National Archives and Records Service of South Africa (2005) advocate the presence of a records disposition programme.

Whereas many archivists in the ESARBICA region, including Kenya, continued to use the records life-cycle model to guide their appraisal and disposition actions, as mentioned by Ngulube and Tafor (2006:71), it would be of benefit if archivists in Kenya considered using both the records life-cycle model and the redefined appraisal criteria (Reed 2005). In a sense, this would be a triangulation of appraisal criteria, in which both the life-cycle and Reed's (2005) redefined appraisal criteria would be used. A triangulation of appraisal criteria would bring the benefits associated with the triangulation technique (Odera 2003), namely complementing both approaches and minimizing the methodological problems that result from the weaknesses in each method.

The prompt disposal of records by government ministries would be in line with requirements of the records continuum model. One of the four actions of records care under the records continuum model (Millar 1997:14) is physical control. Records management actions under physical control include disposal by destruction of records or their transfer to the national archives.

6.1.11 Disaster Management and Security Control

Security and disaster management is the key to the protection of records from human and natural disasters. Disaster planning facilitates efficient and quick response to an emergency and is fundamental to ensuring access to, and preservation of, documentary materials into the future (Ngulube 2005d: 15). A disaster plan is a document which describes the procedures devised to prevent, and prepare for, disasters and those proposed to respond to and recover from disasters when they occur (Lyall 2002). One hundred and forty (89.2%) respondents confessed that they neither had criteria for evaluating potential hazards nor a disaster management plan, compared to 17 (10.8%) who responded in the affirmative. One hundred and forty (89.2%) respondents answered that they did not have an in-house vital records protection programme. These findings agree with those of a study by Makhura and Du Toit (2005:224), at the South African National Parks, which established that 85% of the respondents said that a disaster plan did not exist or they were not sure about its existence.

Records in government registries are thus at risk, as there are no disaster management programmes in place in most ministries, to mitigate the effects of disaster and secure vital records. One hundred and twenty seven (80.9%) respondents admitted that they did not have fire detection systems in the record storage areas. Eight seven (55.4%) did not have fire suppression systems in the record storage area. According to Schwirtlich (1997:49-50), fire was a major threat, which needed to be minimized in various ways, namely the fabric of the building being as fire resistant as possible and fire detectors and extinguishers being available (water or gas based). As shown in Table 29, gas and water based fire suppression systems were cited by 45 (28.7%) of respondents from those 70 (44.6%) who stated that they had fire suppression systems in the record storage area.

A disaster management plan should provide for the training of employees, including on-going reviews and revisions (Ngulube 2005d: 20). Adinku (2005:78-79) advised that all offices should have appropriate fire extinguishers and that these should be serviced regularly. All staff should be trained and shown how to operate simple fire-fighting facilities. The findings of the present study were that 141 (89.8%) had not received training in fire-fighting techniques. This means that the majority of the registry staff did not have the technical know-how to deal with fires, if they occurred in the registries.

The lack of training in fire-fighting techniques was likely to have serious consequences for public service delivery and the attainment of MDGs in government ministries, as action officers relied on recorded information to provide services to the public. Training in fire management would equip registry personnel with the necessary knowledge and skills in areas such as risk analysis, fire planning, equipment installation, fire prevention, fire awareness, fire control and equipment servicing. Properly trained staff would not only prevent fire hazards, but also fight fires (Schwirtlich 1997:50). The lack of preparedness in dealing with disasters in government ministries was

highlighted when 151 (96.2%) respondents said that they did not have disaster management committees in their ministries. Disaster management committees may assist in establishing types of disasters likely to strike organization's records; financial planning; risk assessment; disaster preparedness; disaster reaction; recovery and generally managing disasters (ICA 1997).

Previous research has also identified the lack of disaster preparedness among records staff as a major impediment to recordkeeping. A study by Akussah (2002) in Ghana, to establish the care and handling of records in 69 government ministries/departments, established that 43 (97.7%) of the 44 registries that responded knew nothing about disaster preparedness. A study by Chachage (2005), of corporate records management systems among nine companies in the Iringa region of Tanzania, established that the companies did not have vital records programmes and disaster management plans. The Office of the President, Directorate of Personnel Management (2003b), advised that, to ensure the security of files/records, there was need to provide fire extinguishers to registries, carry out regular checks to ascertain their functioning and undertake mock fire drills, for disaster preparedness. Government ministries should prepare disaster management plans if they are to protect records in the registries. Such a plan should take into account the steps recommended by Lyall (2002) and Adinku (2005:78).

6.2 Kenya National Archives and Documentation Service and the Management of Records During Their Continuum

As raised in Section 1.3 of Chapter One, various archival laws worldwide, for example, in North America, Australia, the United Kingdom, Brazil, India and South Africa, provided records management assistance to records creators. Thurston (1996b:187) pointed out that any attempt to understand the development of records management in the public sector in Africa must focus on the national archives.

Section 4 (1) A of the Public Archives and Documentation Service Act Cap 19, stated that one of the powers of the Director, KNADS, was to examine any public records and advise on their care, preservation, custody and control. The Office of the Vice-President and Ministry of Home Affairs strategic Plan Final Report (2004-2008:70) stressed that one of the core functions of the Kenya National Archives and Documentation Service was to provide advisory service to public offices on all matters relating to the creation, control and general management of public records.

All 157 (100%) registry personnel revealed that they were aware of the KNADS and 152 (96.8%) had received professional records management advice from the KNADS, while all six (100%) archives personnel said that KNADS provided records management advice to registry staff. This was confirmed by all 10 (100%) senior ministerial officers, who admitted that they had sought assistance from the KNADS to manage their records. Senior ministerial officers stated that various records management circulars from the Office of the President and the Directorate of Personnel Management encouraged government ministries to liaise with the KNADS and seek professional assistance in records management.

The Office of the President Circular OP/48A/66 of 28 November 1985, warned that public records should not be destroyed without proper authority from the Chief Archivist. The Office of the President Circular OP/39/2A of 14 April 1999 required the Director of the KNADS to provide advice to public offices, to curb the incidents of missing and lost files in the public service. Another circular issued by the Directorate of Personnel Management DPM.4/10A of 27 October 2003 called upon public offices to seek authority from the KNADS regarding disposal of records.

The findings of the present study revealed that 144 (91.7%) registry personnel had received advice on registry management (see Table 30). Data obtained from archives staff (see Table 33) showed that they provided advice to registry staff in the following areas: review of file classification systems,

developing file indexes, records survey and appraisal, records disposition, developing records management policy and training registry personnel. One key finding of the study was that registry personnel had not received advice in the following areas: reports and forms management 114 (72.6%); directives management 125 (79.6%) and disaster management 120 (76.4%).

These findings show that the KNADS needed to diversify the scope of professional records management advice provided to registry staff, to include reports, forms, directives and disaster management. The diversification of records management advice provided to record creators would concur with the view of Penn, Pennix and Coulson (1994:5), that a complete records management programme encompassed, among other things, forms, directives and reports management.

Despite the records management advice provided to record-creating agencies, four (66.7%) archives personnel confessed that public creating agencies did not implement it. This perhaps explains why the current state of recordkeeping in the Kenyan public sector is far from satisfactory (Mnjama (2003a; Musembi 2004:12). Some of the reasons advanced by archives personnel for non-implementation of professional records management advice provided to record creating agencies, such as lack of senior management support (see Table 34), were also cited by the Office of the President, Directorate of Personnel Management (2003a). Some top administrators did not understand/appreciate the vital role played by registries and therefore did not give the necessary support and guidance. It further noted that the absence of records management officers in the ministries contributed to the current state of recordkeeping, including the non-disposal of records.

The problem of record-creators not implementing advice provided by KNADS archives personnel is not unique to Kenya. In France, Barbat (1999) pointed out that the responsibility of the record creator was the most problematic area of records management and establishing the responsibilities of record creators was a hard task. One way of addressing the problem of creators not

implementing records management advice provided by archives personnel would be the recruitment and deployment of a records management cadre in government ministries and departments. Other countries which have deployed records management officers in government ministries, with specific records management responsibilities, include India (The Public Records Act of India 1993) and Botswana (Chebani 2005; Mnjama 2005).

In Kenya, although Mnjama (2005) opined that a significant number of executive officers were re-designated as records managers in their respective ministries and the process had established a direct link between the national archives and record creating departments and ministries, resulting in better management of records during their entire life-cycle, this was contrary to the findings of the present study. The study established that among the officers re-designated as record officers were purchasing officers, who had been put in-charge of registries. The study established that these officers were demoralised, as they had no prior education and training in records management, and thus were not in a position to offer professional guidance to registry clerks on the management of records. No scheme of service had been developed for their career progression and most felt that, by being re-designated as record officers, the government had simply "dumped" them. Although the Directorate of Personnel Management organized records management workshops to orientate them to their new career, they still lacked motivation. This was cited by registry staff as one of the factors contributing to the current recordkeeping situation in government ministries.

The Office of the Vice-President and Ministry of Home Affairs Strategic Plan (2004-2008:74) emphasised that one of the strategic objectives of the KNADS is to improve the records management service offered in the public service. To achieve this objective, the strategic initiatives (change projects/programmes) included strengthening capability for advising public offices on records management, improving records survey and appraisal, improving the disposal of valueless public records and reviewing the Public Archives and Documentation Service Act Cap 19.

The findings of the present study which indicated that registries were rated lowly in the ministries and departments, concurred with the view by Millar (2004), who stated that there was often limited financial and organizational support for archives programmes, and national archives in many developing countries were marginalised, with insufficient resources, deficient physical facilities and inadequate infrastructure. Chebani (2005:153) pointed out that, in many countries, including Botswana, records and archives services did not receive "red carpet treatment" and were not considered a priority area for business.

The need for senior management to support records management activities was underscored by Makhura and Du Toit (2005:224), who observed that senior management needed to support the concept of a well-run records management programme and vigorously enforce a records management culture.

Previous research highlighted the important role that archival institutions played in the management of public records, including the problems experienced. Wamukoya (1996) opined that public agencies relied upon the KNADS to provide professional leadership and guidance on matters concerning management of public sector records. A study by Kenosi (1999), in the Botswana public service, established that the national archives faced problems regarding management of active, semi-active and non-active records in the public service. A work by Chebani (2005:139) recorded that the Botswana National Archives and Records Service faced problems in managing records prior to the introduction of a records management cadre in the public service. A survey of archival services in Eastern and Southern Africa by Mnjama (2005) pointed out that, whereas some archival institutions had made considerable progress in managing non-current records, for example South Africa, Kenya, Botswana, Zanzibar, Tanzania and Zambia, the same could not be said for Lesotho, Malawi, Swaziland and Uganda.

The inadequate involvement of KNADS in providing records management advice to government ministries and departments, due to the constraints it faced, would affect public service delivery and further hinder attainment of the MDGs. For example, it would be difficult for KNADS archives personnel to make visits to record creators and provide records management advice. In the absence of regular records management advice, it would be difficult for public offices to create, classify and index, have in place efficient records access and use practices, good records storage conditions, conduct environmental monitoring and control, devise disaster management and security plans, survey, appraise, and prepare retention schedules to guide records disposition. It would be difficult for archives personnel to make follow-up visits to government ministries and departments to monitor and ensure that advice provided was being followed. In the absence of regular follow-up visits, it would be difficult for archives personnel to know the problems record-creators faced in following the advice provided and implementing possible solutions.

6.3 Records and Archives Legislation in Kenya and the Extent to Which it Facilitated the Management of Public Sector Records

The enactment and application of comprehensive, up-to-date records and archives legislation is a critical pre-requisite for the establishment of an effective, integrated system for managing records and archives throughout their life-cycle (Roper 1999a:3). Ngulube and Tafor (2006:57, 61) pointed out that legislation that mandated archival institutions to manage records through their life-cycle in the ESARBICA region was not comprehensive in certain instances. The existence of weak archival legislation was not confined to the ESARBICA region, as the ICA identified weak and ambiguous laws as one of the challenges facing archival institutions, worldwide.

The Association of Commonwealth Archivists and Records Managers (ACARM) Chairman's Report (2002 and 2004) announced that the organization had initiated a project to study existing public records and national archival legislation in Commonwealth countries, together with

legislation which had an impact on records and archives. UNESCO's assistance to member states in the development of infrastructure for archives and records management included advice on archives and records management legislation (Ketelaar 1985). Regional seminars had been organized by UNESCO and the ICA to increase awareness of the importance of archival legislation among archivists.

Although Ketelaar's (1985) study on behalf of UNESCO was conducted 21 years ago, his views formed the framework for review of archival legislation by other professional records and archival institutions such as the ICA (1997) and the IRMT (1999). According to McDonald (1997:110-116), Chair of the ICA Committee on Archival Legislation, which prepared a document entitled "Principles for Archives and Current Records Legislation", the ICA Committee on Archival Legislation recommended that archival legislation should cover records management. He stated that legislation was needed to direct national archives to develop standards and regulations for the management of current records held by other departments and agencies of public administration. Archival legislation should define the respective roles of national archives and the various government departments for the appraisal and destruction of records.

A study by Roper and Williams (1999:43), on behalf of the International Records Management Trust, pointed out that model records and archives legislation needed to have the following components:

- Titles;
- Definitions;
- Ministerial responsibility;
- Records and archives administration;
- An advisory body;
- Relative responsibilities of heads of agencies and the head of the National Records and Archives Administration for current and semi-current records;

- The duties of the head of the national Records and Archives Institution in respect of archives;
- Access;
- Legal validity;
- Copyright;
- Statutory deposit;
- Private archives;
- Financial arrangements; and
- Penalties.

An analysis of the Public Archives and Documentation Service Act Cap 19 showed that it lacked some of the requirements of records and archives legislation, as noticed by Ketelaar (1985) and Williams and Roper (1999). For example, the title did not stress the continuity of records care throughout the life of the record. The Act does not define all technical terms in the life-cycle of a record, for example current, semi-current and non-current records, retention and disposal. The Act does not separate the functions of the Director and those of the Minister responsible for archives and the functions of the Director were rather limited, particularly concerning the management of electronic records.

A report prepared for UNESCO and the ICA by Millar (2004), entitled Authenticity of Electronic Records, observed that in many developing countries, archives legislation regulated the management of "archival" records identified as non-current and historical. Often, the legislation did not allow the national archives to participate in the care of current records or in the development of recordkeeping systems. The recommendations offered by Millar's (2004) report for consideration by UNESCO and the ICA included:

the ICA should continue its work to consolidate guidelines and tools on legislation and policies, including concrete and practical examples from professional practice, along with sample laws, policies, and related resources.

6.3.1 Strengths and Weaknesses of the Public Archives and Documentation Service Act Cap 19

All six (100%) archives personnel acknowledged that the Public Archives and Documentation Service Act Cap 19 spelt out the duties of the Director of KNADS, as contained in Section 4 (1) a and b of the Act. Legislation should provide for the appointment of a director of the national records and archives institution, in accordance with the general legislation and other rules regulating senior appointments in the civil service (Roper and Williams 1999: 31, 34). These authors observed that legislation was necessary to establish the director's responsibility for implementing general records policy and the day-to-day management of the institution. The director should be responsible for:

- Overseeing records work within public offices;
- Establishing and ensuring compliance with standards for the management of public records;
- Advising the heads of public offices on the number and grading of posts in the records class;
- Arranging the necessary training of members of the class;
- Drawing up general retention and disposal schedules;
- Ensuring that the provisions of retention and disposal schedules were implemented; and
- Authorizing the disposal of public records other than those provided for by retention and disposal schedules.

The current Public Archives and Documentation Service Act Cap 19 did not enumerate some of the responsibilities of the director of a National Archives and Records Service (Roper and Williams 1999). These related to advising the heads of public offices on the number and grading of posts in the records class and making appropriate postings and arranging the necessary training of members of the records class. This presupposes that the record class within the public service should be under the Director of the KNADS.

In Botswana, Kenosi (1999:119-127) and Chebani (2005:147-148) opined that, despite the problems experienced in the transfer of all registries and their personnel to the national archives, it enhanced the professional status of records management. There was reduction in loss and misplacement of files through the development of proper file classification, reduction in misfiling, and the reduction of record problems in the ministries. Other benefits included the fact that the transfer of records to the Botswana National Archives and Records Service became consistent throughout the years and file tracking systems and other control procedures developed were being enforced.

All six (100%) archives personnel felt that Cap 19 did not specify the responsibilities of record-creating agencies. This was contrary to existing records and archives legislation in other countries such as the United Kingdom, Australia, the United States of America and India, where the responsibilities of record-creating agencies were clearly spelt out in existing records and archives legislation.

According to NARA (2004), every federal agency was legally required to manage its records and have specific legal requirements for records management, such as making and preserving records that contained adequate and proper documentation of the organization functions, policies, procedures and essential transactions, establishing safeguards against removal or loss of records and notifying the archivist of any actual, impending or threatened unlawful destruction of records and assisting in their recovery.

In Australia, the National Archives of Australia (2004) stated that the responsibility for recordkeeping was shared between government agencies and the national archives. The responsibilities of agencies included: setting up sound recordkeeping systems; making sure full and accurate records were created, kept and properly documented within the systems; ensuring that records remained useable and were not prematurely destroyed and ensuring that public access to records was granted when legitimately required.

Section 5 (1) and (2) of The Public Records Act (1993) of India stipulated that every records-creating agency needed to nominate one of its officers as records officer, to discharge the functions of the Act. The duties of the records officer included proper arrangement, maintenance and preservation of public records in his/her charge, periodical review and weeding out of public records of ephemeral value and appraisal and destruction of public records. Other duties were the compilation of record retention schedules, periodical review for downgrading of classified public records and adoption of such standards, procedures and techniques, in consultation with the National Archives of India.

The present study established that the other weaknesses of Cap 19 in relation to the management of public sector records in Kenya were that the Director of KNADS lacked the means to implement the provisions of Cap 19, lenient penalties for those who contravened the Act and the component of records management was not explicitly stated in the Act.

6.3.2 Opportunities and Threats Concerning the Public Archives and Documentation Service Act Cap 19

All six (100%) archives personnel pointed out that there were opportunities which may be utilized by the director of KNADS to enhance the management of public records, for example clamour for transparency and accountability in the public service and on-going public sector reform programmes. This was recognized by the department, as contained in the Vice-President and Ministry of Home Affairs Strategic Plan (2004-2008:73). One of the strategic perspectives of the department is to reposition the KNADS within the civil service for effective service delivery. The strategic initiatives will include linking the on-going DPM-archives initiatives on records management to their functions, harmonising the duties of records management officers to archives services and improving the visibility of the KNADS within the public service.

All six archives personnel warned that the KNADS faced certain threats in using the current Public Archives and Documentation Service Act Cap 19 to

manage public records. In its strategic plan, the KNADS proposes to review the Public Archives and Documentation Service Act Cap 19, as noted in the Office of the Vice-President and Ministry for Home Affairs Strategic Plan (2004-2008: 74). The review of Cap 19 would help improve records management services in the public service.

Previous research in Kenya established that the Public Archives and Documentation Service Act Cap 19 had certain weaknesses and called for its revision. A study by Githaka (1996) identified the enforcement by the KNADS of existing archives legislation and regulations as one of the constraints that affected the development of effective records management practices in Kenya. Ombati (1996:20-21) stressed that the Public Archives and Documentation Service Act was already outdated and required revision.

A study by Kemoni (1998) established that Cap 19 had certain weaknesses which affected the management of records in the public sector, such as that the director had no powers to issue disposition authority without reference to the minister to which the department was responsible. It was also not mandatory for record-creating agencies to play a role in managing records created within their own organizations.

A study by Mnjama (2005) showed that a survey of archival legislation in the ESARBICA region revealed that, except for Tanzania and Uganda, which had enacted new legislation, most of the other national archives were still operating under archival legislation modelled along the UK model. The greatest weakness of these legislations was their failure to address electronic records and the role of advisory councils, which were ineffective. A study by Garaba (2005) into archival appraisal practices in the member states of the ESARBICA region discovered that the various pieces of legislation in existence were archaic and were in urgent need of revision.

Ngulube and Tafor (2006:61) established that legislation regulating archival activities in the ESARBICA region was archaic and outdated in four (30.77 %)

countries, while legislation did not adequately cover the records management function in seven (53.85 %) countries and two (15.38 %) countries did not have legal provision for an archival advisory board. The legislation of three (23.08%) countries did not define records in a comprehensive way, because the laws only covered record types that existed at the time the legislation was passed. Seven (53.85 %) institutions used 'first generation' legislation that gave the national archives a custodial role only, without any clear involvement in the management of records during their life-cycle. Ngulube and Tafor (2006) established that archival legislation in six (46.15 %) countries in the ESARBICA region was "second generation", as the laws gave national archival institutions power to monitor and evaluate records management programmes from the time that records were created until they were disposed of either through destruction of, or transfer to the national archives.

The findings of the present study were that the Public Archives and Documentation Service Act Cap 19 requires revision in order to enhance and facilitate the management of public sector records in Kenya. In revising the Act, KNADS archives personnel needed to consider borrowing from existing models of archival legislation from developing countries, such as South Africa (The National Archives and Records Service of South Africa Act 1996) or India (The Public Records Act 1993). Existing records and archives legislation from the developed countries, such as Australia and the United Kingdom, may also be considered in revising Cap 19, as their legislation provides for shared responsibility between record-creating agencies and the national archives in managing public sector records.

The Public Archives and Documentation Service Act Cap 19 is about to be reviewed in Kenya. According to a Daily Nation reporter (2006:4), among the bills listed to be tabled in Parliament in Kenya, which re-opened on 21 March 2006 after a five-month recess, occasioned by the government's defeat in the November 2005 constitution referendum, is the Public Archives and Documentation Service (Amendment) Bill. This Bill seeks to strengthen the KNADS and extend its scope of operations. It is hoped that some of the

amendments proposed in this study will constitute part of the proposed changes to the Bill.

An interview with Ichagichu Mwangi (2006), current Director of KNADS, revealed that the proposed Public Archives and Documentation Service (Amendment) Bill will be based on proposals developed by the KNADS in 1997, as contained in a memorandum by Musila Musembi (1997), then Director of KNADS, dated 30 April 1997, to all senior officers in the Department. Some of the key proposals contained in the memo, titled Proposed Amendment of the Public Archives and Documentation Service Act Cap 19, were:

- Enhanced penalties related to destruction of public records;
- Public offices initiating legal action relating to destruction of their own records;
- Public Archives Advisory Council, including representation from the Department of Archives and Records Management, Moi University; and
- Public offices required to manage their own records, for example appointing an officer in each government ministry or department to act as a records officer for the purposes of co-ordinating records management activities.

An analysis of the proposed amendments to Cap 19 shows that the proposed amendments do not address the key issues that affect the management of public sector records in Kenya. For example, the proposed Amendment Bill does not explicitly state that officers to be appointed as records officers in government ministries and departments have education and training in records and archives management. The proposed Amendment Bill does not address the management of electronic records and does not specify the responsibilities of record-creating agencies in managing their records. Mwangi (2006) confirmed that the proposed Amendment Bill, to be debated in Parliament, and which was drafted during the term in office of the former director of KNADS, Mr. Musila Musembi, did not address all the issues that

faced the management of public sector records in Kenya and required further revision before being debated in Parliament.

6.4 Extent of Computer Applications in Records Management and Resultant Challenges

Electronic records are being created daily in public institutions, in a variety of formats, using different technologies (Mutiti 2001: 57). The National Archives of Australia (2004) stated that digital records were records created, communicated and maintained by means of computer technology. Digital records would be "born digital" (created using computer technology) or would have been converted into digital form from their original format, for example scans of paper documents.

According to Mnjama (2005), many national archives in the ESARBICA region were faced with challenges of managing records arising out of the adoption of ICTs by their governments. A workshop on e-government readiness in the southern Africa region, held in April 2004 in Gaborone, Botswana, revealed that while many governments had already embarked on e-government, the underlying issues relating to e-records readiness had not been addressed and many governments were in danger of losing valuable data and information. Ngulube and Tafor (2006:63) discovered that only two out of 12 archival institutions surveyed in the ESARBICA region covered electronic records when conducting records surveys and inspections. This implied that national archival institutions in the ESARBICA region were not efficiently managing records created by government, irrespective of format.

With the shift from paper to digital information, e-records will become the basis for government services (Wamukoya and Mutula 2005:8). To assist archival institutions manage electronic records, the ICA (2005c) produced electronic records management guidelines, which cover the following areas:

- How to influence electronic records management practices from a strategic perspective;

- How to integrate recordkeeping functions into new or already existing systems;
- Options and important requirements for the preservation of electronic records;
- How to provide access to electronic records over the short and long term.

The findings of the present study were that 107 (68.2%) respondents did not have computers in the registry. One hundred and forty four (91.7%) indicated that they did not use computers to create records, while 13 (8.3%) respondents said they did. These findings show that many government ministries were not maximizing the benefits associated with the use of computers in records management. This would negatively affect public service delivery. Within the context of the present study, the researcher established that, despite the fact that registries had not integrated computers in records management functions, most ministries had their personnel payroll system computerised. This finding concurs with the view expressed by Kimberly, Kutzner and Wamukoya (2001) that in Sub-Saharan Africa financial functions were the first to be computerized. Examples were integrated financial management systems, integrated personnel and payroll systems, debt management systems and systems to collect revenue from customs and excise.

In managing electronic records, guidelines relating to their identification, storage, appraisal and disposition are essential. All 13 (8.3%) respondents who revealed that they used computers to create records complained that they neither had guidelines for the identification of electronic records nor standard procedures for labelling storage devices such as diskettes. This finding is in line with the views expressed by the Office of the President, Directorate of Personnel Management (2003c). It noted that, even in those ministries where electronic records were being created, there were no guidelines on how to manage them.

Millar (2004), in a study conducted on behalf of UNESCO and the ICA, recommended for consideration the need for UNESCO to support the acquisition and implementation of record keeping standards around the world and the creation of interpretive tools to assist records and archives professionals build capacity for electronic records. UNESCO should support the development and continued maintenance of concrete, practical and accessible guidelines for the management of electronic records, based on existing theoretical and applied research in the field and on existing and new standards in their institutions.

In the present study, 13 (8.3%) respondents revealed that they did not appraise electronic records and did not have guidelines for their appraisal. The study established that archives staff had not undertaken a survey to determine the volume of electronic records generated in the public service and did not provide advice to registry staff on how to manage electronic records in the public sector. Electronic records management is a key challenge faced by archival institutions, as reflected in the ICA strategic planning survey of July-August 2003, in which respondents were asked to identify their three highest priorities for ICA's programmes from 2004-2006 (Millar 2004). She stressed that the highest priority, identified by respondents by a significant margin, was the need to manage electronic records and deal effectively with archival automation. Other priorities identified in the survey were developing and supporting the profession and supporting the preservation and protection of archives.

KNADS would be expected to be involved in the management of electronic records as a result of the on-going government e-governance initiatives, which would increasingly make government ministries and departments generate electronic records in the Kenyan public service. It is feared that the involvement of KNADS in advising record creators on how to manage electronic records was likely to be hampered by lack of technical know-how. The institution should be empowered, through deliberate actions by the government, to train staff in IT. The lack of technical know-how by archives

personnel on issues relating to management of electronic records concurred with the assertion of Wamukoya and Mutula (2005:8) that many countries in the ESARBICA region faced difficulties in managing electronic records. The authors called for solutions to be identified and shared.

The Kenya government perceives the use of computers in government ministries as one way of enhancing public service delivery (The Kenya National Development Plan 2002-2008:114). It realises that ICTs would enhance the performance of the public service by the creation of e-governance. The move towards e-governance promised greater opportunities for increased transparency and accountability of government services and would, in the long term, give people a greater role in government. However, in using computers as tools for enhancing e-government, there were challenges which needed to be overcome (Mnjama and Wamukoya (2004). Millar (2004) reported that, in September 2002, a three-week working session was held in Johannesburg, South Africa. The meeting was part of a five-year project, initiated by the World Bank, in partnership with the International Records Management Trust, to address Evidence-Based Governance in the Electronic Age. The Johannesburg meeting, according to Millar (2004), discussed and focused on the significance of changing requirements for recordkeeping in the electronic age, and particularly on the issues of good governance, electronic government, transparency and accountability, and access to information and human rights.

The need for adopting the use of computers in managing records is underscored by the Office of the President, Directorate of Personnel Management (2003c). A task force appointed to improve the performance of registries in government ministries and departments was to explore the IT market and identify software for application in the management of records in government ministries/departments. Integrated software to manage both paper and electronic records and perform records management tasks, as opposed to document management software, would be appropriate.

The present researcher established that the KNADS is taking measures to capacitate itself to advise record creators on how to manage electronic records. An interview conducted with Richard Wato (2006), KNADS IT Officer, revealed that he had been seconded to the University of Glasgow, from 1 October 2005 to 3 January 2006, under the Commonwealth Professional Fellowship Programme. The Fellowship Programme gave him the opportunity to visit institutions which had established electronic recordkeeping systems in the UK and, upon return, he would be required to develop a policy document and guidelines for managing electronic records in the Kenyan public service. The policy would be based on models of excellence, as observed at The National Archives (TNA), formerly, the Public Record Office.

While in the UK, Wato (2006) visited the following institutions: Department of Trade and Industry, the first institution in the UK to install an electronic recordkeeping system; Department of International Development (DFID), International Records Management Trust (IRMT), to update himself with their electronic records management initiatives, and TNA. The researcher was informed by Wato (2006) that the National Archives was archiving websites of ministries and departments, using software it had developed called "WebCrawler", used to capture web content. The software is scheduled on a weekly or monthly basis and receives a copy of all websites contents and archives them. One key outcome of Wato's visit to the UK is the dissemination of information on electronic recordkeeping to public agencies, through seminars and workshops.

To empower the KNADS to advise record-creating agencies on how to manage electronic records, the Office of the Vice-President and Ministry of Home Affairs Strategic Plan (2004-2008:70-72) stated that the KNADS was addressing the question of staff strength at the top layers and lower levels of the department. The proposed changes had been made on the basis of the strategic plans and core functions analysis. The top cadre posts to be introduced were: senior archivist (electronic archives), assistant director (electronic archives) and deputy director (electronic archives). The KNADS

proposed to address some of these challenges, as recorded in the Office of the Vice-President and Ministry for Home Affairs Strategic Plan (2004-2008: 74). One of the department's strategic perspectives related to enhancing training and capacity building. This would be achieved by raising computer literacy for all staff and formal training of graduates and non-graduates in the department.

The non-involvement of the KNADS in managing electronic records in the Kenyan public service was contrary to what was happening in other countries such as South Africa, Australia, USA and the UK, where archival institutions were not only involved in managing electronic records with public creating agencies, but had also developed electronic records management guidelines.

In the USA, NARA (2004) stated that it had an e-government electronic records management initiative. The electronic records management initiative would provide the tools that agencies needed to manage their records in electronic form and enable them transfer electronic records to NARA. In the United Kingdom, the National Archives (2004), formerly the Public Record Office, provided advice and guidance to records managers across government, covering the entire life-cycle of public records, in whatever format.

In South Africa, the National Archives and Records Service (2005) endorsed the US DOD 5015.2 Design Criteria Standard for Electronic Records Management Applications and the UK Public Records Offices Functional Requirements for Electronic Records Management Systems. Government bodies were required to maintain integrated document and records management systems that provided, at least, the following records management functionality, namely: managing a corporate file plan according to which records are filed, managing e-mail as records and managing web-sites as records. Other requirements were identifying records that were due for disposal and managing the disposal process, assessing the contextual and structural data within a document and managing records version control. In

Australia, the National Archives (2004) produced digital recordkeeping guidelines, which provide comprehensive help to Australian government agencies in creating, managing and preserving their records.

Previous research (Section 3.4.2.1 of Chapter Three) showed that archival institutions in Africa faced challenges in managing electronic records generated in the public sector. This research included that by Abbot (1999), Mutiti (2001), Sejane (2004), Ngulube (2004b) and Wato (2005).

6.5 Professional Knowledge and Skills of Registry Staff Responsible for Managing Records

Effective management of records was dependent upon registry staff receiving education and training in records management. According to Yusof and Chell (1998:25), it was generally accepted that education played an important role in updating knowledge and skill and were an essential element in the life-long development of skill and expertise. Pederson (2005:69) observed that recordkeeping practice was increasingly based upon an internationally developed and understood corpus of knowledge deemed necessary to manage recorded information effectively. This evolving knowledge reflected rigorous research and testing and comprised the general concepts, principles, attitudes, skills, analytical tools and processes that recordkeeping professionals applied to solve problems and manage regimes appropriate to their employer's needs and resources.

There was a difference between education and training, a difference which is important when various levels of professional activity are dealt with, and both were important (Cook 2006). Training covers instruction in the actual processes which are carried out in archives service and seeks to ensure that these processes are efficient, aptly designed and effective for their purpose. Education was more fundamental and wide-ranging, for example, archivists drawing on their own resources of experience, perception and general culture.

Although education and training was vital in empowering registry staff to carry out their records management responsibilities efficiently, lack of training opportunities for records staff in developing countries is underscored by various recordkeeping educators (Thurston 1996c; Millar 2004; Mnjama 2005; Wamukoya and Mutula 2005).

Inadequate training in records management placed archivists throughout many parts of Africa in a difficult, if not impossible, situation. Archival training had to undergo a radical transition if it were to serve the needs of African nations and if the profession was to make a useful contribution to nation-building (Thurston 1996c:49). Millar (2004) revealed that the lack of adequate training of, and human resource development for, records personnel was one of the key themes that emerged out of discussions held between January and March 2003, involving 773 participants from 38 participating countries, including 54 records professionals who acted as key facilitators and contributors for the World Bank sponsored Evidence-Based Governance Project. Among the recommendations Millar made to UNESCO and ICA was the need for the two institutions to:

support the development and delivery of relevant, practical, accessible, and well-focused education and training programmes for developing countries...and support the strengthening of educational opportunities relevant to regional and local realities.

In a review of the archival landscape in eastern and southern Africa, Mnjama (2005) pointed out that inadequate training of records and archives personnel was a challenge faced in managing records and archives in the region. Wamukoya and Mutula (2005) also identified lack of skills and competencies as one of the problems and challenges that archival institutions faced in the ESARBICA region with regard to capacity-building requirements for e-records management. The present study findings showed that 31 (19.7%) registry personnel had diploma qualifications in archives and records management

while 78 (49.7%) had no training in archives and records management (see Table 44).

The finding concurred with data obtained from senior ministerial officers, who decried lack of training opportunities for registry personnel and with the views expressed by the Government of Kenya regarding the lack of training opportunities for registry personnel (Office of President, Directorate of Personnel Management 2003c). It identified inadequate training of registry staff as a shortcoming noticed in the management of records, by pointing out that: "registries are more or less manned by untrained personnel... personnel training on the job has acquired unprofessional techniques".

The present study established that 95 (60.5%) respondents recorded that their ministries ran courses to update their knowledge and skills in records management. Seventy two (45.9%) answered that they had attended a records management course run by their ministries, compared to 85 (54.2%) who had not. The study found that most registry staff were recruited as clerical officers and, to earn promotion, they had to undertake proficiency examinations administered by the Public Service Commission. Their examinations included one on records management.

KNADS, in conjunction with the ministries, had organized records management workshops for registry staff, some of which had been conducted at the KNADS headquarters. Through such workshops, registry staff were able to gain knowledge and skills in records management. While conducting field surveys and appraisal visits, archives personnel had informal/formal training sessions with registry staff. These provided them with opportunities to acquire knowledge and skills on how to manage records. Perhaps this explains why 118 (75.2%) of the registry personnel revealed that they had received education and training in archives and records management.

The training of archivists and records managers has undergone considerable change in the past two decades. With the introduction of computers in the

workplace, individuals were forced to create, store and retrieve records without the assistance of records managers (Mnjama 2002:140). Discussing the training in archives and records management within the context of programmes offered at the University of Botswana, he pointed out that it was important to answer the question relating to the kind of skills, competencies and attitudes the records manager of tomorrow (including today) was expected to possess. Citing Bennet (1999), he stressed that surveys conducted elsewhere in the world concluded that archivists and records managers required a greater understanding in the following areas: information technology in a rapidly changing world, knowledge of functional areas of business organization, a strong view of organizational behaviour, excellent communication skills, fundamental concepts of information management and a mastery of computer applications. Pederson (2005:69, 72) stated that a recordkeeping practitioner effectively combined recordkeeping knowledge with contextual knowledge to achieve professional competence. There was a need for experienced recordkeeping communities to influence those with the power, will and capacity to achieve recordkeeping effectiveness and provide professionals with the right mix of attitudes, knowledge and skills to take up the challenge of their work.

Training should match the needs of archives staff and be aimed at improving their performance at individual, sectional and departmental levels and address quality of service delivery, speed and overall productivity and efficiency (Maranga 2002:11). When staff skills and competence were developed through training, job satisfaction could be enhanced. According to ISO 15489-1 (2001:23), a training programme should ensure that the functions and benefits of managing records were widely understood in an organization. ISO explained policies and placed procedures and processes in a context that gave staff an appreciation of why they were required.

There is need for collaborative effort between KNADS, the Directorate of Personnel Management and government ministries in designing training programmes which would sensitize registry staff, action officers, secretarial

staff and senior officers to the importance of managing records to enhance service delivery.

Training needs assessment was vital if registry staff were to acquire knowledge and skills on a continuing basis. The present study established that registry staff had various training needs. The most cited training need was computer applications in records management, accounting for 144 (91.7%) of the respondents (see Table 35). Table 36 shows that the most cited method useful in meeting the training needs of registry staff was seminars and workshops 141 (89.8%), while the next most cited method was training in records/archives by tertiary institutions 123 (78.3%).

Registry staff named seminars and workshops as being the most useful in meeting their training needs. These seminars and workshops would provide registry staff with the chance of updating their knowledge and skills and would be avenues for continuing education. As opined by Ocholla (1995:20), once formal professional training was in place, continuing education activities became an inevitable supplement, to enable trained staff to update their knowledge and skills.

KNADS should consider continuing education as one of the avenues of updating the knowledge and skills of archives personnel. Ngulube and Tafor (2006:64) observed that archival institutions in the ESARBICA region considered the issue of continuing staff development as one of immense importance, as it directly impacted on the performance of employees. Ocholla (1995: 20-21) pointed out that continuing education was normally offered by means of on-the-job training, in-service training (on specific subjects, topics and themes), induction courses, visits to relevant work stations of colleagues and access to consultancy services from the experts in the profession. Others were short courses, enhancement courses for further qualifications, participation in research, informal communication among colleagues, discussions and face-to-face contacts, telephone conversations and active participation in the activities of a professional society.

Other methods of training records and archives staff which would be considered by government ministries and the KNADS, as mentioned by ISO 15489-1 (2001:24), were incorporation in the organization's employee orientation programmes and documentation, classroom training, on-the-job training and coaching, briefing sessions and seminars, leaflets and booklets, computer-based presentations, help text provided with a computer-based system and training courses provided by educational institutions or professional organizations.

An analysis of the proposed training methods by ISO 15489-1 (2001) reveals that difficulties would be experienced in applying some of the methods in training registry staff, in view of the existing state of information and communication technology in Kenya. In the absence of computers in most government ministries, it would be impossible to provide training through computer-based text applications and help text provided within a computer-based system. The use of on-the-job training would presuppose the existence of a trained records management cadre, for example registry supervisors, but this is not the case. Briefing sessions and seminars would be appropriate, including the use of training courses provided by educational institutions, as various institutions in Kenya offer records and archives management education and training at certificate, diploma or degree level (Rosenberg 1994; Kemoni 1999:1; Mnjama 2005). These institutions include: The Kenya Polytechnic (certificate and diploma), The Kenya School of Professional Studies (certificate, diploma), Sigalagala Technical Institute (certificate and diploma), The Jomo Kenyatta University of Agriculture and Technology (diploma), The University of Nairobi (diploma) and Moi University (degree).

Training of registry personnel who are currently undertaking a diploma qualification in archives and records management would be accommodated at degree level at Moi University. The School of Information Sciences at Moi University offers a four-year Bachelor of Science in Information Sciences degree programme under the University's privately sponsored students

programme. Students who have undertaken diploma studies in archives and records management, or any information science related area, and attained a distinction, can be admitted into the second year of study, while those who attained pass qualification are admissible into the first year of study.

Although Mnjama (2005) concluded that Kenya was on the right track towards managing its archival heritage, and particularly the training of archivists and records managers, evidence on the ground suggested that archival education and training faced various challenges (Kimberly, Kutzner and Wamukoya 2001; Wamukoya and Kemoni 2001). Although the Department of Archives and Records Management at Moi University strove to maintain reasonably high standards in teaching and research, there were challenges which undermined these goals and aspirations. Examples were a shortage of manpower with appropriate academic qualifications, inadequate reading materials, journal literature and limited budgets. Other challenges included poor electronic and communication infrastructure, lack of Internet connectivity and poor salaries, which were a disincentive to the recruitment and retention of qualified staff.

Although Mnjama's study was conducted in the year 2005, evidence on the ground suggested that the problems identified in the studies by Barata, Kutzner and Wamukoya (2001) and Wamukoya and Kemoni (2001), and which affected the training of records and archives personnel in Kenya, still existed.

The training of registry personnel can be facilitated by KNADS. According to Kuchio (2002:16), KNADS had a key role to play in providing training to all sectors within the government, as an essential component of the national policy on records management in the public sector. Training should be provided not only to KNADS staff, but to registry staff as well, since they had a duty to effectively manage non-current records. This involved providing secure storage for the records, adopting affective methods of records control

and providing systems that allow the efficient retrieval and disposal of non-current records.

The effectiveness and efficiency of the records training programme would be enhanced if it was regularly reviewed and the report provided to management, and if evaluation and review of training programmes were followed by the necessary adjustments to the programme, and updated refresher courses provided to those already trained (ISO 15489-1 2001:24).

In view of the advice offered by ISO 15489-1 (2001), government ministries and KNADS should evaluate the records management training offered to registry staff and senior ministerial officers. Discussing training evaluation, Ocholla (1998) stated that, in human resource development and training, there was a need to evaluate the knowledge, skills and attitudes required that would be imparted to trainees, and to consider the ability of the trainee to select, analyse, synthesise, translate, store and communicate information. Rae (1999:15, 18-20) pointed out that the training circle followed a similar pattern, which started with identification or a suspicion of a training or development need and completed with the final act of evaluation. Evaluation was the long-term confirmation that the learning achieved had been implemented successfully and was being maintained, that is, training objectives met, clients objects or needs met, learners' objectives met, performance changed or improved and learning transferred to work.

Training of registry staff would lead to their acquiring the necessary knowledge, skills and attitudes which are prerequisites for effective management of records. This would, in turn, lead to improved public service delivery and attainment of MDGs. The need for registry staff to acquire relevant skills and knowledge was underscored by Musembi (2004:12). He opined that registry staff ought to take measures to substantially increase their knowledge in records management, so as to be able to provide the necessary guidance to the staff working under them. He observed that "a registry

supervisor who is not adequately knowledgeable in all aspects of records management cannot provide the necessary leadership”.

Government ministries and departments would realize certain benefits if registry staff were trained. For example, Whetherly (1994) stated that training staff ensured that the objectives of an organization were more likely to be achieved if staff were trained. Future service development would be made possible by ensuring that staff had the relevant knowledge, skills and attitudes required to implement changes. Staff morale and motivation would be sustained and an organization would be better equipped to facilitate change. Records management was only as effective as the personnel who run it and contributed to its effectiveness (Akotia 2005:17). It was necessary to ensure that the right people were in the right place, in the right numbers and with the right competencies. Therefore the three areas of concern which should be addressed with regard to those who managed records were an adequate career structure, defined competencies for different roles and sufficient and appropriate training.

6.6 Summary

Chapter Six has attempted to interpret research findings in the light of existing records management theories and literature. In interpreting research findings, an attempt was made to show how the current research findings concur or differ from previous records management research, of a similar nature. An attempt was made to provide meaning to research findings, by offering necessary explanations, by taking into account current KNADS records management initiatives, challenges faced and the circulars issued by the Kenya government on records management.

Chapter Six has shown that certain shortcomings exist in the management of public records, as demonstrated by the findings of the study and the various records management circulars issued by the Office of the President and the Directorate of Personnel Management. This situation would have adverse consequences for public service delivery and the attainment of the MDGs.

The Office of the President and Directorate of Personnel Management (2003c) lamented that records management in the public sector was in a terrible state. When the information required in decision-making was, more often than not, unavailable, it resulted in delays in decision-making or poor decision-making (not to mention lack of accountability and transparency and opportunity for corruption). This negatively affected service delivery. Inadequate records and recordkeeping would result in failure by individuals or systems to make records in the first place, failure to make records that adequately met accountability and other organizational requirements, failure to capture records into recordkeeping systems, so that they are vulnerable to arbitrary destruction or cannot be found when required, failure to maintain records for the period of time necessary to meet specific accountability requirements and failure to assign responsibility for different aspects of recordkeeping at appropriate levels in the organization, so that nobody takes responsibility (Kansas State Historical Society 2002).

Poor records management practices would have adverse consequences for public service delivery. For example, officials would be forced to take decisions on an *ad hoc* basis, without the benefit of precedence or historical memory. Resources would be wasted, as unwarranted records continue to be stored. Fraud cannot be proven and meaningful reporting and audits cannot be carried out, government actions are not transparent and citizens cannot claim or protect their rights, nor can they be required to fulfil their duties and obligations, and citizens cannot make an informed contribution to the governance process (Roper and Williams 1999:95).

The service provided by records management is vital to any enterprise and to every information-using employee in it. Its primary function is to facilitate the free flow of information, to ensure that information is available rapidly where and when it is needed. Carrying out this function needs an efficient, effective records management programme (De Wet and Du Toit 2000:75). Akotia (2003:3) pointed out that the effective management of public sector financial records was a crucial factor in providing capacity for public sector efficiency

and governance. Wamukoya and Mutula (2005) observed that chronic weaknesses in government recordkeeping would adversely affect private sector investment and, more specifically, poor recordkeeping would contribute to a lowering of the general standard of service offered to business.

Chapter Seven: Summary of Findings of the Study, Conclusions and Recommendations

7.0 Introduction

Chapter Seven presents a summary of the findings of the study, based on the research questions (See Chapter One, Section 1.7). The chapter provides conclusions derived from the data presented in Chapter Five. Finally, recommendations are provided to address the shortcomings identified in the management of records in the 18 ministries surveyed. The study's recommendations address the study objectives and research questions.

7.1 Research Question One: How Efficient and Effective are the Existing Strategies for Managing Records During Their Continuum?

The study established that all ministries had mission statements which were spelt out in their respective strategic plans. However, registries did not have mission statements. Records management was considered by registry staff and most senior ministerial officers as being essential in the attainment of the ministry's mission, vision and core values.

Most registries did not have a records management policy to cover all the activities falling within the records management function. This was confirmed by senior ministerial officers. It was established that most registries did not have records management manuals and did not conduct an audit of their records management functions. Most registries did not have records management committees.

Most registry personnel indicated that registries were not allocated their own specific budgets and they experienced problems due to the current state of registry funding. Senior ministerial officers confirmed that registries were funded from the central administration vote, or personnel department vote, or from general funds and maintenance votes.

The findings of the study indicated that most registry personnel did not have a policy for creating paper records and lacked a list of activities that constituted the basis for records creation. Data obtained from the observation checklist revealed that ministries created vast records, depending on their functions. It was revealed that registry personnel did not know the exact volume of active, semi-active and non-active files in the central, personnel and secret registries, respectively.

Although most registry personnel had classification schemes, the classification schemes required improvement (see Table 11). A combination of alpha-numeric and numeric filing systems were used in the registries. Central registries mostly used alpha-numeric filing systems, while personnel registries used numeric filing systems. Although 70 (44.6%) of the respondents claimed that they used a controlled vocabulary, it was observed that none of the registries used one.

Action officers used telephone calls, personal visits and registry personnel to access files. The most commonly used finding aids in the registries were the subject index and subject register. All registry personnel indicated that they tracked the use of records and the file movement register was the most widely used tool to track records by registry staff.

It was established that all registry personnel faced problems in providing access to records. Most registry personnel did not conduct performance measurement of the registry services provided to clients. However, all registry personnel indicated that they had a plan for improving the management of current records and the covered activities such as space planning, filing and retrieval, file tracking and preservation, computerization of registry services, creation of departmental record rooms to cater for semi-current and non-current records and training registry personnel.

The findings indicated that all registry personnel did not have forms, directives and reports management programmes. It was established that all registries

had a mail management programme, which constituted activities such as receiving, sorting, opening, classifying, filing and delivery and tracking mail. All registry personnel had procedures for circulating mail to action officers and also controlled the movement of mail. The file movement register was the tool widely used to control movement of files among action officers.

Security classification of mail was done in the confidential registries and also by action officers or their secretaries. It was established that security grading was done to protect confidential information, loss of information and protect the interest of ministries. All registry personnel indicated that they had procedures for managing outgoing mail and details of outgoing mail were entered in the outgoing mail register.

Registry personnel used a variety of equipment for the storage of records. Steel cabinets, metal shelves, file racks and wooden shelves were mainly used for the storage of current records. Most registry personnel indicated that semi-current records were stored in the shelves with current records, while the majority of the registry staff indicated that non-current records were stored in the shelves together with current and semi-current records. It was established that most ministries did not have temporary rooms for the storage of semi-current and non-current records and in some ministries semi-current and non-current records were kept on the floor in registry working areas.

The findings indicated that in eight (67%) out of the 12 ministries where the observation checklist was applied, registry layout was poor and not secured as the public freely found their way into the records storage areas. Four (33%) ministries had a well thought-out registry layout in terms of records storage space and offices. These four had service counters which were used to serve the public and such counters were well-secured.

A significant number of registry personnel stated that the equipment used for records storage did not sufficiently cater for records storage. All 157 (100%) registry personnel indicated that they did not monitor temperature and relative

humidity and also that they did not control temperature and relative humidity. Most registry personnel did not control light in the record storage area. It was established that most registry personnel 81 (51.5%) had not experienced insect infestations in the record storage area, while 76 (48%) had experienced such infestations.

One hundred (63.7%) registry personnel indicated that they controlled insect infestations in the record storage area. Ninety-one (52.2%) registry personnel indicated that they did not control fungi in the record storage area. The researcher observed that file wear and tear was prevalent in 11 (91.6%) out of 12 ministries. Seventy-three (46.5%) of the respondents conducted a records inventory and the most cited method of conducting a records inventory was physical checking. It was established that most registry personnel did not use a records inventory checklist when conducting a records inventory.

One hundred and thirty two (84.1%) respondents indicated that records appraisal was conducted in their registries by archives personnel from the KNADS. The most cited records appraisal criteria by archives personnel was records value, such as administrative, legal, financial and informational. It was established that, although records retention schedules were used to appraise and dispose of records, only 64 (40.8%) respondents monitored and ensured the implementation of retention schedules. Findings from the observation checklist contradicted some of the results in the questionnaire. The researcher observed the presence of retention schedules in only 3 (25%) of the 12 ministries where the observation checklist was applied.

Although most registry personnel 112 (71.3%) claimed that they had a records disposition programme, this was contrary to the data obtained from the observation checklist. It indicated that in seven (58.3%) out of the 12 ministries there were overdue records earmarked for destruction and the seven ministries did not have record retention schedules. The nature of the records disposition programme cited by most registry staff consisted of physical destruction of valueless records and transfer to archives. The most

cited instrument by registry staff which guided records disposition was use of retention schedules.

It was established that most registry personnel did not have a disaster management programme and did not have a criterion for evaluating potential hazards. Most registry personnel 127 (80.9%) did not have a fire detection system in the record storage area. Seventy (44.6%) respondents reported the presence of fire suppression systems in the records storage area and the most common fire suppression systems available were gas and water based. It was established that 141 (89.8%) respondents had no training in fire-fighting techniques. Most registry staff reported the absence of disaster management committees and disaster management plans in their ministries

7.1.2 Research Question Two: What Role Does the KNADS Play in Advising Registries to Manage Records?

All 157 (100) registry personnel were aware of the existence of the KNADS and reported that they had received professional records management advice from the KNADS. The most cited means of contacting the KNADS was correspondence and use of the telephone. Most registry personnel indicated that they did not face any problems while seeking professional advice from the KNADS. All senior ministerial officers indicated that they collaborated with the KNADS.

All six archives personnel indicated that they provided records management advice to ministries (see Table 33). The nature of advice provided included review of records classification systems, developing file indexes, records surveys and appraisal, records disposal, developing records management policy and training registry staff. The findings indicated that the records management advice provided to registry personnel was not frequent and depended on KNADS archives staff work programmes or according to need in public offices *vis-à-vis* resources.

Most archives personnel reported that registry personnel did not implement the advice provided concerning the management of their records because of lack of support from senior ministerial officers, low priority accorded to records management in the ministries, constant transfers of registry staff and non-enforcement of the provisions of the Public Archives Act Cap 19.

7.1.3 Research Question Three: To What Extent do Existing Records and Archives legislation Facilitate the Management of Public Sector Records in Kenya?

Archives personnel at the Nairobi Records Centre and the KNADS headquarters indicated that Cap 19 in its current form spelt out the responsibilities of the Director of KNADS, as indicated in Section 4(1) a-b of the Act. Cap 19 did not give record-creating agencies responsibilities to manage their own records. Most archives personnel noted that Cap 19 did not stress the continuity of records care during their entire life-cycle and the Act did not establish partnership between records creating agencies and the Director of KNADS. However, most archives personnel reported that Cap 19 covered both the management of paper and non-paper based records.

Most archives staff indicated that Cap 19 did not give the Director of KNADS authority to conduct research with respect to the improvement of recordkeeping in the public service. The Act did not give authority to the Director of KNDAS to collect and disseminate information on technological developments relating to record management in public agencies. Archives personnel reported that Cap 19 had undergone revision since its enactment and new clauses were introduced when the Act was revised in 1991.

All archives personnel reported that Cap 19 had strengths, as well as weaknesses, in relation to the management of public sector records. They reported that there were clauses they wanted introduced in the Act to enhance the management of public records, such as Director's powers in respect to private records/archives and the role of public officers in managing

their records. Archive personnel reported that the new clauses would enhance the management of public sector records in Kenya.

Archives staff reported that there were opportunities as well as threats provided by Cap 19 in relation to the management of public sector records in Kenya. Some of the opportunities include the clamour for transparency and accountability in the public service, e-government strategy and on-going public sector reform programmes (see Table 36). The threats lent by Cap 19 in relation to the management of public sector records included inadequate professional staff, staff lacking adequate skills in IT, lack of co-operation from senior government officers and insufficient marketing of records management in the public service.

Most archives employees reported that Cap 19 had facilitated the management of public sector records. For example, survey and appraisal visits had been facilitated in government ministries, some ministries had been sensitized on the need to manage records properly and valueless records had been transferred to KNADS, while valueless ones had been destroyed.

7.1.4 Research Question Four: What is the Extent of Computer Applications in Records Management and the Resultant Challenges?

Most registry personnel did not have computers in the registry. Furthermore, 144 (91.7%) reported that they did not use computers to create records, while 13 (8.3%) responded in the affirmative. The types of electronic records created by those 13 (8.3%) who indicated that they used computers to create electronic records were e-mails, databases, spreadsheets and word-processed documents.

All 13 registry staff-members did not have a list of activities which constituted the basis for the creation and identification of electronic records and the common medium used for the storage of electronic records was PC hard drives and diskettes. All 13 respondents did not have standard procedures for

labelling electronic storage devices. All 13 did not appraise electronic records and did not have procedures for appraising electronic records. The most common method for the disposal of electronic records was deleting. All 13 respondents noted that computers would enhance records storage, retrieval, access, preservation and security. Furthermore, computers would enhance communication and report generation. Registry and archives personnel indicated that they faced challenges relating to the management of electronic records (see Table 42 and Table 43).

7.1.5 Research Question Five: What are the Professional Knowledge and Skills of Staff Responsible for Managing Records?

Thirty one (19.7%) respondents had a diploma qualification in records management, while 13 (8.3%) had a certificate qualification (see Table 44). Furthermore, 35 (22.3%) respondents were undertaking diploma programmes in records and archives management at the Kenya Polytechnic. It was established that 78 (49.7%) respondents had not received education and training in archives and records management.

Ninety five (60.5%) indicated that they had attended courses run by their ministries to update their knowledge and skills in records management. The study established that registry staff had various training needs in records management (see Table 45) and the most cited training need was computer applications in records management. The most cited method useful in meeting the training needs of registry staff was seminars and workshops (see Table 46).

Most senior ministerial officers indicated that they had a training needs assessment programme for registry staff and ran courses to update the knowledge and skills of registry personnel in records management. They indicated that, although they had a training policy for registry staff, they had fewer training opportunities, compared to those available to technical officers in the ministries.

7.1.6 Research Question Six: What Factors Contribute to the Current State of Recordkeeping in Government Ministries?

According to registry personnel, some of the factors contributing to the current state of recordkeeping in government ministries included:

- Registries were neglected units in the ministries:
- Lack of support from senior officers:
- Absence of records management committees:
- Registry staff had few opportunities for training;
- Records management was a neglected area in the ministries; and
- Registries were viewed as dumping grounds for unproductive and indisciplined officers.

Senior ministerial officers identified the factors contributing to the current state of recordkeeping in government ministries (see Section 5.6.2). These included lack of trained registry staff, absence of registry work plans and recordkeeping manuals and the frequent merging and separation of government ministries during cabinet reshuffles, which led to records being scattered over different ministries. Senior ministerial officers indicated that they would take steps to address the challenges identified in managing records (see Table 48). These include training registry personnel, marketing records management, enhancing contacts with KNADS, adopting computerization and enhancing senior management support.

Archives respondents opined that the factors contributing to the current state of recordkeeping in the public service emanates from the weaknesses of the current Public Archives and Documentation Service Act Cap 19 (see Section 5.4.1. to 5.4.6.). Apart from the weaknesses of Cap 19, other factors which had contributed to the current state of recordkeeping included a negative attitude towards registries, as they were perceived to be dumping grounds for inefficient staff. Government policy of freezing vacant posts in the public

service had contributed to few staff being available in KNADS to conduct surveys and appraisal visits in government ministries.

All 157 (100%) registry personnel considered records management as being key to the delivery of public services. Most registry personnel indicated that existing recordkeeping practices, to some extent, undermined public service delivery (see Table 49). For example, lack of regular appraisal and disposal of records led to file accumulation, which hampered retrieval efficiency, hence compromising decision-making.

All senior ministerial officers indicated that current recordkeeping practices affected service delivery in the ministries (see Table 50). For example, public service delivery was affected when records were not located easily, leading to delayed decision-making and allocation of resources in various sectors of national development. At times, decisions were made on an *ad hoc* basis without benefiting from facts and precedent when records could not be found. Inadequate recordkeeping practices would affect service delivery in various sectors of national development, for example in education, health, land and conflict resolution, managing crime, personnel management and financial management. Other sectors in which existing recordkeeping practices affected public service delivery were planning and national development, foreign policy, regional co-operation, maintenance of roads and public works, agriculture, tourism and wildlife, local government, water and irrigation development, energy, trade and industry, housing co-operative development, labour relations and justice and constitutional affairs.

Archives personnel felt that records management advice provided to registry staff enhanced public service delivery. For example, efficient file subject classification schemes led to quick and efficient records retrieval and prompt decision-making on the part of action officers.

7.1.7 Research Question Seven: How can the Identified Problems be Addressed?

Registry personnel, archives personnel and senior ministerial officers provided recommendations to address the problems related to the records management that were identified. Some of the recommendations by registry staff (see Section 5.8.1) included:

- Train registry personnel with no formal education and training in records management;
- Provide education and training in records management to supplies officers who were re-designated to records officers and are now in charge of registries;
- Sensitize action officers and secretarial staff to the importance of records management, as they handled and used records on a daily basis;
- Change the perception of the registry as a "dumping ground" for officers who were inefficient;
- Sensitize all officers in the ministries to the importance of information contained in the records, to enhance better handling and care of records;
- Establish records management committees;
- Computerize registry operations;
- Institute systematic records appraisal and disposal;
- Promote health and safety of registry staff through the provision of coats and masks; and
- Provide registries with fire-fighting equipment; and
- Provide training to registry personnel on fire-fighting techniques.

Senior ministerial officers made the following recommendations (see Section 5.8.2):

- Computerize registry operations to enhance the storage, access to and the security of records;
- Establish records management committees in the ministries;
- Develop a recordkeeping manual to be applied in all ministries;
- Sensitize senior officers in the ministries to the role of records management in meeting the vision and mission of ministries;

- Change existing mail management procedures;
- Develop a scheme of service for registry staff;
- Provide education and training to supplies officers re-designated to records officers and
- Market records management in the public service.

The recommendations by archives personnel (see Section 5.8.3) included:

- Government allocate KNADS more resources to facilitate the implementation of the provisions of Cap 19 in relation to records management in the public service;
- Deliberate efforts be made to sensitize public officers on the importance of records management;
- Establish a records management cadre in the ministries with a corresponding scheme of service;
- Revise existing records and archives legislation and define the role of record-creating agencies in managing their own records;
- Acquire IT skills to enable them to provide advice to record creating agencies on how to manage electronic records;
- Recruit and deploy staff in the registries based on records management qualifications and experience and
- Raise the profile of records management in the public service through marketing.

7.2 Conclusions

The purpose of a conclusion was to restate the findings of the study and to draw the implications of the findings for both the hypothesis and the research questions (Bouma and Atkinson 1995: 227). Researchers needed to integrate the final conclusion within a theoretical framework by asking the questions relating to whether the findings consolidated theory, questioned accepted principles, added new perspectives or answers to old questions, and constituted the "missing link" between two theories (Bless and Higson-Smith 1995: 147).

The conclusions of the study were drawn from the research findings and an attempt was made to relate the research findings to the assumptions of the study (see Chapter One Section 1.9). An attempt was made to link the conclusions drawn with the larger issue of existing recordkeeping practices in government ministries and their effect on public service delivery. The conclusions were drawn according to the order in which research objectives were stated in Chapter One Section 1.6.

In drawing conclusions, only the major findings that directly addressed the research questions were included. Finally, in drawing overall conclusions in relation to research objectives, an attempt was made to integrate such final conclusions within the current theoretical framework of the study (Bless and Higson-Smith 1995).

7.2.1 Conclusions About the Strategies Used for Managing Records During Their Continuum

The data presented in the preceding chapters show that most registries lacked mission statements, records management policies, records management committees and registry procedure manuals. The lack of these documents is likely to hamper effective records creation, access and use by action officers for effective decision-making and enhanced service delivery. It is therefore safe to conclude that the existing strategies used to manage records were not effective and consequently impact negatively on public service delivery and would further hamper attainment of MDGs. Public service delivery emphasises the provision of services to meet the country's national development agenda, including the attainment of MDGs in sectors such as health, education, agriculture, finance, trade and industry, environmental sustainability, gender equity and empowerment of women. Public service delivery and the attainment of MDGs depends on sound records management, whose components include enactment of registry mission statements, records management policies and the presence of registry procedure manuals.

It can be concluded that the lack of registry mission statements, records management policies and registry procedures manual constituted the "missing link" in the formulation of a good recordkeeping programme in government ministries and did not conform with the records continuum model which formed the theoretical foundation of the study. The records continuum model emphasised that records management actions in relation to records care recur in the life of a record. This was thus dependent on formulation of a registry mission statement, records management policies and registry procedures manuals. These documents would provide provisions for managing records throughout the continuum of activities that facilitate the management of records throughout their life-cycle.

The data provided evidence which supported the study assumption that the provision of accurate and complete information is key to performance of civil servants and good recordkeeping underpins the provision of efficient and effective public services by public officers (see also Table 49 and 50).

The findings of the study revealed that registry personnel and senior ministerial officers stated that registries were not allocated budgets. As a result, all 157 (100%) registry personnel indicated that they faced particular problems due to the current state of registry funding, for example inability to purchase appropriate storage equipment, sufficient supplies, educate and train staff and provide adequate registry services. It is safe to conclude that, due to the current state of registry funding, registry staff faced problems in providing registry services, that this would affect public service delivery and would further hamper attainment of the MDGs. This data supported the assumption of the study, namely, that good recordkeeping underpinned the provision of efficient and effective public services by public officers.

Data obtained from the observation checklist revealed that ministries created vast amounts of records (see Table 9). However, registry staff did not have the figure for the exact number of active, semi-active and non-active files. It can be concluded that registry staff were unable to plan for adequate storage

and management of current, semi-current and non-current records in the absence of data and this situation compromised public service delivery and would further hinder attainment of MDGs as inadequate storage hampered prompt access to information. Registry staff were not able to determine records due for appraisal and disposal in the absence of lack of data regarding their status and this hampered public service delivery. For example, the lack of appraisal and disposition constrained registry storage space and led to a mix-up of current and non-current records in the record storage area, thus hindering their prompt access and use.

One hundred and seven (68.2%) registry personnel did not have a list of activities that constituted the basis for records creation. In the absence of a list of activities that constituted the basis for records creation, registry staff may be unable to capture records which documented organizational activities at the records creation stage. This would affect public service delivery and attainment of MDGs, as government ministries relied on well-captured and documented information to conduct their business and which reflected the functions and diversity of activities carried out.

Although most respondents 106 (67.5%) claimed that they had written classification schemes, data obtained through the observation checklist revealed that the majority of classification schemes were handwritten and in a state of deterioration. The existing classification schemes did not facilitate the effective storage and retrieval of information in government registries. The current file classification systems affected public service delivery and would hamper attainment of the MDGs, as registry staff were not able to quickly access information when required by action officers. This was confirmed when the Government of Kenya issued various records management circulars which decried the state of file classification systems in government registries. For example, they were not updated and, in most cases, duplicated record functions. It can be concluded that the Government of Kenya recognized the current file classification systems as being inefficient and affected public service delivery. The current state of file classification systems did not enable

registry staff to have intellectual control of records, as articulated by the records continuum model and this further affected public service delivery, as records could not be linked or grouped together according to functions, activity or other criteria, thus hindering their prompt access and use.

Although 70 (44.6%) of the respondents claimed use of a controlled vocabulary, this was contrary to data obtained from the observation checklist, which indicated that none of the registries used a controlled vocabulary in preparing their indexes. In the absence of a controlled vocabulary, which would provide a list of authorized headings, it can be concluded that the list of key words used in the construction of indexes in most ministries was not standardized. It can further be concluded that the absence of a key word list affected public service delivery and attainment of MDGs, as it would be difficult to easily and promptly retrieve records when required by action officers. For example, in the absence of a keyword list, related records would be kept in more than one file, thus making it difficult for action officers to have a complete background of a case in which action was required, as the information would be scattered in different files. In the absence of a keyword list, existing indexes in most ministries had not been revised, and this affected public service delivery as the review of indexes assisted in assigning new codes, deleting obsolete files and merging files according to subject. This facilitates public service delivery as information would be accessed in a quick and prompt manner. From these findings, it is safe to conclude that existing file classification and indexing systems require improvement in order to enhance records storage, user permission and access, security, records disposition and identification of vital records.

Although all 157 (100%) respondents indicated that they tracked the use of records, data revealed that 127 (80.9%) of the respondents did not have procedures governing file tracking. Lack of procedures to track file use would lead to records being misplaced, kept by inappropriate officers, lost, hidden, deleted or altered and it would be difficult to ensure accountability and transparency in their use. It is therefore safe to conclude that existing file

tracking procedures compromised public service delivery and would further hamper attainment of MDGs, as it would be difficult to establish time limits for action required, including a record trail of transactions undertaken. The Office of the President and Directorate of Personnel Management (2003c) identified the lack of file tracking mechanisms in government ministries as one of the shortcomings noticed in the management of records. The Government of Kenya recognized lack of file tracking as one of the impediments in the management of records which affected public service delivery. Thus there was need to improve on existing file tracking procedures in government ministries.

The findings of the study indicated that most registry personnel did not establish the information needs and information seeking behaviour of their users. The problems cited by registry staff in providing access to records included users knowing little about registry operations and registry staff not conducting user studies. It can therefore be concluded that the lack of user studies affected public service delivery and would further hamper the attainment of the MDGs. Registry personnel would be unable to establish the level of satisfaction or dissatisfaction with the registry services provided to clients such as action officers and other users in the various sectors of national development such as health, education, finance, land, roads and public works, environment and natural resources, labour affairs and agriculture.

Registry personnel indicated that they faced problems in providing access to records, for example action officers retained files, registry personnel lacked training, files were bulky, torn and dusty and active and inactive files were mixed-up. Other problems included users knowing little about registry operations, lack of understanding of users' needs and poor registry layout and design (see Table 13). In view of this, it can be concluded that the problems experienced by registry staff negatively affected public service delivery and would hinder the attainment of the MDGs. For example, when action officers retained files, it would be difficult for the file to be used by other action officers

when needed and this may delay service delivery. When files were bulky, torn and dusty, it might hamper their usage as they became a health hazard to registry staff and action officers and would further lead to loss of file folios. Poor registry layout and design compromised public service delivery as unauthorized personnel had access to the record storage areas, raising possibilities of records being stolen, altered or hidden. The data clearly indicated that registry staff faced problems in providing records access and this development compromised public service delivery. The data provided evidence which supported the study assumption that provision of accurate and complete information was key to the performance of civil servants and good recordkeeping underpin the provision of efficient and effective public services by public officers.

The findings of the study indicated that 117 (70.7%) of the respondents did not conduct performance measurement of registry services provided to clients. Performance measurement of registry services would enable registry staff to ensure that records systems were effective and satisfied the information needs of various users. In the absence of performance measurement, it is safe to conclude that the current recordkeeping systems affected public service delivery and would further hamper attainment of MDGs as it would be difficult to establish the effectiveness of registry services provided to clients, including the changes that needed to be made, to ensure that registries were responsive to the needs of users. Lack of performance measurement compromised the role of registry staff as agents of accountability because reliable and accurate records were key to making officers accountable for their actions. This was possible if performance measurement of registry services was conducted.

The findings of the study revealed that the majority of the respondents did not have a forms management programme, which could assist in simplifying their distribution, ensure that instructions were clear and up-to-date and captured adequate information to ensure that a record was created whenever a transaction took place. In the absence of a forms management programme,

public service delivery may be affected, as registry personnel would not easily locate forms, and action officers and other users would be unable to use forms since they were not up-dated and instructions for their completion were not clear. Registry personnel did not appraise and dispose of forms that were obsolete. This affected public service delivery as their continued retention put pressure on available, limited storage space.

The findings indicated that most registries did not have directives management programmes. Directives are vital as they assist in guiding, instructing and informing staff. In the absence of a directives management programme, public service delivery was affected and would further hinder attainment of the MDGs. For example, action officers relied on directives, in the form of circulars, notices and other policy documents, to inform them about government policies, procedures, duties and responsibilities, and on-going initiatives and reforms directed to the implementation of government functions, projects or programmes in various sectors of the economy, such as in finance, health, education, trade and industry and agriculture. There were no procedures for the appraisal and disposition of directives in government ministries and this compromised public service delivery, as it put pressure on existing storage space, thus making the preservation of and access to directives difficult.

The findings further established that most registries did not have a reports management programme. Reports are vital records as they document the achievements, problems and future strategic direction of government ministries and departments. In the absence of a reports management programme in most ministries, it is safe to conclude that public service delivery was affected, as no systems and procedures existed for their exploitation and management during their continuum. Public service delivery may be affected, since no appraisal and disposal of reports took place, thus making it difficult to access them, and created unnecessary duplication and increased the costs associated with their storage.

All 157 (100%) registry personnel reported the presence of a mail management programme. Although the majority of the registry staff claimed that they had procedures for circulating mail to action officers, they were not documented and this was contrary to data obtained from interviews with senior ministerial officers and the observation checklist. Various records management circulars issued by the Office of the President and the Directorate of Personnel Management decried the poor state of mail management in government registries (Office of the President and Directorate of Personnel Management 1999a, 1999b, 2003a, 2003b, 2003c). Some of the problems identified in the management of mail included cases of missing and lost files, delays in circulating mail to action officers, misplacement of files and existence of temporary files. Other problems related to unauthorised access to records storage areas, mainly due to lack of service counters and lack of access rights.

In view of the above, it can be concluded that the existing mail management procedures may affect public service delivery and would further hamper the attainment of the MDGs. To enhance public service delivery, the current procedures for managing mail though facilitated access and use of mail by action officers, to some extent required improvement for enhanced records access and use.

Although most registries claimed to have procedures for managing mail, they required improvement. This would include enacting and implementing procedures documenting the use of mail among action officers, quick delivery of mail to action officers, sensitizing action officers about the dangers of retaining files upon completion of their use, revising existing classification and indexing systems to avoid creation of temporary files, filing mail relating to one subject in more than one file and provision of service counters to discourage unauthorized access to the record storage areas. These measures would facilitate effective use of records for decision-making by action officers, thus enhancing public service delivery and attainment of the MDGs.

Although data revealed that registry personnel used various storage equipment such as steel cabinets, metal shelves/racks and wooden shelves, for the storage of current, semi-current and non-current records, the equipment did not adequately cater for the storage of records. It was established that most ministries lacked temporary rooms for the storage of semi-current and non-current records. Temporary rooms were vital because government ministries did not regularly retire semi-current and non-current records to the KNADS and their use for the storage of semi-current and non-current records in the ministries was emphasized by the Office of the President, Directorate of Personnel Management (2003b). It criticised the storage of semi-current and non-current records in government ministries on the corridors and floors, as opposed to being kept in well-provided record rooms or record centres. Existing record storage programmes did not sufficiently enhance public service delivery due to the confusion of semi-current and non-current files with active records in the shelves. This compromised records access and retrieval, for example the speed of records retrieval was affected, some file folios were lost, wear and tear of files became prevalent, and files were exposed to biological, physical and chemical agents of deterioration.

Registry layout was poor and not secure, in most registries. This led to unauthorized access to record storage areas, thus compromising their security. The current registry layout and design in the majority of registries did not facilitate the proper storage and security of records. Existing record storage programmes require improvement to enhance public service delivery and lead to the attainment of MDGs. Some of the measures of improvement would include setting up temporary record rooms, as recommended by the Office of the President and Directorate of Personnel Management (2003b), liaising with the KNADS on a regular basis to ensure the prompt appraisal and disposal of semi-current and non-current records, including their transfer to the KNADS, and setting up service counters to serve members of the public, to restrict unauthorised access to the record storage areas.

The findings of the study revealed that most registry personnel did not monitor and control temperature, relative humidity and light in the record storage areas. Although 100 (63.7%) respondents indicated that they controlled pest infestations in the record storage area, 93 (59.32%) respondents indicated that they did not control fungi in the record storage area. The existing environment for records storage in majority registries is thus not conducive for records' longevity. It can further be concluded that the existing environment for records storage is likely to contribute to their deterioration, due to the effects of uncontrolled temperature, relative humidity, light and insect infestations. It is likely to hamper use of records by action officers for enhanced public service delivery.

Although most registry personnel claimed that records surveys and appraisal were conducted in the majority of ministries, the most cited records appraisal criterion was records value. The finding that records surveys and appraisal were conducted in the majority of ministries was contrary to data obtained from the observation checklist and interviews with archives personnel from Nairobi Records Centre and the KNADS headquarters, which indicated that appraisal was not conducted on a regular basis.

The lack of regular survey and appraisal visits by archives personnel may affect public service delivery and further hamper attainment of MDGs. For example, in the absence of regular appraisal and survey visits, it would be difficult to establish the volume of records which existed in government registries and how they were used and identify and resolve any recordkeeping problems, for example, the state of records deterioration, including possible pest infestations. It would be impossible to develop record retention schedules which form the basis for records appraisal and disposition actions without record survey visits. The KNADS had not effectively conducted record surveys and appraisal visits to government ministries. This was one of the factors contributing to the unsatisfactory state of recordkeeping in government ministries and further affected public service delivery.

Although registry personnel claimed that they used retention schedules in disposing of records, this was contrary to data obtained through the observation checklist and which revealed the presence of records earmarked for disposal in most ministries. Retention schedules are vital documents which determine how long records would be kept or how soon they would be disposed of. In the absence of record retention schedules in most ministries, it can be concluded that most ministries did not dispose of their ephemeral records and this may affect public service delivery and would further affect the attainment of the MDGs. For example, lack of records disposition created congestion in the registries, making it difficult for action officers to retrieve files quickly from the shelves when they were required by action officers. The KNADS had not effectively assisted registries to develop records retention schedules, thus contributing to the lack of records disposal, as was shown by the lack of records disposition certificates in most ministries. Lack of record retention schedules was one of the factors contributing to the current state of recordkeeping in the Kenyan public sector and may affect public service delivery. This situation supported the study assumption, namely that good record keeping underpinned the provision of effective and efficient public services by public officers.

One hundred and forty (89.2%) respondents indicated that they did not have a disaster management programme, including disaster management committees. Most registries lacked a vital records protection programme and criteria for evaluating potential hazards. Most registries did not have fire detection and suppression systems in the record storage area. One hundred and forty one (89.8%) registry personnel indicated that they had not received training in fire-fighting techniques and existing fire-fighting equipment was not serviced on a regular basis.

The data clearly showed that records were at risk in the registries if a disaster such as a fire was to occur. Existing disaster management programmes in the ministries surveyed were not effective and are likely to put records at risk if a disaster were to occur, thus affecting public service delivery. Existing

registry staff lack expertise and skills in fire-fighting techniques. They are therefore not in a position to control and manage disasters such as fires and this would affect public service delivery and attainment of MDGs, as records would be destroyed and usual business operations would not be easily restored.

The data indicate that existing strategies for managing records during their continuum in the ministries surveyed require improvement. The overall conclusion, therefore, is that the strategies used for managing records were not effective and this affected public service delivery. There was need for government ministries to have in place efficient and effective strategies for managing records during their continuum. While there were some exceptions, the data clearly supported the study assumption that sound recordkeeping underpinned the provision of efficient and effective public services by public officers.

The data confirmed the view of the records continuum model, that the four actions of record care under the records continuum model recurred, that is one phase of records activity affected the other. For example, it would be difficult to dispose of records without conducting surveys and appraisal visits and consequently developing record retention schedules. This would affect the selection of records as archives. For example, records identification in the records management phase would affect records selected as archives and classification and arrangement of records would affect their arrangement and description in the archives phase if the principles of provenance and original order are adhered to.

7.2.2 Conclusions About the Kenya National Archives and Documentation Service and Effective Management of Records During Their Continuum

The findings of the study indicated that all 157 (100%) registry personnel were aware of the existence of the KNADS and had received professional records management advice from the KNADS (see Table 30). Most registry staff did

not face any problems when seeking professional advice from the KNADS. This was confirmed by senior ministerial officers, who indicated they received professional records management advice from KNADS archives personnel.

Although archives personnel provided records management advice to registry personnel in areas such as the review of file classification and indexing systems, records survey and appraisal, records disposition and developing records management policy (see table 33), the advice was not provided on a regular basis due to the constraints faced. Some of these included insufficient funding, inadequate professional staff and lack of training in information technology. Furthermore, the advice provided did not cover other areas such as disaster management and management of electronic records.

These findings suggest that, even though the KNADS played a key role in advising public agencies to manage their records effectively, as mandated by the Public Archives and Documentation Services Act Cap 19, it had not sufficiently carried out this mandate. It can therefore be concluded that the KNADS had not effectively assisted registry staff to manage records during their continuum, due to resource constraints, and this may affect public service delivery and further hamper attainment of the MDGs. The advice provided by KNADS archives personnel did not cover other core areas of records management such as the management of electronic records and disaster management. This affected public service delivery. For example, lack of disaster management programmes in government ministries would put records at risk, since government ministries would lack the capacity to respond to disaster if they were to occur and to easily resume operations. The non-provision of regular records management advice to registries by the KNADS, due to the cited resource constraints, was one of the factors contributing to the state of recordkeeping in the Kenya public sector. Consequently, KNADS needed to be adequately resourced if it had to provide effective records management advice to public record-creating agencies.

The study established that records management advice provided by KNADS archives personnel to government ministries was not frequent. For example, archives personnel said that records appraisal and survey visits were conducted according to their work programme or according to need in public offices *vis-à-vis* resources. Archives staff indicated that registry staff did not always implement advice provided, relating to the management of records. Some of the reasons for non-compliance were constant transfers of registry staff, lack of trained registry staff, lack of support from senior ministerial officers and Public Archives Act Cap 19 not giving record creators more responsibility to manage their own records. The data clearly indicates that the non-implementation of records management advice provided to registry personnel by KNADS archives personnel was due to a number of factors, one of which related to the weaknesses associated with the existing records and archives legislation in Kenya.

7.2.3 Conclusions About Existing Records and Archives Legislation in Kenya and Management of Public Sector Records

Archives personnel indicated that the Public Archives and Documentation Service Act Cap 19 had certain strengths in relation to the management of public sector records. For example, the Act listed the responsibilities of the Director of KNADS and empowered him/her to examine all public archives and advise on their care, preservation and custody. The Act empowered the Director to transfer valuable records to the KNADS and authorize the destruction of valueless records, to create space in government offices. This finding shows that Cap 19 has certain strengths. It can be concluded that the Cap 19, to some extent, facilitated the management of public sector records in Kenya. This finding provides data which supported the study assumption, namely archival legislation is the key to sound records management practices in the public service.

Archives personnel revealed that although Cap 19 had strengths, it had weaknesses too. For example, the title of the Act did not capture records management aspects and did not stress the continuity of the care of records

during their continuum. The finding is contrary to existing records and archives legislation in other countries, whose titles indicated the continuity of records care by capturing records management and archives management aspects in their titles. Examples of such Acts included:

- The National Archives and Records Administration Act (America);
- The National Archives and Records Service Act (South Africa);
- The Public Records and Archives Department Law (Ghana); and
- The National Records and Archives Service Act (Botswana)

Cap 19 did not stress the continuity of records management and records care in its title, which currently reads "The Public Archives and Documentation Service Act Cap 19".

Cap 19 did not establish partnerships between record-creating agencies and the Director of KNADS. For example, it did not spell out clear-cut responsibilities for creators of public records. Furthermore, it provided lenient penalties for those who contravened the provisions of the Act. The present findings show that Cap 19 had weakness and that the Act did not effectively facilitate the management of public records. This in turn, had diverse consequences for public service delivery, as poor recordkeeping practices hindered the provision of public service delivery and the attainment of MDGs.

Archives staff indicated that opportunities existed which would be utilized by the Director of KNADS to enhance management of public records, using the current Public records Archives Act (see Table 36). Some of these opportunities included the clamour for transparency and accountability in the public service, new socio-political environment and on-going public sector reform programmes. Opportunities thus exist which may be utilized by the Director of KNADS to facilitate the management of public sector records in Kenya using Cap 19 and to enhance public service delivery.

Data obtained from archives personnel revealed that the Director of KNADS faced particular threats (challenges) in using the Public Archives and

Documentation Service Act Cap 19 to manage public records. These challenges included inadequate professional staff, insufficient government funding, staff lacking adequate skills in IT and lack of co-operation from senior government officers. Due to the challenges identified earlier, the Director of KNADS has not efficiently and effectively used Cap 19 to facilitate the management of public records and this has affected public service delivery and would further hinder attainment of MDGs.

Cap 19 had strengths and weaknesses, which affected positively and negatively the management of public sector records in Kenya. Whereas there were opportunities which the Director of KNADS could use to facilitate the management of Public Sector records, certain threats existed which hampered the use of Cap 19 to facilitate the management of public sector records.

Due to the weaknesses of Cap 19, management of public sector records was not efficient and this affected public service delivery and contributed to the current state of recordkeeping in government ministries, as record creators did not take responsibility for managing their own records. For example, government ministries and departments lacked efficient systems to document and capture records at the creation phase, efficient and effective classification and indexing systems and did not establish safeguards against records loss or unlawful destruction. They lacked adequate record storage facilities, disaster management programmes, did not conduct regular record surveys and appraisal, including the preparation of retention schedules which would guide disposal actions, and failed to raise the profile of records management and train records staff.

7.2.4 Conclusions About the Extent of Computer Applications in Registry Management and the Resultant Challenges

The findings of the study revealed that 107 (68.2%) registry personnel did not have computers in the registry. As many as 144 (91.7%) of the respondents did not use computers to create records. It is concluded that most registry

personnel did not use computers to manage records in their registries. This affected public service delivery and would hinder attainment of the MDGs.

The non-use of computers in registry management implied that government ministries and departments did not realize the benefits associated with the use of computers. These benefits included facilitating public service delivery through fast and efficient retrieval and access to records, increased records storage capacity and enhanced records security and preservation. Other benefits included reduced maintenance costs, automation of record functions, such as classification and indexing, retention scheduling, appraisal and disposition, and enhanced public service delivery through report generation and sharing of data by action officers.

To derive maximum benefits from the application of computers in registry management there is a need to restructure existing records management systems and introduce capacity-building measures through provision of IT training to registry staff and other record-users. Additional relevant considerations included preparing registry staff and other users through seminars and workshops, to make them appreciate the importance of introducing computers in registry management, relevant hardware and software, technological obsolescence and maintenance and sustainability of hardware and software. The successful adoption and use of computers in registry management in government ministries depended upon the restructuring of existing records management practices and the introduction of capacity-building measures.

Only 13 (8.3%) of the respondents used computers to create records. The types of electronic records created included emails, databases, spreadsheets and word-processed documents. The 13 respondents did not have guidelines for the identification of electronic records and lacked a list of activities which form the basis for the creation of electronic records. Even though the 13 registry personnel used computers to create electronic records, they lacked

the technical expertise relating to the management of electronic records at the creation phase.

The findings of the study indicate that the format used to create electronic records was word processing, database and spreadsheets format. The common medium used for the storage of electronic records was PC hard drives and floppy diskettes. It can be concluded that the 13 registry staff were knowledgeable about the storage medium used for the storage of electronic records.

The 13 registry personnel did not have procedures for labelling electronic storage devices. They used passwords and log-in procedures to ensure the security of electronic records. It can be concluded that, even though the 13 registry personnel did not have procedures for labelling electronic records, they were knowledgeable about the procedures used to secure electronic records.

All 13 respondents indicated that they did not appraise electronic records and had no procedure for doing this. Appraisal of records is vital to ensure that valueless records are disposed of, while valuable ones are retained. In the absence of procedures for the appraisal of electronic records, registry staff lacked the technical know-how to appraise and dispose of electronic records. *In the absence of appraisal procedures for electronic records, ministries may continue to retain valueless records in electronic format.*

Registry personnel indicated that they printed electronic records to paper to ensure their long-term preservation. Although the 13 registry personnel preferred electronic to paper, they were not conversant with the other forms of preserving electronic records, such as migration.

Registry personnel indicated that the benefits of using computers in records management included enhanced storage, retrieval, access, use, security, preservation, communication and report generation. Respondents indicated

that they faced challenges in managing electronic records. Whereas the 13 registry staff were conversant with the benefits of applying computers in registry management, they faced various challenges in managing electronic records, which constituted an obstacle to the successful application of computers in registry management.

Archives personnel noted that they had not undertaken a survey to determine the volume of electronic records generated in the public service. Archives staff did not provide advice to registry staff on how to manage electronic records. It was established that archives staff did not collaborate with other government IT professionals or agencies to develop a programme for managing electronic records in the public sector. The present findings indicated that archives personnel faced challenges relating to the management of electronic records in government ministries. In view of these findings, it can be concluded that archives personnel lacked the professional and technical know-how to advise record-creating agencies on how to manage electronic records. This would affect public service delivery and further hamper the attainment of the millennium goals.

In the absence of a survey, the KNADS did not know the exact volume of electronic records generated in the public service. Apart from computerising records created and managed in conventional registry systems, recordkeeping in an electronic environment meant that individuals in an organization created their own records from their work stations. Registry staff were not responsible largely, for the management of electronic records created in personal computers. Thus there was a need to transfer records management skills to such users and the role of registry personnel would play only an advisory role. In the absence of a survey to establish the volume of electronic records created in the public service, it is implied that it was not possible to capture and use such records for enhanced public service delivery, since it was not known how they were created, classified and indexed, appraised and disposed of in the public service.

The absence of a survey by the KNADS to establish the volume of electronic records generated in the public sector would jeopardize the Government of Kenya's plan to use ICTs to enhance the performance of the public service through the creation of e-governance. For example, it would be impossible for action officers to use such records if the conditions under which they were generated and managed were unknown. The Kenya National Development Plan (2002-2008) hoped that use of ICTs would lead to increased transparency and accountability of government services, enhance public service delivery and enhance participation of citizens in the governance process.

KNADS needed to conduct a survey to establish the volume of electronic records generated in the public service, in order to complement the Government's efforts to use ICTs to enhance the performance of the public service through the creation of e-governance. The involvement of KNADS in electronic records management depended on its being empowered through provision of IT training to archives personnel.

7.2.5 Conclusions About the Professional Knowledge and Skills of Registry Staff Responsible for Managing Records

The results of the study indicated that 31 (19.7%) of the registry personnel had diploma qualifications, compared to 13 (8.3%) who had attained certificate qualification. Thirty five (22.3%) were undertaking diploma studies, while 78 (47.7%) had not received formal education and training in archives and records management. Data presented shows that only 44 (28%) of the respondents had diploma and certificate qualification in archives and records management, compared to the remaining 113 (72%) who were either undertaking training or had not received any training at all. The majority of registry personnel did not have the professional knowledge and skills to manage records in the ministries surveyed. Lack of training in records management by the majority of registry staff is one of the factors that contributed to the current state of recordkeeping in the ministries surveyed and has negative consequences for public service delivery. Registry staff

lacked sufficient records management knowledge, skills and attitudes to manage records effectively for enhanced public service delivery.

The findings of the study reveal that although 95 (60.5%) of the respondents indicated that their ministries organised courses to up date their knowledge and skills in records management, 85 (54.1%) indicated that they had not attended a records management course ran by their ministries. Even though most ministries run courses to update the knowledge and skills of registry staff, most registry staff had not attended such courses. This finding is not surprising, given that accounting officers would normally nominate to rotate such training by ensuring that a few officers at a time attended courses run by their respective ministries, to ensure that provision of registry services was not disrupted.

The study established that registry personnel had various training needs in records management (see Table 45). The most cited training need was computer applications in records management, accounting for 144 (91.7%) of the respondents. In view of the data presented, it can be concluded that most registry staff required training in computer skills, including computer applications in records management. Most registry personnel lacked the necessary skills and knowledge to manage electronic records.

The most cited method to meet the training needs of registry personnel was seminars and workshops, accounting for 141 (89.8%) of the respondents (see Table 46). The next most cited method was training in records/archives schools and colleges 123 (78.3%). Most registry personnel preferred seminars and workshops to meet their training needs. Most registry personnel perceived training offered in records/archives schools and colleges as an avenue for meeting their training needs in record management.

Although senior ministerial officers indicated that their ministries had a training needs assessment (TNA) programme, as part of the on-going public sector reform initiatives by the government, officers working in core (technical)

departments in the ministries were given priority in terms of training opportunities. Registry personnel were disadvantaged in terms of accessing training opportunities, as they were considered to fall under the general administration department (see also Section 5.6.1.), considered to be a non-core department.

The lack of adequate training opportunities for registry personnel would have negative implications for public service delivery and further hamper attainment of the MDGs. Effective management of records during their continuum depends upon registry staff having received specialized knowledge and skills in records management, including an understanding of records management general concepts, principles, skills and attitudes. Lack of training would affect public service delivery, as registry staff would be demoralised and demotivated. Lack of adequate training on the part of registry personnel would further affect public service delivery, as ministries would not be equipped to facilitate change, particularly when the few trained registry staff left their ministries on transfer or promotion. It would be difficult for ministries to attain their vision and mission, as laid down in the respective strategic plans, if registry personnel were not adequately trained, as records were an important link in the provision of service to the public.

7.2.6 Conclusions About the Factors Contributing to the Current State of Recordkeeping in Government Ministries

The findings of the study indicate that registry personnel, senior ministerial officer and KNADS archives personnel identified a number of factors contributing to the current state of recordkeeping in government ministries (see Sections 5.6.1, 5.6.2, and 5.6.3). These factors included registries being neglected units in the ministries, lack of support from senior ministerial officers and weaknesses associated with the current Public Archives and Documentation Service Act, Cap 19.

One of the factors contributing to the current state of recordkeeping in government ministries emanates from the KNADS, for example the inability of

the institution to provide records management advice to record-creating agencies on a regular basis and its inability to prepare a records management manual, which would be used in government ministries. The current state of recordkeeping in Kenya related to the weaknesses associated with the existing records and archives legislation, for example its inability to state the responsibilities of record creators. Government ministries contributed to the current state of recordkeeping in the Kenyan public sector, for example the lack of involvement by senior ministerial officers in records management issues, absence of records management policies and inadequate training of registry personnel.

Sustainable solutions to the challenges that affect recordkeeping practices in public officers ought to involve the KNADS, government ministries (registry personnel, senior ministerial officers, and action officers), the Office of the President and the Directorate of Personnel Management.

7.2.7 Conclusions About Existing Records Management Practices and Public Service Delivery

All 157 (100%) registry personnel considered records management as being key to the delivery of public services. It was established that, whereas 31 (19.7%) indicated that current records management practices did not undermine public service delivery, 53 (33.8%) recorded a "yes" response, while the remaining 73 (46.5%) were uncertain as to whether existing recordkeeping practices undermined or did not undermine public service delivery.

The number of registry staff who considered current recordkeeping practices as undermining public service delivery was higher than the number who responded in the negative. A significant number of registry staff, that is 73 (46.5%), was uncertain as to whether current recordkeeping practices undermined public service delivery. Some registry staff thus considered current recordkeeping practices as having facilitated public service delivery, to some extent.

Senior ministerial officers considered current recordkeeping practices as affecting public service delivery. These officers consider current recordkeeping practices as undermining public service delivery.

The findings of the study indicated that archives personnel felt that provision of recordkeeping advice to registry staff enhanced service delivery (see Section 5.7.3). For example, training of registry personnel may lead to acquisition of new knowledge and skills in records management, cases of missing files reduced and improved attitude and service delivery. Continued and consistent provision of records management advice to registry personnel by archives personnel may lead to improved recordkeeping and public service delivery. Although provision of recordkeeping advice by archives personnel to registry personnel led to enhanced recordkeeping and public service delivery, this depended upon registry personnel implementing the records management advice provided to them by archives personnel.

7.2.8 Overall Conclusion About the Research Problem

The overall aim of the study was to examine records management practices in Kenya, in order to establish the extent to which existing recordkeeping practices in government ministries affected public service delivery.

The findings indicate that, overall, recordkeeping practices in the 18 ministries surveyed were not efficient and effective, thus affecting public service delivery. It was established that although the existing records and archives legislation in Kenya had certain strengths, it also had weaknesses which hindered effective management of public records.

The findings indicated that, although the KNADS provided records management advice to record-creating agencies, the advice was not always implemented. Most registries did not have computers and did not use them in registry management. It was established that archives personnel had not undertaken a survey to determine the volume of electronic records generated

in the public service and lacked technical know-how to advise creating agencies on how to manage electronic records. The findings indicated that only 44 (28%) of the respondents had a diploma qualification or a certificate qualification in archives and records management, compared to the remaining 113 (72%), who were either undertaking training or had not received any training at all. Several factors contributed to the current state of recordkeeping in government ministries.

The data indicated major weaknesses with regard to existing practices for managing records during their continuum. The overall conclusion is that current recordkeeping practices in the ministries surveyed were not effective and therefore negatively affect public service delivery and further hamper attainment of the MDGs.

7.3 Recommendations

The study identified various issues which affect recordkeeping practices in the ministries surveyed, as expressed by registry personnel, senior ministerial officers, KNADS archives personnel and by the observations made through the use of the observation checklist. The study therefore makes recommendations to address the specific recordkeeping issues identified in the study which affected public service delivery. The recommendations address each of the study objectives.

7.3.1 Strategies Used for Managing Records During Their Entire Continuum

The findings indicated that registries lacked mission statements. It is recommended that registries formulate mission statements which indicate registry purpose, vision, core values and goals (Roper and Williams 1999: 31). Registry mission statements would provide a framework for providing registry services to meet the respective ministry's strategic plans and enhance public service delivery and lead to the attainment of MDGs. It is recommended that the KNADS assist ministries in formulating records management policies and ensure their implementation.

A records management policy document will define policy on records management and the objective of the policy should be the creation and management of authentic, reliable and usable records, capable of supporting business functions and activities for as long as they are needed (ISO 15489-2001). A records management policy will ensure that current, semi-current and non-current records are properly managed (Kuchio 2002: 9).

The study recommends the need for ministries to establish records management committees. These will, among other functions, develop and ensure implementation of records management policy, train and develop registry staff and liaise with the KNADS to ensure effective management of records during their continuum and lead to improved public service delivery and attainment of MDGs.

It is recommended that the KNADS, in consultation with the various ministries, develop a records management manual which will outline the procedures and practices for managing records, from the state of creation to final disposal. Publication of a registry procedure manual is one of the measures which would help improve the state of records management in government ministries (Ombati 1999; Office of the President, Director of Personnel Management 2003). The development and application of a records management manual would lead to improved public service delivery and attainment of MDGs

To enhance the management of records during their continuum, it is recommended that ministries audit their registry services regularly, to ensure that records systems, processes and procedures were implemented according to organizations policies and requirement to meet the anticipated outcome (ISO 15489-1 2001). The recommendation would reinforce the Office of the President, Directorate of Personnel Management Circular, records management circular (2003b), which encouraged accounting officers in the ministries to audit the registry services by making frequent visits to registries,

to assess the working environment, working tools equipment and general staff performance. Regular auditing of registry services would lead to enhanced public service delivery and attainment of MDGs.

The study recommends the need for enhanced allocation of resources to registries to empower them to carry out their records management role. It is recommended that government considers allocating registries their own budget. Allocation of adequate resources to registries would lead to improved public service delivery and attainment of the MDGs.

The study recommends that registry personnel, in consultation with KNADS, develop a policy for creating records, to include a list of activities that constitute the basis for records creation, as records creation is one of the key phases of a records life-cycle (NARA 2004). The records creation policy would capture records creation elements, for example an adequate system to document the activities of each business unit and ensure that records are arranged in a system to obtain maximum benefit from quick and easy retrieval of information (Blake 2005). Registry personnel should ensure that they have the figure for the exact number of active, semi-active and non-active records in their registries.

To enhance records access, use and storage, there is a need for further improvement in the design and overall management of registry file classification systems. Classification systems reflect the business of the organization from which they are derived and are normally based on an analysis of the organization's business activities (Tough 2003:11). It is recommended that registries enhance the use of a controlled vocabulary by developing a key word list. The development and use of controlled vocabulary would ensure that registry classification systems are efficient service organization, enable reference numbers and codes to be assigned and reflect changes in the functions and archives of the organization (Griffin and Roper 1999:37). The development and use of controlled vocabulary

would lead to quick and easy retrieval of records, thus enhancing public service delivery and leading to the attainment of MDGs.

The study recommends that all registries develop procedures manuals to track file movements in the ministries, to minimize cases of missing and lost files when they are being used by action officers. There is also a need for registries to update their current finding aids to enhance access and use of records. The efficient tracking of records would assist registries to identify outstanding action required, enable records retrieval, prevent loss of records and monitor usage of system maintenance and security, by maintaining an audited trail of records transactions (ISO 154989-1 2001). Tracking of records would facilitate records use and hence enhance public service delivery and the attainment of MDGs.

To enhance information access and use, the study recommends the need for registry staff to conduct user studies to establish the information needs and information seeking behaviour of registry users. Katuu (2000:2), discussing the need for user studies within the context of an archival institution (which would also apply to registries) noted that by shifting attention to users and uses of archives archival institutions would be justifying the need for preserving records and archives. Makhura and Du Toit (2005:214) stated that enterprises were increasingly faced with problems of user behaviour which needed to be addressed, as a means of ensuring effective service delivery and full access to facilities. The conducting of user studies would lead to maximization of records use, thus enhancing public service delivery and attainment of MDGs.

In conducting information user studies, registry personnel should divide their users into internal and external users. Internal users would include senior ministerial officers such as the permanent secretary, senior deputy secretaries, deputy secretaries and undersecretaries, while external users would include the same cadre of senior ministerial officers from other ministries. The use of the segmentation approach in user studies, described

by Yeo (2005:25), was an established technique in commercial marketing and would be used by archivists and records managers to help them gain a wider understanding of their users. The segmentation approach would be based on demographic criteria, or other models would be employed that were more specific to studies of the uses of records.

The study recommends the need for registry personnel and senior ministerial officers to conduct performance measurement of the registry services provided to clients. According to Blake (2005), each public authority should ensure that it has in place a scheme to monitor performance of its records management system. Furthermore, performance indicators should, among other activities, cover quantity of records created, quality of records inspected; response times in retrieving and providing information quantity of records appraised, selected or destroyed and user satisfaction. Performance measurement of registry services would lead to improved public service delivery and attainment of MDGs.

It is recommended that ministries incorporate forms, reports and directives, and management programmes into their records management programme. A complete records management programme encompasses a multitude of disciplines, including forms, reports and directive management (Penn, Pennix and Coulson 1994: 5). Forms are currently used in government ministries for, among other reasons, recruitment and training needs assessment, clearing benefits and accounting for the use of resources. Directives are commonly issued in government ministries in the form of notices, circulars and policies. There is a need to ensure that forms, reports and directives are well managed during their continuum.

It is recommended that existing rooms in some ministries, commonly referred to as "archives", and which were used as dumping grounds for non-current records, be rehabilitated. This would involve removing old furniture from the rooms, cleaning them, dusting the records and arranging non-current records which had been dumped there in some systematic manner, for example

according to the records and archives management principles of provenance and original order. This would ensure that records were found when required, prior to their survey and appraisal by archives personnel from the KNADS. The cleaning up of "archives" rooms would be part of the Government of Kenya and the Kaizen (Kaizen is a Japanese term meaning continual improvement) Institute project, set up in March to August 2005 (see Chapter Three, Section 5.4). The project was initiated by The Public Sector Reform and Development Secretariat and the Kaizen Institute of Japan, as part of the on-going efforts to reform the public service. The project aimed at eliminating wasteful or non-valuable activities which created obstacles that hindered the smooth flow of services to citizens. One component of the project involved the removal of old furniture and old files from government offices. This led to the involvement of archives personnel from the Nairobi Records Centre in the project. Their role in the project was to advise on the disposal of old files from those rooms which served as "archives" and which were mainly used as dumping grounds for non-current records.

It is recommended that those ministries without temporary storage rooms "archives" consider setting up temporary records rooms for the storage of semi-current and non-current records, prior to their appraisal and recommendation for retention or destruction by archives personnel. The setting up of temporary records rooms would not only ensure that records in the semi-current and non-current stages were not mixed on the shelves with current records, but would also address a key recommendation by the Office of the President and Directorate of Personnel Management (2003b). It noted that one of the shortcomings noticed in the management of public records related to the mix-up of current and semi-current records in the record storage areas, which were stored in the record storage area corridors and on the floors, and to address the problem government ministries were advised to set up rooms where these records could be kept.

Whereas it could be argued that the setting up of temporary rooms in government ministries would be a waste of public resources, particularly in

those countries where archival institutions regularly surveyed, appraised and prepared retention schedules, to guide disposal actions, the setting up of temporary rooms would further be justified in view of the fact that KNADS did not regularly conduct field surveys and appraisal visits to government ministries and departments and assist in the preparation of retention schedules to guide disposal actions, due to resource constraints. Such a move would not only enhance public service delivery, but would be justified due to the increasing pressure on existing repository space at KNADS, for the storage of valuable records acquired as archives from government ministries and departments. KNADS has proposed that Cap 19 be reviewed to allow public institutions to set up their own record centres, upon obtaining approval from the Director KNADS (Musembi 1997).

According to Wikipedia (2006), one of the activities involved in the practice of records management is developing a records storage plan, which includes short and long-term housing of physical records and digital information. The study recommends that ministries purchase adequate storage equipment for current, semi-current and non-current records. These would alleviate the problem of registries being full of records and minimize their storage on the floors, thus prolonging their usefulness.

It is recommended that registry layout and design be improved, to enhance records security, as well as paying attention to ergonomic factors. The Records Management Guidelines for Departmental Records Officer (DROS) and Chief Registrars, issued by the UK Cabinet Office (undated), stressed that, in considering accommodation/equipment for records, particular attention should be paid to ergonomic factors such as an attractive environment, ventilation, heating, lighting and desk and equipment layout to ease routine but essential tasks. Improved registry layout and design would lead to improved public service delivery.

The study recommends that senior ministerial officers and registry personnel introduce measures to control environmental conditions in the record storage

area, to enhance records preservation, by monitoring and controlling temperature and relative humidity and light in the record storage areas. The study recommends that registry personnel and senior ministerial officers take measures to control pest infestations in the records storage areas, as they may cause considerable damage to records. According to Ngulube (2005b), environmental control prolonged or shortened the life of documentary materials and control of environmental factors had a positive impact on controlling biological factors such as rodents, termites, silverfish, cockroaches, booklice and beetles. Control of environmental conditions would secure records from damage and deterioration, ensuring their continuing use as tools for public service delivery.

It is recommended that registry personnel conduct record inventories on a regular basis, to provide a picture of the records and information structure of an agency and know how the records are or should be managed, IRMT (1999). There is a need for registries to systematically dispose of records which have been appraised and found to be of no value. To enhance records disposal, it is recommended that KNADS, in consultation with registry personnel, promote the preparation and implementation of record retention schedules. Retention schedules would help government ministries and departments determine how long records should be kept or how soon they should be disposed of (Ngulube and Tafor 2006:79). Systematic appraisal and disposition of records through record retention schedules would lead to improved service delivery and attainment of the MDGs.

The present author recommends that registries develop a disaster management plan which would describe the procedures devised to prevent and prepare for disasters and those proposed to respond to and recover from disasters when they occur (Lyll 2002). The study recommends that all registries install fire detection systems in the records storage area. It is recommended that accounting officers in the ministries ensure that registry staff receive training in fire-fighting techniques.

The fire-fighting equipment installed in the corridors should be inspected regularly. All ministries should form disaster management committees, whose responsibilities would include establishing the types of disasters likely to affect records, risk assessment and preparation and implementation of a disaster management plan. The committee would liaise with the Ministry of Public Works, the Nairobi City Council and private firms, to provide training in fire-fighting techniques to all ministry staff, including registry staff. The committee would ensure that fire-fighting equipment is regularly inspected and serviced. The Development and implementation of disaster management plans would lead to mitigation against disasters, including the protection and salvage of records in the event of disasters, thus making them available for continued use as tools for public service delivery.

7.3.2 Kenya National Archives and Documentation Service and Management of Records During Their Continuum

Whereas it is commendable that KNADS continues to provide records management advice to record-creating agencies, it is recommended that the advice be provided on a regular and continuing basis. It is recommended that the scope of records management advice provided to record creating agencies be broadened, to include other components of a records management programme, namely reports, forms and directives management, records preservation and security and disaster management.

Although KNADS provided records management advice to record-creating agencies, such advice was not, in most cases, implemented, particularly regarding the disposal of valueless records. To ensure the implementation of records management advice provided to records creating agencies, and to enhance public service delivery, the study recommends that the KNADS lobbies the government to appoint departmental/ministerial record officers who would work closely with KNADS archives personnel, to enhance recordkeeping policies and ensure implementation of the records management advice provided.

The study recommends that KNADS reviews its current approach regarding its records management role in the Kenyan public sector. Given the limited financial and personnel resources of KNADS, the study recommends the need to review existing archives legislation to provide record creating agencies with more responsibility to manage their own records. Such a measure would enhance the management of records and lead to enhanced public service delivery.

The study recommends that, to improve public service delivery, KNADS, in conjunction with the Office of the President, and the Directorate of Personnel Management, organize seminars and workshops to sensitize senior ministerial officers on the strategic importance of records management in improving public service delivery. This recommendation would address one of the recordkeeping issues identified in the study by registry and archives personnel and which affected public service delivery, namely the lack of support from senior ministerial officers. Through such sensitization programmes, senior officers would take a direct and personal interest in ensuring that records management advice provided by archives personnel from KNADS is implemented. The officers would provide support to registries in terms of their financing and training of registry staff. This recommendation would address the concern expressed by the Office of the President, Directorate of Personnel Management (2003), namely that some top administrators in ministries did not understand/appreciate the vital role played by registries and therefore did not give the registries the necessary support and guidance.

7.3.3 Existing Archives Legislation in Kenya and the Extent to Which it Facilitated Management of Public Sector Records

Whereas the findings of the study indicated that the Public Archives and Documentation Service Act Cap 19 had strengths in relation to the management of public sector records, it established that the Act had weaknesses which affected the management of public sector records and negatively affected public service delivery. Revision of archival legislation

would assist in enhancing records management practices in the public sector (Akotia 2003:114). The study recommends that Cap 19 be reviewed to stipulate that the Director of KNADS be responsible for establishing and ensuring compliance with standards for the management of public records. The Act should be reviewed to ensure that the responsibility for record keeping is shared between government agencies and the National Archives as is the case with the National Archives of Australia (2004).

The revised Act would state that every government agency be legally required to manage its records and have specific legal requirements for records management, such as making and preserving records that contain adequate and proper documentation of the organization's functions and policies and notifying the archivist of any actual impending or threatened unlawful destruction of records and assisting in their recovery, as required by the National Archives and Records Administration (2004). Record-creating agencies would be legally required to appoint records management officers, who would be able to liaise with archives staff to enhance recordkeeping practices in their ministries. This arrangement would be beneficial to record-creating agencies and the national archives (Barbat 1999).

The study recommends that Cap 19 be revised to ensure that the records management component is explicitly stated in the Act, unlike the current case where archives management is given more prominence in the title of the Act than records management. This would be in line with the practice in other countries such as Botswana, India, the United Kingdom, Australia, New Zealand, South Africa and America, whereby the component of records management is explicitly described in their archives legislation.

The study identified opportunities which would be utilized by the Director of KNADS to enhance the management of public records, using the current Public Archives Act. The study recommends that the Director of KNADS takes advantage of the opportunities to enhance the management of public records. These include the clamour for transparency and accountability in the

public service, the fight against corruption and the on-going public sector reform programmes. This recommendation would ensure that efficient information and records management provides the basis for poverty reduction, accountability and effective management of state resources, protection of rights and entitlements, services to citizens, anti-corruption strategies and the rule of law, as noted by the IRMT (2005). Efficient information and records management practices would lead to improved public service delivery and the attainment of MDGs.

7.3.4 Extent of Computer Applications in Records Management and the Resultant Challenges

The findings indicated that registry personnel did not use computers in their registries. The study recommends that, to enhance public service delivery, ministries consider adopting the use of computers in registry management. The use of computers would enhance the creation, access, use, storage, preservation and security of records. However, the study further recommends that registries should only adopt the use of computers when the current manual record keeping systems have been restructured, to ensure that they are efficient and effective. The study recommends that accounting officers take advantage of the current and on-going Kenya Government e-government initiative to computerize registry functions and services. Computerization of registry functions would complement the Government of Kenya's efforts to use ICTs as tools for enhancing the performance of the public service, leading to increased transparency and accountability of government services (The Kenya National Development Plan 2002-2008).

It is recommended that KNADS conduct a survey to establish the volume of electronic records generated in the public service. The institution should provide advice to record-creating agencies on how to manage records created in electronic format. The researcher recognizes that KNADS currently lacks the capacity to advise record-creating agencies on how to manage electronic records. Archives staff indicated that one of the key challenges they faced in providing advice related to the management of electronic records was the lack

of adequate training in IT. Inadequate technical expertise was cited as one of the challenges archivists faced in the ESARBICA region in managing electronic records (Mutiti 2001, Ngulube 2004b; Wato 2005).

It is recommended that the KNADS enhance its current programme of training staff to enable them have the capacity to advise record-creators on how to manage electronic records. It is commendable that KNADS intends to recruit the following senior officers to be in charge of electronic records management in the public service: Senior Archivist (electronic archives), Assistant Director (electronic archives) and Deputy Director (electronic archives). This is contained in the office of the Vice-President and Ministry of Home Affairs Strategic Plan (2004-2008).

The acquisition of IT skills by archives personnel and the recruitment of archives personnel at senior levels, who would be in charge of electronic records management, would enable KNADS to develop guidelines which would assist record-creating agencies manage records in electronic format and lead to their management and use for enhanced public service delivery. Such guidelines may cover aspects such as a digital record-keeping framework, security, business continuity planning preservation, access and disposal of digital records (National Archives of Australia 2004). KNADS may also use the electronic records management guidelines models developed by the National Records and Archives of South Africa (2005), National Archives (UK) and the ICA (2005).

7.3.5 Professional Knowledge and Skills of Registry Staff Responsible for Managing Records

The study recommends that accounting officers in the ministries train registry personnel who have not received education and training in records and archives management. While it is commendable that some of the registry staff are currently undertaking diploma training in archives and records management at the Kenya Polytechnic, training opportunities should also be extended to other officers who have no training at all. Training of registry

personnel would lead to acquisition of relevant knowledge, skills and attitudes which would be useful in managing records and lead to the better provision of registry services and to improved public service delivery.

It is recommended that KNADS, in conjunction with government ministries and the DPM, enhance the training of registry staff through short courses, seminars and workshops. The training offered should target all staff involved in handling records, such as messengers, secretaries and action officers. The training should be based on a clear training needs assessment (TNA), to identify the training needs of these officers. The study recommends that accounting officers provide education and training to all those supplies officers redesignated as records officers and now in charge of registries. The training of these officers would substantially increase their knowledge of records management and provide the necessary guidance to registry staff working under them, thus leading to better provision of registry services and enhanced public service delivery.

7.4 Suggestions for Further Research

The study investigated current recordkeeping practices and how they affected public service delivery in 18 of the ministries surveyed. The study identified several issues which could be a subject of further investigation by records and archives management researchers. The present study had certain limitations, for example the study investigated recordkeeping practices in government ministries headquarters and not other public sector offices such as the Public Service Commission, Parliament, The Attorney-General's Office. The study made suggestions for further research. The following discussion highlights some of the areas that require investigation by future researchers.

The public service in Kenya encompasses the central Government, Local Authorities, the Teaching Service and Parastatals. The Public Service consists of the Judiciary, the State Law Office, the Parliamentary Service Commission, the Discipline Services and the Armed Forces (Directorate of Personnel Management 2006). The current study investigated recordkeeping

practices in central government, with particular attention being given to the headquarters of government ministries.

It is recommended that studies be conducted to establish the current state of recordkeeping in the other sectors of the public service, for example Local Authorities, Teachers' Service Commission, The State Law Office, the Armed Forces and Parliamentary Service Commission and how the current recordkeeping practices impact on public service delivery. It is recommended that studies be conducted to establish recordkeeping practices in the private sector, such as in the banking, insurance and non-governmental sectors. Such a study would provide useful comparative data on recordkeeping practices in the public and private sectors in Kenya.

The current study covered 18 out of the anticipated 24 ministries. It is recommended that studies be conducted to establish the current state of recordkeeping practices in those ministries that were not surveyed and how their recordkeeping practices affect public service delivery. These ministries are:

- Ministry of East African and Regional Co-operation
- Ministry of Health
- Ministry of Tourism and Wildlife
- Ministry of Information and Communications
- Ministry of Transport
- Ministry of Regional Development Authorities.

The study established that senior ministerial officers considered records management to be a low priority activity and did not provide the required support to registry staff and archives personnel to enhance recordkeeping practices in government ministries. It was established that registry staff had a low rating towards, and image of their registries. It is therefore recommended that studies be conducted to establish why such an attitude exists and ways in which it can be reversed. Such a study would assist in enhancing the profile

of records management in the Kenyan Public Service and lead to improved public service delivery and the attainment of MDGs.

The current study investigated how existing recordkeeping practices affected public service delivery. It is recommended that more studies be conducted to establish the link between current recordkeeping practices and the level of corruption, transparency, accountability and good governance in the Kenyan Public Service. Such a study would be timely, as the public service in Kenya is currently undergoing transformation because of the on-going public sector reform programmes. The investigation would supplement Wamukoya's (1996) study, which explored the link between records management and administrative reform programmes in Kenya.

The present study established that KNADS had not undertaken a survey to establish the growth of electronic records generated in the public service. It is recommended that research be undertaken to establish the volume of electronic records generated in the public service. The study would establish the conditions under which electronic records were generated in the public service and investigate how the existing electronic records management situation in the public sector would impact on on-going e-government initiatives. The study would investigate electronic records management practices within the framework of e-government, the NEPAD agenda, and the MDGs, namely eradication of poverty, sustainable growth and development, democratization, respect for human rights, enhancement of accountability and transparency in the management of public resources and the empowerment of women (Wamukoya and Mutula 2005:3).

Although the current study investigated aspects of environmental control in the registries, for example the extent to which registries monitored and controlled temperature, relative humidity, light, fungi and insect infestations in the record storage area, it is recommended that future researchers undertake a more comprehensive and detailed study to establish the effect of the existing environmental conditions on the longevity of records. The study would

investigate some of the issues described in Ngulube's (2005b) work, namely the extent to which environmental control and monitoring was considered vital by registry personnel and senior ministerial officers, activities and strategies used to control and monitor environmental conditions in the registries, registry staff level of skill doing this, and it would provide recommendations on environmental monitoring and control in the registries.

Although the present study investigated current recordkeeping practices and their effect on public service delivery, it is recommended that comprehensive research be undertaken to establish the information needs and information-seeking behaviour of registry users such as secretarial staff, middle level action officers, senior ministerial officers and members of the public. Such studies would establish their level of records management knowledge and perceptions and how these contribute to the current state of record-keeping in government ministries. The study would be appropriate, as the lack of sound records management indirectly affected the information use behaviour of employees with regard to competitive performance (Makhura and Du Toit 2005:213). User studies would enable registry staff to receive feedback regarding users' information needs and information-seeking behaviour and levels of satisfaction and dissatisfaction with the registry services provided. The results of a user study would be utilised to re-engineer registry services and would lead to the design and implementation of appropriate information delivery systems (Kemoni, Wamukoya and Kiplanga't 2003:42; Kemoni 2004:174)

Knowledge management is increasingly recognised as being of central importance to organizations in the contemporary knowledge society (Assudani 2005). Hughes (2003) underscored the role of records management in the knowledge economy and noted that knowledge management was at the heart of what records managers were doing every day and that the two disciplines shared several objectives and provided some similar benefits. It is recommended that studies be conducted to establish the management and

exploitation of knowledge resources (tacit and explicit) in government ministries.

Such studies would be timely and would provide an integrated approach to the management of the various types of information resources. They would attempt to capture "tacit" knowledge, particularly the expertise of members of staff, and also the knowledge that they as individuals brought to their jobs (Shepherd and Yeo 2003). Such studies would be justified, as no previous studies of this nature have been conducted in Kenya.

Finally, on a darker note, records can be used as instruments of repression and abuse of power, as emphasised by McKemmish (2005) and Ketelaar (2005). It is therefore recommended that an interdisciplinary study involving Kenyan political scientists, historians and recordkeeping professionals be conducted to establish the use or misuse of records as instruments of political repression and human rights abuses in Kenya. The study would establish the use and misuse of records as tools of repression and abuse of power, and associated effects, in relation to Kenya's national and international development agenda.

The study would be appropriate and justified, in the light of the numerous cases reported, which involved the suspected burning and destruction of public records to conceal evidence related to use and misuse of records as tools of oppression, corruption and human rights abuses by public officers. The study would be further justified in view of the on-going calls by most Kenyans for the establishment of a Truth and Reconciliation Commission, modelled on the South African Truth and Reconciliation Commission, to investigate human rights abuses in Kenya by previous governments. These abuses include unsolved political assassinations, detention without trial of perceived government critics, economic crimes and proliferation of communal violence, for example land clashes in communities which were perceived to be anti-government.

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Abbreviations of References and Acronyms Used in the Thesis

CITRA	see	International Conference of the Round Table on Archives
CSRS	see	Civil Service Reform Secretariat
DRO's	see	Departmental Record Officers
ESARBICA	see	East and Southern Africa Regional Branch of the International Council on Archives
FOI	see	Freedom of Information
ICA	see	International Council on Archives
ICTs	see	Information and Communication Technologies
ISO	see	International Organization for Standardization
IT	see	Information Technology
IMF	see	International Monetary Fund
IRMT	see	International Records Management Trust
KNADS	see	Kenya National Archives and Documentation Service
MDGs	see	Millennium Development Goals
NARC	see	National Alliance Rainbow Coalition Government
NARA	see	National Archives and Records Administration
NEPAD	see	The New Partnership for Africa's Development
PSRS	see	Public Sector Reform Secretariat
SAPs	see	Structural Adjustment Programs
SPSS	see	Statistical Package for the Social Sciences
SWOT	see	Strengths, Weaknesses, Opportunities and Threats
TNA	see	Training Needs Assessment
UNESCO	see	United National Educational Scientific and Cultural Organization
UN	see	United Nations
UNDP	see	United Nations Development Programme
USA	see	United States of America
UK	see	United Kingdom
WB	see	World Bank
WSIS	see	World Summit Information Society

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Appendix 1: Questionnaire for Registry Personnel on Records Management Practices and Public Service Delivery in Kenya

Dear Sir/Madam,

I am a PhD candidate in the Department of Information Studies programme, at the University of KwaZulu - Natal, South Africa. As part of the degree requirement, I am conducting a study entitled "**Records management Practices and Public Service Delivery in Kenya**". The aim of the study is to examine recordkeeping practices in government ministries headquarters within the Nairobi province, and in particular, the extent to which, recordkeeping practices affect public service delivery. The study is designed to collect data on the strategies used to manage records during their entire life-cycle, the extent to which the Kenya National Archives and Documentation Service has assisted registry staff to effectively manage records during their entire life-cycle and the extent to which existing records and archives legislation facilitates the management of public sector records in Kenya.

Other objectives of the study include establishing the extent of computer applications in registry management and the resultant challenges, the professional knowledge and skills of registry staff and the factors that contribute to the current state of record keeping in Kenya. The findings of the study will be shared with registry staff, senior officers in government ministries in charge of records management and those who formulate policy and Kenya National Archives and Documentation Service archives staff. It is hoped that the study recommendations will be used to guide the development of recordkeeping practices in government ministries.

You have been identified as one of the study respondents. The purpose of writing is to request you to spare some time and fill the attached questionnaire. All the information provided will be kept confidential and will be used only for this study. Please follow the instructions when filling it. A research permit was sought and obtained for this study, and is hereby attached. I shall be glad if you would complete and return it by 30 October 2005.

If you have any questions about the study, please do not hesitate to contact me at Moi University, Faculty of Information Sciences, Department of Archives and Records Management, Eldoret, Kenya. Cell phone: 0722-611644. E-mail hkemoni@yahoo.com.

Thanking you in advance for your time and cooperation.
Yours faithfully,

Henry N. Kemoni

Questionnaire for Registry Personnel on Records Management Practices and Public service Delivery in Kenya: Instructions for Filling the Questionnaire

- a. Please tick the appropriate answer(s) from the choices provided for each question
- b. In case of extra answers, use a separate piece of paper and indicate the question number answered
- c. Do not leave blank spaces. If the question does not apply, please indicate "N/A"
- d. Registry clerks to answer questionnaire from **section 2**
- e. Registry supervisors to answer **all sections** of the questionnaire

BACKGROUND INFORMATION

Ministry.....
 Address.....
 Telephone.....
 Email.....
 Website

Current designation.....

Section 1: Mission Statement, Policy and Budget

1. Does your Ministry have a mission statement?

a. yes	[]
b. no	[]

2. If yes, state the mission of your Ministry (Kindly attach a copy of the document)

.....

.....

3. Do you have a mission statement for your registry?

a. yes	[]
a. no, go to question 5	[]

4. If yes, please state the mission statement (Kindly attach a copy of the document)

.....

.....

5. Which of the following indicates the need for a registry mission statement? (Please tick all the applicable options)

a. articulate registry purpose	[]
b. provide framework for achieving registry plans	[]
c. motivate registry staff	[]

- d. measure progress in attaining registry goals []
- e. other, please specify

6. Which of the following is true or false about your registry mission statement?
- a. contains registry purpose or mission true [] false []
- b. contains registry vision true [] false []
- c. contains registry core values true [] false []
- d. contains registry goals true [] false []
- e. contains means of achieving registry goals true [] false []
- f. other, please specify

7. Does your ministry have a written records management policy?
- a. yes []
- b. no, go to question 9 []
8. If yes, which of the following aspects are covered in your records management policy? (Please tick all the applicable options)
- a. contains sections of the Public Archives Act []
- b. makes reference to records management standards []
- c. makes reference to records management best practices []
- d. states aim and scope of the records management policy []
- e. states objectives of the records management programme []
- f. indicates responsibilities for records management []
- g. provides a definition of technical terms []
- h. other, please specify

9. Do you have a registry procedures manual?
- a. yes []
- b. no, go to question 11 []
10. If yes, which of the following indicates the need for a registry procedure manual? (Please tick all the applicable options)
- a. outline procedures and practices for records from creation to disposition []
- b. ensure records security []

- c. ensure records accessibility []
- d. ensure records retrieval efficiency []
- e. ensure preservation of records with long term value []
- f. ensure records of no value are disposed []
- g. enhance service delivery []
- h. meet government statutory requirements []
- i. other, please specify []

.....

11. If no, which of the following do you currently make reference to in managing records? (Please tick all the applicable options)

- a. existing records management literature []
- b. precedent []
- c. registry supervisor []
- d. own initiative []
- e. colleagues []
- f. other, please specify []

.....

12. Are records management practices in your ministry audited for compliance with standards?

- a. yes []
- b. no, go to question 14 []

13. If yes, which of the following reflects the purpose of the records management audit exercise?

- a. establish efficiency of records creation systems
 yes [] no [] uncertain []
- b. establish efficiency of records distribution systems
- c. yes [] no [] uncertain []
- d. establish efficiency of records maintenance and use systems
 yes [] no [] uncertain []
- e. determine efficiency of records appraisal and disposition systems
 yes [] no [] uncertain []
- e. other, please specify

.....

14. Do you have an internal records management audit checklist?

- a. yes []
- b. no, go to question 16 []

15. If yes, which of the following areas are covered in your internal records management audit checklist?

- | | | | | |
|----|-----------------------------|---------|--------|---------------|
| a. | records creation | yes [] | no [] | uncertain [] |
| b. | records distribution | yes [] | no [] | uncertain [] |
| c. | records maintenance and use | yes [] | no [] | uncertain [] |
| d. | records appraisal | yes [] | no [] | uncertain [] |
| e. | records disposition | yes [] | no [] | uncertain [] |
| | | | | |
| f. | records preservation | yes [] | no [] | uncertain [] |
| g. | staff training | yes [] | no [] | uncertain [] |
| h. | staff responsibilities | yes [] | no [] | uncertain [] |
| i. | registry resources | yes [] | no [] | uncertain [] |
| j. | other, please specify | | | |

.....

16. Is the registry allocated its own budget?
- | | | |
|----|-----------------------|-----|
| a. | yes | [] |
| b. | no, go to question 20 | [] |
17. Which of the following is true or false about registry funding?
- | | | | |
|----|------------------------------------|----------|-----------|
| a. | registry funding adequate | true [] | false [] |
| b. | increased over the last five years | true [] | false [] |
| c. | decreased over the last five years | true [] | false [] |
| d. | status quo remained the same | true [] | false [] |
| d. | other, please specify | | |
-

18. Do you experience particular problems due to the current state of registry funding?
- | | | |
|----|-----------------------|-----|
| a. | yes | [] |
| b. | no, go to question 20 | [] |
19. If yes, which of the following problems do you encounter due to the current state of registry funding? (Please tick all the applicable options)
- | | | |
|----|---|-----|
| a. | inability to purchase appropriate storage equipment | [] |
| b. | inability to purchase sufficient supplies | [] |
| c. | inability to educate and train staff | [] |
| d. | inability to provide adequate registry services | [] |
| e. | other, please specify | |
-

Section 2: Records Creation and Use

20. Which of the following indicates the duties you perform? (Please tick all the applicable options)
- | | | |
|----|-----------------------------|-----|
| a. | receiving and opening files | [] |
| b. | file classification | [] |

- c. file indexing []
 - d. file storage []
 - e. file distribution []
 - f. tracking file use []
 - g. closing files []
 - h. studying users needs []
 - i. other, please specify []
-
-

21. Do you have a policy for creating paper files?
- a. yes []
 - b. no, go to question 23 []
22. If yes, is the policy in written form?
- a. yes []
 - b. no []
23. Does your office have a list of activities that constitute the basis for records creation?
- a. yes []
 - b. no []
24. Which of the following explains the criteria you use to create files?
(Please tick all the applicable options)
- a. precedent (established procedures) []
 - b. colleagues advice []
 - c. registry supervisor instructions []
 - d. records management literature []
 - e. own initiative []
 - f. other, please specify []
-
-
25. Which of the following information do you include when creating files?
(Please tick all the applicable options)
- a. unique identifier number []
 - b. date []
 - c. content []
 - d. source []
 - e. physical form []
 - f. links to related records []
 - g. other, please specify []
-
-
26. Which of the following subject title do the records you create cover?
(Please tick all the applicable options)
- a. finance []

- b. personnel []
- c. administration []
- d. policy []
- e. other, please specify []

.....

27. Do you have a written classification scheme?
- a. yes []
 - b. no []

28. When classifying files, do you use a controlled vocabulary?
- a. yes []
 - b. no, go to question 30 []

29. If yes, which of the following explains why you use a controlled vocabulary? (Please use all the applicable options)
- a. limit the words used []
 - b. avoid overlap of words used []
 - d. speed file retrieval []
 - e. enhance service delivery []
 - f. other, please specify []

.....

30. Which of the following is true or false regarding the development and use of controlled vocabulary in your registry?
- a. keywords examined to establish identifiable gaps
 true [] false []
 - b. cross reference and linkage to terms made true [] false []
 - c. appropriate terms identified true [] false []
 - d. index terms arranged alphabetically true [] false []
 - e. new subjects included true [] false []
 - f. reviewed to remove redundant words true [] false []
 - g. other, please specify

.....

31. Which of the following indicates the system of filing records in your ministry? (Please tick all the applicable options)
- a. alphabetical []
 - b. numerical []
 - c. alpha-numerical []
 - d. chronological []
 - e. subject []
 - f. other, please specify []

.....

32. Which of the following is true or false regarding your current file classification system?
- | | | | |
|----|--------------------------------------|----------|-----------|
| a. | easy to understand | true [] | false [] |
| b. | easy to use | true [] | false [] |
| c. | complete | true [] | false [] |
| d. | backed by procedures manual | true [] | false [] |
| e. | supports organizational requirements | | |
| | | true [] | false [] |
| f. | prone to automation | true [] | false [] |
| g. | fully documented | true [] | false [] |
| h. | updated | true [] | false [] |
| i. | other, please specify | | |
-
.....
33. Which of the following indicates the methods used to request files?(Please tick all the applicable options)
- | | | |
|----|-----------------------------------|-----|
| a. | subject index | [] |
| b. | registry staff | [] |
| c. | registers | [] |
| d. | telephone call | [] |
| e. | personal visit by action officers | [] |
| f. | other, please specify | |
-
.....
34. Which of the following finding aids are available in your registry?
(Please tick all the applicable options)
- | | | |
|----|-----------------------|-----|
| a. | subject index | [] |
| b. | subject list | [] |
| c. | subject register | [] |
| d. | other, please specify | |
-
.....
35. Do you track records use?
- | | | |
|----|-----------------------|-----|
| a. | yes | [] |
| b. | no, go to question 41 | [] |
36. If yes, which of the following indicates the purpose of tracking records?
(Please tick all the applicable options)
- | | | |
|----|-----------------------------------|-----|
| a. | know records location at any time | [] |
| b. | monitor records use | [] |
| c. | ensure action is taken | [] |
| d. | ensure records return to registry | [] |
| e. | other, please specify | |
-
.....

37. Which of the following tools do you use to track records use?(Please tick all the applicable options)
- | | | |
|----|---------------------------------------|-----|
| a. | file tracking card | [] |
| b. | file tracking register | [] |
| c. | computerised system | [] |
| d. | memory | [] |
| e. | physical checking of files on shelves | [] |
| f. | subject index | [] |
| e. | other, please specify | [] |
-
.....
38. Do you have procedures governing file tracking?
- | | | |
|----|-----------------------|-----|
| a. | yes | [] |
| b. | no, go to question 41 | [] |
39. If yes, which of the following aspects of file tracking do they cover? (Please tick all the applicable options)
- | | | |
|----|---|-----|
| a. | who has authority to use files | [] |
| b. | recording the circulation of files | [] |
| c. | movement of files among action officers | [] |
| d. | how long action officers may retain files | [] |
| e. | responsibility for documentation | [] |
| f. | other, please specify | [] |
-
.....
40. Do you establish the information needs of your users?
- | | | |
|----|-----------------------|-----|
| a. | yes | [] |
| b. | no, go to question 43 | [] |
41. If yes, which of the following do you use to determine the information needs of users? (Please tick all the applicable options)
- | | | |
|----|----------------------------|-----|
| a. | interviews (face-to-face) | [] |
| b. | questionnaire | [] |
| c. | informal conversations | [] |
| d. | newsletter | [] |
| e. | other, please specify | [] |
-
.....
42. Do you face any problems in providing access to records?
- | | | |
|----|-----------------------|-----|
| a. | yes | [] |
| b. | no, go to question 45 | [] |
43. If yes, which of the following problems do you face in providing access to records? (Please tick all the applicable options)
- | | | |
|----|--|-----|
| a. | registry staff do not understand users needs | [] |
| b. | users know little about registry operations | [] |

- c. registry staff lack training []
 - d. action officers retaining files []
 - e. files being bulky []
 - f. files torn and dusty []
 - g. poor registry layout []
 - h. mix-up of active and inactive files []
 - i. other, please specify []
-
-

44. Do you conduct performance measurement of registry services provided to clients?
- a. yes []
 - b. no, go to question 47 []
45. If yes, which of the following indicates the need for conducting performance measurement of registry services provided to clients? (Please tick all the applicable options)
- a. identify problems at an early stage []
 - b. monitor performance trends []
 - c. demonstrate achievement of objectives []
 - d. indicate how well resources have been used []
 - e. provide a source of publicity about achievements []
 - f. support increases/decreases in resources []
 - g. raise the profile of the registry []
46. Which of the following aspects do you consider in measuring the quality of service provided by the registry (Please tick all the applicable options)
- a. time taken to retrieve files []
 - b. time taken to deliver files to action officers []
 - c. levels of user satisfaction []
 - d. efficiency of access and retrieval aids []
 - e. accuracy of registry service []
 - f. other, please specify []
-
-
47. Do you have a plan for improving the management of current records?
- a. yes []
 - b. no, go to question 50 []
48. If yes, which of the following activities does your plan for improving the management of current records cover? (Please tick all the applicable options)
- a. space planning []
 - b. filing and retrieval []
 - c. file tracking []

- d. file security []
- e. file preservation []
- f. appraisal and disposition []
- g. other, please specify []

.....

Section 3: Forms Management

49. Do you have a forms management programme?
- a. yes []
 - b. no, go to question 57 []
50. If yes, which of the following explains the need for a forms management programme in your ministry?
- a. enhance the flow of work
yes [] no [] uncertain []
 - b. increase operational efficiency and effectiveness
yes [] no [] uncertain []
 - c. reduce cost
yes [] no [] uncertain []
 - d. organise, collect and transmit information
yes [] no [] uncertain []
 - e. other, please specify
-

51. Which of the following indicates the objectives of your form management programme? (Please tick all the applicable options)
- a. determine forms are up to date []
 - b. enhance information processing []
 - c. ensure instructions for use are clear []
 - d. specify most economical method of production []
 - e. ensure their availability when needed []
 - f. other, please specify []
-

52. Does your forms management programme incorporate forms control?
- a. yes []
 - b. no, go to question 55 []
53. If yes, which of the following constitutes the forms control programme? (Please tick all the applicable options)
- a. forms analysis []
 - b. design and production []
 - c. reproduction, stocking and control []
 - c. other, please specify []

-

54. Do you have a checklist for forms design?
- a. yes []
 b. no, go to question 57 []
55. If yes, which of the following statements is true or false?
- a. each form is given a title to distinguish it
 yes [] no [] uncertain []
- b. each form is given a serial number
 yes [] no [] uncertain []
- c. instructions for completing form are given
 yes [] no [] uncertain []
- d. form is arranged in a logical order
 yes [] no [] uncertain []
- e. sufficient space to enter information is provided
 yes [] no [] uncertain []
- g. other, please specify

Section 4: Directives Management

56. Do you have a directives management programme?
- a. yes []
 b. no, go to question 63 []
57. If yes, which of the following are included in your directives management programme? (Please tick all the applicable options)
- a. office notices []
 b. bulletins []
 c. board notices []
 d. management statements []
 e. circulars []
 f. policies []
 g. other, please specify []

58. Which of the following purposes are served by the directives management programme in your ministry?
- a. guiding staff yes [] no [] uncertain []
 b. instructing staff yes [] no [] uncertain []
 c. informing staff yes [] no [] uncertain []
 d. achieving consistency in decision-making
 yes [] no [] uncertain []

h. other, please specify

.....

59. Which of the following indicates the nature of your directives management system? (Please tick all the applicable options)

- a. centralised []
 b. decentralised []
 c. combination of centralised and decentralised []
 d. other, please specify

.....

60. Do you have a directives management checklist?

- a. yes []
 b. no, go to question 63 []

61. If yes, which of the following statements are true or false regarding your directives management checklist?

- a. checklist provides for review of directives
 true [] false []
 b. there exists a directives index
 true [] false []
 c. there exists a directives classification scheme
 true [] false []
 e. provides for a coding scheme
 true [] false []
 e. provides criteria for format and standardization
 true [] false []
 f. provides guidelines for the reproduction, distribution and stock of directives
 true [] false []
 f. other, please specify

.....

Section 5: Reports Management

62. Do you have a reports management programme?

- a. yes []
 b. no, go to question 69 []

63. Which of the following indicates the need for a reports management programme in your ministry? (Please tick all the applicable options)

- a. identification of staff information needs []
 b. economical processing of reports []
 c. prevent and eliminate unnecessary reports []
 d. reduction of reports management costs []

- d. classifying mail
- e. filing mail
- f. delivery of mail to action officers
- g. control of mail movement
- h. security grading of mail
- i. other, please specify

.....

70 Which of the following indicates the type of incoming mail received in the registry? (Please tick all the applicable options)

- a. officially addressed registered mail
- b. personally addressed mail
- c. officially addressed mail
- d. other, please specify

.....

71. Which of the following actions do you take when opening incoming mail? (Please tick all the applicable options)

- a. check address on envelope
- b. date-stamping
- c. extract mail
- d. account for all enclosures (if attached)
- e. other, please specify

.....

72. Do you record received mail in an inward mail register?

- a. yes
- b. no, go to question 76

73. If yes, which of the following indicates the need for recording received mail in an inward mail register? (Please tick all the applicable options)

- a. provide evidence of received mail
- b. discourage dishonest registry staff from removing or destroying mail
- c. attend to complaints of delay due to lack of action
- d. trace letters whose subject is not stated
- e. trace wrongly filled mail
- f. other, please specify

.....

74. Which of the following information is recorded in the inward mail register? (Please tick the applicable options)

- a. senders name

- b. senders address []
 - c. senders designation []
 - d. mail subject []
 - e. mail reference number []
 - f. file reference on which mail is filled []
 - g. other, please specify []
-
-

75. Do you have procedures for circulating mail to action officers?
- a. yes []
 - b. no, go to question 78 []
76. If yes, which of the following indicates the reasons for mail circulation to action officers? (Please tick all the applicable options)
- a. have immediate knowledge of mail received []
 - b. when action officer requests to see mail []
 - c. when requested as a "Bring Up Action" []
 - d. give instructions on necessary action []
 - e. other, please specify []
-
-
77. Which of the following means do you use to circulate mail to action officers? (Please tick all the applicable options)
- a. distinctive folder []
 - b. attached to clipboard []
 - c. other, please specify []
-
-
78. Do you indicate a folio number on mail?
- a. yes []
 - b. no []
79. Do you indicate a cross reference number on mail?
- a. yes []
 - b. no []
80. Do you have tools to control the movement of mail?
- a. yes []
 - b. no, go to question 83 []
81. If yes, which of the following tools you use to control the movement of mail? (Please tick all the applicable options)
- a. file movement card []
 - b. systematic searches []
 - c. daily list of wanted files []
 - d. other, please specify []

.....

82. Do you indicate the security classification of mail in your registry?

- a. yes []
 b. no, go to question 85 []

83. If yes, which of the following indicates the security classification of mail in your registry? (Please tick all the applicable options)

- a. top secret []
 b. secret []
 c. confidential []
 d. restricted []
 e. open []
 f. other, please specify []

.....

84. Which of the following indicates the need for security classification of mail in your registry?(Please tick all the applicable options)

- a. protect confidential information []
 b. protect loss of information []
 c. protect the interests of your ministry []
 d. other, please specify []

.....

85. Do you have a secret registry where non open files are kept?

- a. yes []
 b. no []

86. Do you have procedures for managing outgoing mail?
- a. yes []
- b. no, go to question 92 []
87. If yes, which of the following indicates the actions taken on outgoing mail? (Please tick all the applicable options)
- a. mail signed by action officers []
- b. mail are date stamped []
- c. correct reference number indicated []
- d. subject clearly indicated []
- e. correct address indicated []
- f. postal expenses entered in the postal register []
- g. mail entered in the dispatch book []
- h. copy of mail filled []
- i. other, please specify []
-
-
88. Do you enter mail in the outgoing mail register?
- a. yes []
- b. no, go to question 92 []
89. If yes, which of the following information is recorded in the outgoing mail register? (Please tick all the applicable options)
- a. date of letter []
- b. file reference number []
- c. subject []
- d. to whom letter is sent []
- e. other, please specify []
-
-

Section 7: Records Storage

90. Which of the following do you mainly use to store current records? (Please tick all the applicable options)
- a. wooden racks []
- b. steel cabinets []
- c. cupboards []
- d. adjustable shelves []
- e. non adjustable shelves []
- f. floor []
- g. other, please specify []

-

91. Which of the following explains where semi-current records are kept?
 (Please tick all the applicable options)
- a. in the shelves with current records []
 - b. in a separate room designed for such use []
 - c. in a separate room not designed for such use []
 - d. on the floors []
 - e. other, please specify []
-

92. Where do you keep your non-current records? (Please tick all the applicable options)
- a. in a separate room designed for that purpose []
 - b. in a separate room not designed for that purpose []
 - c. on the shelves together with current and semi-current records []
 - d. on the shelves together with semi-current records []
 - e. other, please specify []
-

93. Does the equipment used sufficiently cater for records storage?
- a. yes, go to question 97 []
 - b. no []
94. If no, which of the following problems do you face in storing records? (Please tick all the applicable options)
- a. torn and dusty files []
 - b. unauthorised access []
 - c. loss of files []
 - d. loss of file folios []
 - e. torn file covers []
 - f. other, please specify []
-

95. Is there any problem of space for storing records?
- a. yes []
 - b. no []
96. Do you monitor temperature and relative humidity in the record storage area?
- a. yes []
 - b. no, go to question 100 []

97. If yes, which of the following do you use to monitor temperature and relative humidity in the record storage area?(Please tick all the applicable options)
- | | | |
|----|-----------------------------------|-----|
| a. | hygrothermograph | [] |
| b. | whirling hygrometer | [] |
| c. | thermometer | [] |
| d. | relative humidity strips of paper | [] |
| e. | sling psychrometer | [] |
| f. | dataloggers | [] |
| g. | other, please specify | [] |
-
.....
98. Do you control temperature and relative humidity in the record storage area?
- | | | |
|----|------------------------|-----|
| a. | yes | [] |
| b. | no, go to question 102 | [] |
99. If yes, which of the following do you use to control temperature and relative humidity in the record storage area?(Please tick all the applicable options)
- | | | |
|----|-------------------------------------|-----|
| a. | fans to ensure good air circulation | [] |
| b. | use of dehydrating agents | [] |
| c. | use of dehumidifiers | [] |
| d. | air conditioning | [] |
| e. | other, please specify | [] |
-
.....
100. Do you control light in the record storage area?
- | | | |
|----|------------------------|-----|
| a. | yes | [] |
| b. | no, go to question 104 | [] |
101. If yes, which of the following do you use to control light in the record storage area?(Please tick all the applicable options)
- | | | |
|----|--|-----|
| a. | providing windows with blinds and curtains | [] |
| b. | use of incandescent lights | [] |
| c. | fitting fluorescent light tubes with light diffusers and filters | [] |
| d. | other, please specify | [] |
-
.....
102. Have you experienced pest infestations in the record storage area?
- | | | |
|----|------------------------|-----|
| a. | yes | [] |
| b. | no, go to question 106 | [] |

103. If yes, which of the following pests have you experienced in the record storage area? (Please tick all the applicable options)
- | | | |
|----|-----------------------|-----|
| a. | silverfish | [] |
| b. | termites | [] |
| c. | booklice | [] |
| d. | bookworms | [] |
| e. | rats | [] |
| f. | mice | [] |
| g. | cockroaches | [] |
| h. | other, please specify | [] |
-
.....
104. Do you control pest infestations in the record storage area?
- | | | |
|----|------------------------|-----|
| a. | yes | [] |
| b. | no, go to question 108 | [] |
105. If yes, which of the following do you use to control pest infestations in the record storage area?(Please tick all the applicable options)
- | | | |
|----|---|-----|
| a. | thorough vacuuming of the record storage area | [] |
| b. | removing debris regularly | [] |
| c. | regular inspection of the record storage area | [] |
| d. | use of insect repellent chemicals | [] |
| e. | use of fumigation | [] |
| f. | use of pesticides | [] |
| g. | use of traps | [] |
| h. | sealing all cracks within the record storage area | [] |
| i. | other, please specify | [] |
-
.....
106. Do you control fungi infestation in the record storage area?
- | | | |
|----|------------------------|-----|
| a. | yes | [] |
| b. | no, go to question 110 | [] |
107. If yes, which of the following do you use to control fungi infestation in the record storage area?(Please tick all the applicable options)
- | | | |
|----|--|-----|
| a. | regulating temperature and relative humidity | [] |
| b. | maintaining air circulation in the record storage area | [] |
| c. | sterilising record room using chemicals | [] |
| d. | regular inspection of the record storage area | [] |
| e. | regular cleaning of the record storage area | [] |
| f. | other, please specify | [] |
-
.....
108. Which of the following statements are true or false regarding your records storage programme?
- | | | | |
|----|--------------------------------|----------|-----------|
| a. | considers records to be stored | true [] | false [] |
|----|--------------------------------|----------|-----------|

- b. considers the records medium true [] false []
 c. considers levels of security true [] false []
 d. considers levels of confidentiality true [] false []
 e. considers environmental conditions true [] false []
 f. considers levels of service to be provided true [] false []
 f. design and layout appropriate true [] false []
 g. purpose built true [] false []
 h. other, please specify

.....

Section 8: Records Inventory

109. Do you conduct a records inventory?
 a. yes []
 b. no, go to question 117 []
110. If yes, which of the following indicates the purpose of the records inventory? (Please tick all the applicable options)
 a. identify all records series []
 b. determine extent of records use []
 c. devise retention schedules []
 d. identify user's information needs []
 e. establish record format []
 f. identify and resolve recordkeeping problems []
 g. raise the profile of records management []
 h. other, please specify []
-

111. Which of the following records are covered in the records inventory? (Please tick all the applicable options)
 a. current records []
 b. semi-current records []
 c. non-current records []
 d. current, semi-current and non-current records []
 e. other, please specify []
-

112. Which of the following methods do you use in conducting a records inventory? (Please tick all the applicable options)
 a. questionnaire []
 b. physical checking []
 c. committee []
 e. other, please specify []

.....
.....

113. Do you use a records inventory checklist when conducting a records inventory?

- a. yes []
b. no, go to question 117 []

114. If yes, which of the following information is included in the records inventory checklist when conducting a records inventory?(Please tick all the applicable options)

- a. volume of records []
b. format in which information is recorded []
c. creation and distribution paths []
d. filing systems []
e. storage systems []
f. types of forms, reports, and directives []
g. legal retention periods []
h. vital records programme []
i. manuals, policies and procedures []
j. other, please specify []

.....
.....

- b. standing instructions
- c. other, please specify

.....

120. What types of retention schedules do you prepare?
- a. functional retention schedule
- b. departmental retention schedule
- c. other, please specify

.....

121. Once retention schedules are developed, do you monitor and ensure their implementation?
- a. yes
- b. no, go to question 76

122. If yes, which of the following explains why you monitor and ensure the implementation of retention schedules once developed? (Please tick all the applicable options)
- a. ensure that retention periods are realistic
- b. remove records no longer in existence
- c. add new records to the schedule
- d. other, please specify

.....

123. Which of the following records are appraised using standing instructions?
- a. personnel records
- b. financial records
- c. other, please specify

.....

124. Which of the following statements indicates the nature of appraisal and retention scheduling in your ministry? (Please tick all the applicable options)
- a. confirms the value of records before their destruction
- b. develops record retention schedules in consultation with the Kenya National Archives and Documentation Service
- c. prepares a list of records that are due for destruction
- d. transfers records with value to the Kenya National Archives and Documentation Service
- e. other, please specify

.....

Section 10: Records Disposition

125. Do you have a records disposition programme?
- a. yes []
- b. no, go to question 136 []
126. If yes, which of the following indicates the nature of your records disposition programme? (Please tick all the applicable options)
- a. transfer to archives []
- b. physical destruction of records []
- c. conversion to another medium []
- d. other, please specify []
-
-
127. Do you destroy records which have been appraised and earmarked for destruction?
- a. yes []
- b. no []
128. Which of the following methods do you use for the destruction of confidential records? (Please tick all the applicable options)
- a. shredding []
- b. chemical destruction (maceration) []
- c. pulping []
- d. burning []
- e. other, please specify []
-
-
129. Do you prepare a records disposition certificate once the records are destroyed?
- a. yes []
- b. no, go to question 135 []
130. If yes, which of the following information is included in the records disposition certificate?(Please tick all the applicable options)
- a. record group []
- b. record series []
- c. destruction method []
- d. date of destruction []
- e. name of officer carrying out the destruction []
- e. name of officer witnessing destruction []
- f. other, please specify []
-
-
131. Which of the following instruments guide records disposition in your ministry?

(Please tick all the applicable options)

- a. retention schedules
- b. Ministry policy
- c. Public Archives and Documentation Service Act Cap 19
- d. other, please specify

.....

Section 11: Disaster Management and Security Control

132. Do you have a vital records programme?
- a. yes
- b. no, go to question 164

133. If yes, which of the following indicates the need for a vital records programme? (Please tick all the applicable options)

- a. identify potential hazards
- b. identify vital records
- c. develop records protection measures
- d. develop appropriate vital records storage facilities
- e. assign responsibility
- f. audit and test programme procedures
- g. other, please specify

.....

134. Do you have a criterion for evaluating potential hazards?
- a. yes
- b. no, go to question 140

135. If yes, which of the following criteria do you use to evaluate potential hazards? (Please tick all the applicable options)

- a. environmental
- b. vulnerability of records
- c. unpopularity of records
- d. sensitivity of records
- e. other, please specify

.....

136. Which of the following indicates the disasters that are likely to affect your records? (Please tick all the applicable options)

- a. pest infestation
- b. leaking roof
- c. floods
- d. unauthorised intrusion
- e. food and drink in record storage area
- f. computer system failure
- g. explosions

- h. bomb threats []
- i. sabotage []
- j. tsunamis []
- k. other, please specify []

.....

137. Do you have an in-house vital records protection programme?
- a. yes []
 - b. no, go to question 143 []

138. If yes, which of the following methods do you use for vital records protection? (Please tick all the applicable options)
- a. offsite storage []
 - b. duplication []
 - c. microfilming []
 - d. digitisation []
 - d. other, please specify []

.....

139. Which of the following institutions do you mainly use for your vital records protection? (Please tick all the applicable options)
- a. Kenya National Archives and Documentation Service []
 - b. Private firms []
 - c. other, please specify []

.....

140. Do you have a disaster management plan?
- a. yes []
 - b. no, go to question 146 []

141. If yes, which of the following explains the need for a disaster management plan? (Please tick all the applicable options)
- a. minimize disruption of normal business []
 - b. prevent further escalation of the disruption []
 - c. minimize economic impact of the disaster []
 - d. train personnel with emergence procedures []
 - e. salvage records []
 - f. other, please specify []

.....

142. Which of the following aspects does the disaster management plan cover?
 (Please tick all the applicable options)

- a. disaster preparedness []
 b. disaster prevention []
 c. disaster protection []
 d. disaster recovery []
 e. other, please specify []

143. Do you have a disaster prevention checklist?
 a. yes []
 b. no, go to question 149 []
144. If yes, which of the following disasters does your disaster prevention checklist cover? (Please tick all the applicable options)
 a. pests []
 b. leaking roof []
 c. floods []
 d. fire []
 e. explosions []
 f. data failure due to viruses and hacking []
 g. other, please specify []

145. Do you have a fire detection system in the record storage area?
 a. yes []
 b. no, go to question 151 []
146. If yes, is the fire detection system connected to a central monitoring facility?
 yes [] no [] uncertain []
147. Which of the following types of fire detection systems do you have in the record storage area?(Please tick all the applicable options)
 a. ionization detectors []
 b. smoke detectors []
 c. flame detectors []
 d. thermal detectors []
 e. other, please specify []

148. Do you have fire suppression systems in the record storage area?
 a. yes []
 b. no, go to question 154 []
149. If yes, which of the following types of fire suppression system do you have in the record storage area?(Please tick all the applicable options)
 a. gas based []
 b. water based []

- c. other, please specify

150. Which of the following gas based fire suppression system do you have in the record storage area? (Please tick all the applicable options)

- a. carbon dioxide []
- b. halon []
- c. foam []
- d. other, please specify

151. Which of the following water based fire suppression systems do you have in the record storage area?(Please tick all the applicable options)

- a. standpipe system []
- b. portable system []
- c. automatic sprinkler []
- d. other, please specify

152. Have you received training in fire fighting techniques?

- a. yes []
- b. no, go to question 158 []

153. If yes, which of the following conducted the training in fire fighting techniques?(Please tick all the applicable options)

- a. Nairobi City Council Fire Brigade []
- b. private firms specialised in fire fighting []
- c. own staff []
- d. other, please specify

154. Which of the following constitutes the training programme received in fire fighting techniques?(Please tick all the applicable options)

- a. risk analysis []
- b. fire planning []
- c. equipment installation []
- d. fire prevention []
- e. fire awareness []
- f. fire control []
- h. equipment servicing []
- i. other, please specify

155. Is the fire fighting equipment inspected regularly?

- a. yes []
 b. no, go to question 162 []
156. If yes, how often is the fire fighting equipment regularly inspected?
 a. once a year []
 b. twice a year []
 c. rarely []
 d. other, please specify []

157. Which of the following does the inspection of the fire fighting equipment? (Please tick all the applicable options)
 a. Nairobi City Council Fire Brigade []
 b. private fire firms []
 c. own staff []
 d. other, please specify []

158. Do you have a disaster management committee
 a. yes []
 b. no, go to question 164 []
159. If yes, which of the following constitutes the main activities of the disaster management committee? (Please tick all the applicable options)
 a. establishing types of disasters []
 b. financial planning []
 c. risk assessment []
 d. disaster preparedness []
 e. disaster reaction []
 f. disaster recovery []
 g. managing disasters []
 h. other, please specify []

Section 12: Provision of Professional Records Management Advice by Kenya National Archives and Documentation Service (KNADS) Staff

160. Are you aware of the existence of the KNADS?
 a. yes []
 b. no []
161. Do you receive professional records management advice from the KNADS staff?

- a. yes
- b. no, go to question 170

162. If yes, which of the following indicates areas of professional records management advice given by the KNADS? (Please tick all the applicable options)

- a. registry management
- b. reports management
- c. forms management
- d. directives management
- e. files management
- f. preservation of records
- g. records security
- h. disaster management
- h. other, please specify

.....

163. Which of the following means do you use to contact KNADS staff when seeking professional records management advice? (Please tick all the applicable options)

- a. personal visits
- b. correspondence
- c. fax
- d. email
- e. telephone
- f. other, please specify

.....

164. Do you face any problems when seeking professional records management advice from the KNADS?

- a. yes

b. no, go to question 170 []

165. If yes, which of the following problems do you face when seeking professional records management advice from the KNADS? (Please tick all the applicable options)

a. non-response []

b. delays in response []

c. uncooperative staff []

d. other, please specify

.....

Section 13: Computer Applications in Records Management

166. Do you have computers in the registry?

a. yes []

b. no, go to question 193 []

167. Are the computers networked?

a. yes []

b. no, go to question 173 []

168. If yes, what type of computer network do you have?(Please tick all the applicable options)

a. Local Area Network []

b. Wide Area Network []

c. other, please specify

.....

169. Are you using computers to create records?

a. yes []

b. no, go to question 193 []

170. Which of the following types of electronic records do you create?
 (Please tick all the applicable options)

175. Which of the following medium do you use for the storage of electronic records? (Please tick all the applicable options)
- | | | |
|----|--------------------------|-----|
| a. | mainframe storage | [] |
| b. | network attached storage | [] |
| c. | PC hard drives | [] |
| d. | magnetic tape | [] |
| e. | CD-ROMS | [] |
| f. | WORMS | [] |
| g. | other, please specify | [] |
-
.....
176. Do you have a standard procedure for labelling storage devices such as diskettes, magnetic tapes and compact disks?
- | | | |
|----|-----|-----|
| a. | yes | [] |
| b. | no | [] |
177. Which of the following methods do you use to ensure the security of electronic records? (Please tick all the applicable options)
- | | | |
|----|---------------------------|-----|
| a. | passwords | [] |
| b. | login procedures | [] |
| c. | access levels | [] |
| d. | firewalls | [] |
| e. | gateway filter software | [] |
| f. | online / offline storage | [] |
| g. | audit trails to track use | [] |
| h. | encryption techniques | [] |
| i. | other, please specify | [] |
-
.....
178. Do you appraise electronic records?
- | | | |
|----|-----|-----|
| a. | yes | [] |
| b. | no | [] |
179. Do you have procedures for appraisal of electronic records?
- | | | |
|----|-----|-----|
| a. | yes | [] |
| b. | no | [] |
180. Do you have procedures for the disposal of electronic records?
- | | | |
|----|------------------------|-----|
| a. | yes | [] |
| b. | no, go to question 186 | [] |
181. If yes, which of the following methods do you use for the disposal of electronic records? (Please tick all the applicable options)
- | | | |
|----|--------------|-----|
| a. | deleting | [] |
| b. | reformatting | [] |

- c. re-writing disk
- d. crushing disk
- e. other, please specify

.....

182. Which of the following methods do you use for long-term preservation of electronic records? (Please tick all the applicable options)

- a. migration to another medium
- b. preservation of hardware
- c. preservation of software
- c. print to paper
- d. other, please specify

.....

183. Which of the following explains how computers assist in managing records? (Please tick all the applicable options)

- a. enhanced storage
- b. enhanced retrieval
- c. enhanced access
- d. enhanced use
- e. enhanced security
- f. enhanced preservation
- g. enhanced communication
- h. report generation
- i. other, please specify

.....

184. Do you face challenges in managing electronic records?

- a. yes
- b. no, go to question 190

185. If yes, which of the following indicates the challenges do you face in managing electronic records? (Please tick all the applicable options)

- a. capturing metadata
- b. hardware and software dependency
- c. changing technology
- d. authenticity of electronic records
- e. liability of electronic records
- f. legal admissibility of electronic records

- g. preservation of data
- h. security of data
- i. lack of computer skills
- j. users lack of computer skills
- k. lack of policy
- l. other, please specify

-

- 186 Do you have a records management committee in your ministry?
 a. yes []
 b. no, go to question 193 []
- 187 If yes, which of the following constitutes members of the records committee in your ministry? (Please tick all the applicable options)
 a. permanent secretary or designated officer []
 b. chief finance officer or designated officer []
 c. chief personnel officer or designated officer []
 d. director, KNADS or designated officer []
 e. registry superintendent []
 f. other, please specify []

188. Which of the following indicates the main functions of the records committee in your ministry? (Please tick all the applicable options)
 a. developing records management policy []
 b. preparing records management budget []
 c. preparing disaster management programme []
 d. training and developing registry staff []
 e. marketing records management []
 f. liaising with the KNADS to ensure effective management of records during their entire life-cycle []
 g. reviewing records management programmes []
 h. other, please specify []

Section 14: Education and Training

189. Have you received education and training in records management?
 a. yes []
 b. no, go to question 195 []
190. If yes, which of the following choices indicates your highest level of professional education and training in records management? (Please tick all the applicable options)
 a. advanced diploma []
 b. diploma []
 c. certificate []
 d. other, please specify []

191. Does your ministry run courses to update your knowledge and skills in records management?
- a. yes []
- b. no, go to question 198 []
192. If yes, have you attended any records management course run by your ministry in the last five years?
- a. yes []
- b. no, go to question 198 []
193. Please indicate the year, nature and institution that run the course.

Year	Nature of records management course	Institution running course
2003		
2002		
2001		
2000		
1999		

194. Which of the following best indicates your training needs in records management? (Please tick all the applicable options)
- a. managing paper records during their entire life cycle []
- b. managing electronic records during their entire life cycle []
- c. computer skills []
- d. computer applications in records management []
- e. changing role of registry []
- f. user needs analysis []
- g. role of archival institutions in managing public records []
- h. other, please specify []
-
-
195. Which of the following would be useful in meeting your training needs in records management? (Please tick all the applicable options)
- a. seminars and workshops []
- b. internships []
- c. use of consultants []
- d. training in records/archives schools and colleges []
- e. Kenya National Archives and Documentation Service []
- f. on the job training []

- g. publications in records management []
 h. other, please specify []

.....

Section 15: Additional Information

196. Do you consider records management as being key to the delivery of public services?

- a. yes []
 b. no []

197. Do current recordkeeping practices undermine public service delivery?

- a. yes []
 b. no []
 c. somehow []
 d. uncertain []

198. If yes, please provide examples of how current recordkeeping practices undermine public service delivery.

.....

199. Please provide any additional information that you feel can improve current recordkeeping practices to enhance public service delivery

- a.
 b.

Thank you very much for your time.

Please return the completed questionnaire to your registry supervisor for collection or to Mr. Henry N. Kemoni, Moi University, Faculty of Information Sciences, Department of Archives and Records management, Box 3900, Eldoret, Kenya. Telephone 0722611644, E-mail hkemoni@yahoo.com.

Appendix 2: Interview schedule for Senior Ministerial Officers on Records Management Practices and Public Service Delivery in Kenya

I am a PhD Candidate in the department of information studies programme at the University of Kwazulu - Natal, South Africa. As part of the degree requirement, I am conducting a study entitled "record management practices and public service delivery in Kenya".

The aim of the study is to examine record keeping practices in government ministries and in particular the extent to which record keeping practices affect public service delivery. It is hoped that the study recommendations will be used to guide the development of record keeping practices in government ministries.

The purpose of writing is to request you to set aside some time for an interview, which will enable me come up with factual and relevant data, relating to policy issues that affect recordkeeping practices in your ministry and the steps you are taking to improve recordkeeping practices, so as to deliver efficient public services.

Thanking you in advance for your time and support.

Henry N. Kemoni
Department of Archives and record management
Faculty of information Sciences
P.O. Box 3900, Eldoret, Kenya
Cell phone: 0722-611644
E-mail: hkemonia@yahoo.com

Background information

Ministry.....
 Designation.....
 Address.....
 Telephone.....
 Email.....
 Website.....
 Date of interview.....
 Place of interview.....

SECTION 1: MISSION, POLICY AND BUDGET

1. Do you consider records management as being essential in the attainment of your ministry's mission, vision and core values?
 Yes [] No []

2. Which of the following indicates how record managements is essential in the attainment of your ministry's mission, vision and core values
 - a. Enhances planning process []
 - b. Enhances Budgeting process []
 - c. Enhances human resources management []
 - d. Enhances good governance []
 - e. Enhances auditing processes []
 - f. Enhances service delivery []
 - g. Other, please specify

3. Does your ministry have a record management policy?
 Yes [] No []

4. If no to question 3, do you plan to enact a records management policy?
 Yes [] No []

5. Do you have a budget for the registry?
 Yes [] No []

6. If no, how does the registry fund its operations?

7. Which of the following depicts the state of registry funding over the last five years?
 - a. Increased []
 - b. Decreased []
 - c. Status quo remained []
 - d. Adequate []
 - e. Inadequate []

16. Do you face any challenges in collaborating with KNADS to enhance record keeping practices in your ministry?

Yes [] No []

17. Do you face any challenges in managing records in your ministry?

Yes [] No []

18. Which of the following factors contribute to the current state of recordkeeping in your ministry?

- | | |
|---|--------|
| a. Lack of records management policy | [] |
| b. Inadequate funding | [] |
| c. Inadequate trained registry staff | [] |
| d. Non-application of I.T in record management | [] |
| e. Lack of senior management support | [] |
| f. Inappropriate storage supplies and equipment | [] |
| g. Other, please specify | |

.....

19. Is your ministry taking any steps to address the challenges faced in managing records?

Yes [] No []

20. If yes, which of the following steps are you taking to address the challenges faced in managing records?.

- | | |
|--|--------|
| a. Training registry staff | [] |
| b. Marketing records management | [] |
| c. Enhancing contacts with the Kenya National Archives and Documentation Service | [] |
| d. Adopting computerization | [] |
| e. Seeking senior management support | [] |
| f. Increased registry funding | [] |
| g. Other, please specify | |

.....

21. What recommendations can you suggest to enhance record keeping practices in your ministry?

- a.
- b.
- c.
- d.
- e.

Thank you for your time and support

Appendix 3: Interview Schedule for Archives Personnel from Nairobi Records Centre and the Kenya National Archives and Documentation Service (KNADS) Headquarters

I am a PhD candidate in the Department of Information Studies programme, at the University of KwaZulu-Natal. As part of the degree requirement, I am conducting a study entitled "*Records management Practices and Public Service Delivery in Kenya*".

The aim of the study is to examine recordkeeping practices in government ministries, and in particular, the extents to which recordkeeping practices affect public service delivery. Among the objectives of the study is to establish the extent to which the KNADS has assisted registry personnel to manage records. The findings of the study will be shared with registry personnel, senior officers in charge of records management in government ministries and archives personnel from the KNADS.

The purpose of writing is to request you to set aside some time for an interview, which will enable me to come up with factual and relevant data to address the study objectives. All the information provided will be kept confidential, and used only for the current study. A research permit for this study was sought and obtained, and is hereby attached.

Thanking you in advance for your time and support.

Henry N. Kemoni

Moi University
Department of Archives and Records Management
Faculty of Information Sciences
Box 3900, Eldoret, Kenya
Cell phone 0722-611644
Email: hkemoni@yahoo.com

**Interview Schedule for Archivists from Nairobi Records Centre and
KNADS Headquarters:**

Background Information

Department.....
 Designation.....
 Address.....
 Telephone

Email.....

Website.....

Date of Interview.....

Place of Interview.....

Section 1: Provision of Records Management Advice to Registry Staff

1. Which of the following activities indicates your job description?
 - a. implementing the provisions of the Public Archives and Documentation Service Act Cap 19 []
 - b. conducting records surveys and appraisal []
 - c. preparation of record retention schedules []
 - d. providing advice on record disposition []
 - e. conducting training programmes for registry staff []
 - f. records management consultancy []
 - g. administration of record centre resources []
 - h. other, please specify []

.....

2. Do you provide professional records management advice to registry staff?
 - a. yes []
 - b. no, go to question 5 []

3. If yes, which of the following explains the areas of professional records management advice you provide to registry staff in government ministries?
 - a. records creation []
 - b. records distribution []
 - c. maintenance and use []
 - d. appraisal and disposition []
 - e. registry management []
 - f. records preservation and conservation []
 - h. registry lay out and design []
 - i. registry automation []
 - j. other, please specify []

.....

4. Provide statistics to indicate the year, ministry and nature of professional records management advice provided in the past five years. Please use the table provided below.

Year	Ministry	Nature of advice
2003		
2002		
2001		
2000		
1999		

5. Do you conduct record surveys in government ministries?
 a. yes []
 b. no, go to question 8 []
6. If yes, what issues do you cover when conducting records surveys in government ministries?
 a.....
 b.....
 c.....
7. How frequently do you conduct the records surveys?
 a. once a year []
 b. twice a year []
 c. upon request []
 d. other, please specify

8. Do you conduct records appraisal in government ministries?
 a. yes []
 b. no, go to question 10 []
9. If yes, which of the following criteria do you use when conducting appraisal in government ministries?
 a. value based, such as administrative and legal []
 b. functional []
 c. sampling []
 d. other, please specify

10. Do you assist registry staff to develop records retention schedules?
 a. yes []
 b. no []
11. Do you provide assistance to registry staff on how to dispose off records with no continuing value?
 a. yes []
 b. no, go to question 14 []
12. If yes, which of the following disposition methods do you advise registry staff to use for sensitive records?
 a. burning in ordinary fire []
 b. recycling []
 c. incineration []
 d. shredding []
 e. other, please specify

13. Which of the following methods do you advise registry staff to use for the disposition of non-sensitive records?
 a. pulping []
 b. recycling []
 c. incineration []
 d. shredding []
 e. other, please specify

14. Do you advise registry staff to consider security precautions when disposing off records?
 a. yes []
 b. no, go to question 16 []
15. If yes, which of the following indicates situations when registry staff is advised to consider security precautions in disposing off records?
 a. when transferring records to disposition facilities []
 b. when using private firms to dispose records []
 c. when disposing off confidential records []
 d. other, please specify

16. Do registry staff implement the advice you provide relating to management of their records?
 a. yes, go to question 18 []
 b. no []

17. If no, which of the following explains the reasons for non-implementation of advice provided to registry staff relating to the management of records?
- a. transfers of registry staff
 - b. lack of trained registry staff
 - c. lack of support from senior officers
 - d. low priority accorded to records management
 - e. lack of regular follow-ups by Nairobi Records centre Staff
 - f. non-enforcement of the provisions of the Public Archives and Documentation Service Act Cap 19.
 - g. Public Archives And Documentation Service Act does not give creators more responsibility in managing their records
 - h. other, please specify
.....
.....
18. Does provision of recordkeeping advice to registry staff enhance service delivery?
- a. yes
 - b. no, go to question 20
19. If yes, please provide examples of how provision of recordkeeping advice to registry staff enhances services delivery
- a.
 - b.

Section 2: Management of Electronic Records

20. Have you undertaken a survey to determine the amount of electronic records created in the public service?
- a. yes
 - b. no
21. Do you provide advice to registry staff on how to manage records in electronic formats?
- a. yes
 - b. no
22. Do you have an electronic records management programme for public sector records?
- a. yes
 - b. no, go to question 24
23. If yes, which of the following areas does it cover?
- a. management of electronic records during their entire life cycle
 - b. design and maintenance of electronic records systems

- c. transfer of electronic records deemed of archival value []
- d. identification of records with archival value which should remain with creating agencies []
- e. transfer of records management skills to registry staff []
- f. other, please specify []

24. Do you collaborate with other government IT professionals or agencies to develop programmes for managing electronic records in the public sector?
- a. yes []
- b. no, go to question 27 []
25. If yes, please indicate the names of the agencies involved.
- a.....
- b.....
- c.....
26. Which of the following areas does the collaboration with other government IT agencies cover?
- a. developing records management application software []
- b. running records management training programmes []
- c. planning and design of electronic systems []
- d. developing electronic records management standards []
- f. developing policy for managing electronic records []
- e. other, please specify []

27. Do you face particular challenges in providing advice relating to management of electronic records in government ministries?
- a. yes []
- b. no, go to question 29 []
28. If yes, which of the following indicates the challenges you face?
- a. not capturing electronic records when created
 yes [] no [] uncertain []
- b. lack of adequate IT training
 yes [] no [] uncertain []
- c. lack of adequate financial resources
 yes [] no [] uncertain []
- d. lack of adequate staff
 yes [] no [] uncertain []
- e. inadequacy of existing records and archives legislation
 yes [] no [] uncertain []

- f. business administrators not including recordkeeping requirements when developing and updating software
yes [] no [] uncertain []
- c. defining the role of system administrators and records managers
yes [] no [] uncertain []
- h. other, please specify

.....
.....

Section 3: Records and Archives Legislation

29. Does the Public Archives and Documentation Service Act Cap 19 in its current form, state the responsibilities of the Director, KNADS with regard to the management of public records?
- a. yes []
- b. no, go to question 31 []
30. If yes, which of the following indicates the responsibilities of the Director KNADS, with regard to the management of public records?
- a. examine public records and advise on their care []
- b. conduct record surveys and appraisals []
- c. require the transfer to his custody, public records with archival value []
- d. advise on preparation of record retention schedules []
- e. advise on records disposition []
- f. provide records management training []
- g. other, please specify []
-
.....
31. Does the Public Archives and Documentation Service Act Cap 19 in its current form, state the responsibilities of record creating agencies in managing their records?
- a. yes []
- b. no, go to question 33 []
32. If yes, which of the following constitutes the responsibilities of record creating agencies in managing their records?
- a. create records for the conduct of business []
- b. establish an active programme for the efficient management of records during their entire life-cycle []
- c. liaise with the Director, KNADS to manage records according to the provisions of the Public archives and Documentation Service Act cap 19 []
- d. establish safeguards against records removal or loss []
- e. establish cadre of record staff to manage records []
- f. promote records as a resource []
- g. other, please specify []

-

33. Does the Public Archives and Documentation Service Act Cap 19 in its current form, stress the continuity of records care during their entire life-cycle?
 a. yes
 b. no, go to question 35
34. If yes, please explain

35. Does the Public Archives and Documentation Service Act Cap 19 in its current form, establish partnership between record creating agencies and the Director, KNADS in managing records during their entire life-cycle?
 a. yes
 b. no, go to question 37
36. If yes, please explain

37. Does the Public Archives and Documentation Service Act Cap19 in its current form, cover the management of both paper and non paper based records?
 a. yes
 b. no
38. The Public Archives and Documentation Service Act Cap 19 in its current form, defines all records as government property
 true false
39. The Public Archives and Documentation Service Act Cap 19 in its current form, provides sufficient penalties for the wilful destruction or alteration of public records
 true false
40. The Public Archives and Documentation Service Act Cap 19 in its current form, gives sufficient authority to the director, KNADS to take custody of all public records
 true false
41. The Public Archives and Documentation Service Act Cap 19 in its current form, gives Director, KNADS authority to conduct research with respect to the improvement of recordkeeping in the public service
 true false

42. Does the Public Archives and Documentation Service Act Cap 19 in its current form, give the Director, KNADS authority to collect and disseminate information on technological developments relating to records management in public agencies?
- a. yes []
 b. no, go to question 44 []
43. If yes, please provide examples of technological developments relating records management disseminated to public creating agencies by the Director of KNADS
- a.
 b.
44. Has the Public Archives and documentation Service Act Cap 19 been revised since its enactment?
- a. yes []
 b. no, go to question 47 []
45. If yes, when was the Act revised?

46. What new clauses were introduced in the Act?
- a.
 b.
47. Does the Public Archives and Documentation Service Act Cap 19 in its current form, have strengths in relation to the management of public records?
- a. yes []
 b. no, go to question 49 []
48. If yes, please state the strengths of the Act
- a.
 b.
49. Does the Public Archives and Documentation Service Act Cap 19 in its current form, have weaknesses in relation to the management of public records?
- a. yes []
 b. no, go to question 51 []
50. If yes, please state the weaknesses of the Act
- a.
 b.

51. Are there clauses you could like introduced in the current Public Archives and Documentation Service Act Cap 19 to enhance management of public records?
- a. yes
- b. no, go to question 54
52. If yes, please state these clauses
- a.
- b.
53. Please indicate how the proposed new clauses can enhance management of public sector records in Kenya
- a.
- b.
54. Do opportunities exist which can be utilised by the Director, KNADS to enhance management of public records in Kenya using the current Public Archives and documentation Service Act Cap 19?
- a. yes
- b. no, go to question 56
55. If yes, which of the following indicates the opportunities which can be utilised by the Director, KNADS to enhance management of public records in Kenya using the current Public Archives and Documentation Service Act Cap 19?
- a. clamour for transparency and accountability in the public service
- b. e-government strategy
- c. new socio-political environment in Kenya
- d. the fight against corruption in the Kenyan public service
- e. on-going public sector reform programmes
- f. existence of training institutions in records management
- g. clamour for Freedom of Information Legislation Act
- h. other, please specify
-
-
56. Does the Director, KNADS face any particular threats (challenges) in using the current Public Archives and Documentation Service Act Cap 19 to manage public records in the Kenyan public Service?
- a. yes
- b. no, go to question 58
57. If yes, which of the following constitutes these threats (challenges)?
- a. inadequate professional staff to implement the provisions of Cap 19

- b. insufficient government funding []
- c. staff lacking adequate skill/competencies in IT []
- d. inadequate coo-operation from government officers []
- e. insufficient marketing of records management the Public service []
- f. no clear records management strategic direction []
- g. other, please specify []

.....

58. Does the Public Archives and Documentation Service Act Cap 19 in its current form, facilitate the management of public records?

- a. yes []
- b. no []

59. If yes or no, please give reasons for your answer

- a.
- b.

Section 4: Recommendations and Additional Information

60. What recommendations can you propose to enhance the management of record keeping practices in government ministries?

- a.
- b.

61. Please provide any additional information which you feel is important to the current study

- a.
- b.

Thank you very much for your time.

In case of further information relating to the current study, please contact me at the following address: Henry N. Kemoni, Moi University, Faculty of Information sciences, Department of Archives and Records management, Box 3900, Eldoret, Kenya. Telephone 0722-611644, E-mail hkemoni@yahoo.com

Appendix 4: Observation Checklist on Records Management Practices and Public Service Delivery in Kenya: Background Information

Name of Ministry.....

Address.....

Telephone.....

Email.....

Date of Observation.....

Observation Checklist

No	Items to be observed	Observation details
1	Record group Quantity Data range Media Format	
2	Filing Classification Arrangement	
3	Storage Equipment Layout and design Temporal rooms for storage of semi-current and non-current records	
4	Access and use File retrieval tools File tracking tools	
5	Records security Security measures	
6	Records preservation File wear and tear Presence of dust Eating food s and consuming drinks Leaking roof Fire- fighting equipment Vital records programme	

7	Appraisal and retention scheduling Presence of retention schedules Overdue records earmarked for disposal Records disposal certificates	
8	Computers Existence of computers No. of computers If networked Computer applications in records management	
9	Electronic records Storage equipment Back-ups	

.....
.....
10. Kindly provide suggestions which will help improve the quality of the questionnaire

.....
.....
11. Kindly provide suggestions which will help improve the quality of the interview schedule

.....
.....
Thank you for your time in pre-testing the research instruments. Kindly let me have your feedback using the following e-mail address:
hkemonia@yahoo.com

Appendix 6: Introductory Letter from School of Graduate Studies, Moi University



1/13/05 (5)

MOI UNIVERSITY
SCHOOL OF GRADUATE STUDIES

Tel: (053) 43061
Fax No: (053) 43292
Telex No. 35047 MOIVARSITY

P. O. Box 3900
Eldoret
KENYA

REF: MU/SGS/ACRK/45

12th January, 2005

The Permanent Secretary
Office of the President
P.O. Box 30510
NAIROBI

Dear Sir,

RE: KEMONI HENRY REG. NO. 204512724

The above named is a member of staff at Moi University, Faculty of Information Sciences and currently a D.Phil. student at the University of KwaZulu - Natal South Africa.

It is a requirement of his studies that he conducts research and produces a thesis in the sandwich programme. His research is entitled:-

"Records Management Practices and Public Service Delivery in Kenya."

Any assistance given to him to facilitate the successful conduct of his research shall be highly appreciated.

Yours faithfully,



BEN ONYANCHA
FOR: DEAN, SCHOOL OF GRADUATE STUDIES

/cs

Appendix 7: Research Authorization Letter From the Ministry of Education



REPUBLIC OF KENYA

MINISTRY OF EDUCATION SCIENCE AND TECHNOLOGY

Telegrams: EDUCATION", Nairobi

FAX No.
Telephone: 334411
NAIROBI

When replying please quote

JOGOO HGUSE
HARAMBEE AVENUE
P. O. Box 30040
NAIROBI

MOEST 13/001/29C 193

21st March, 2005

Henry N. Kemoni
C/O Moi University
P.O. BOX 3900
ELDORET

Dear Sir

RE: RESEARCH AUTHORISATION

Following your application for authority to carry out research on "Records management practices and public service delivery in Kenya", I am pleased to inform you that you have been authorised to conduct research in all Government Ministries for a period ending 30th December, 2005.

You are advised to report to the Heads of Departments of the respective Ministries you will visit before embarking on your research project.

It is noted that the research is a requirement in part fulfillment for the award of Ph.D Degree by the University of Kwazulu-Natal, South Africa.

Upon completion of your research project, you are expected to submit two copies of your research report to this Office

Yours faithfully


B. G. ADEWA
FOR: PERMANENT SECRETARY

**Appendix 8: Letter from Permanent Secretary, Ministry of Education to
Permanent Secretary, Ministries of Tourism, Wildlife and Energy**

MINISTRY OF EDUCATION, SCIENCE & TECHNOLOGY

Telegrams: EDUCATION", Nairobi

Fax No.
Telephone: 318581
When replying please quote



REPUBLIC OF KENYA

JOGOO HOUSE
HARAMBEE AVENUE
P. O. Box 30040
NAIROBI
KENYA

MOEST 13/001/29C 194

16th August, 2005

**The Permanent Secretary
Ministry of Tourism and Wildlife**

The Permanent Secretary ✓
Ministry of Energy

RE: RESEARCH PERMITS

This office allowed Mr. Henry Kemoni of Moi University to carry out research on "Records Management Practices Delivery in Kenya" vide our letter Ref. MOEST 13/001/29C 193 of 21st March, 2005.

While he has not encountered any problem in the course of his research in all Government Ministries, he has not been allowed to carry out the research in your Ministries on the grounds that research permits are issued by the Office of the President.

The purpose of this letter therefore is to let you know that research authorization functions were transferred from Office of the President to the Ministry of Education Science and Tech., which currently has the full mandate to issue such permits.

Kindly therefore allow the above student to complete his research in your respective Ministries.

B. O. ADEWA
FOR: PERMANENT SECRETARY

Appendix 9: Letter from the Director General of Archives, Government of India to Author

हवाई डाक द्वारा
BY AIR MAIL

No.F.16-1/2005-R.M.
Government of India
Ministry of Culture.
National Archives of India,
Janpath, New Delhi -110 001.
e-mail : archives@ren02.nic.in

Dated the 3 AUG. 2005

To,
Shri Henry N. Kemoni,
Lecturer,
Faculty of Information Sciences,
Department of Archives and Records Management,
Moi University,
P.O. Box No. 3900,
ELDORET, KENYA

Subject :- **Regarding Current state of Records keeping.**

Sir,

Please refer to your letter No. Nil dated 28th June 2005 seeking information in Records keeping in Public Sector Undertakings as well as Government Offices. In this connection I am to inform you that Government of India has passed Public Records Act in 1993 to be read with Public Records Rules, 1997. ¹This Act is applicable on all Government offices and Public Sector Undertakings, as its provisions cover the Records Management System to be followed by Records Creating Agencies. The Copies of the same are enclosed herewith for your use and perusal.

The Website address of National Archives of India is :

www.nationalarchives.nic.in

Yours faithfully,

G. Vasish

For Director General of Archives
Government of India

Encl. As above.

Appendix 10: List of Postal Addresses of Surveyed Ministries

1. **Office of the President**
Harambee Avenue,
P.O Box 30510-00100
Nairobi
Telephone: 22741
Research endorsement: Mrs. Clare Omollo, Deputy Secretary 1,
Administration
2. **Office of the Vice-President and Ministry of Home Affairs**
Jogoo House "A", Taifa Road
P.O Box 30520-00100
Nairobi
Research endorsement: Deputy Secretary Administration
3. **Ministry of Finance**
Treasury Building, Harambee Avenue
P.o Box 30007-00100
Nairobi
Research endorsement: Mrs. Onyimbo, Deputy Secretary,
Administration
4. **Ministry of Foreign Affairs**
Old Treasury Building
Harambee Avenue,
P.O Box 30551-00100
Nairobi
E-mail: mfapress@nbnet.co.ke
Website: www.mfa.go.ke
Research endorsement: Mrs. Kirundi, Senior Principal Personnel
Officer
5. **Ministry of Roads and Public Works**
Ministry of works Building, Ngong Road,
P.O Box 30260-00100
Nairobi
Telephone: 2723101
Research endorsement: Mrs. Eunice Miima, Deputy Secretary,
Administration
6. **Ministry of Education, Science and Technology**
Jogoo House "B"
Harambee Avenue
P.O Box 30040-00100
Nairobi
Telephone: 318581
Research endorsement: Mr. Opembe, Under-Secretary, Administration
7. **Ministry of Agriculture**
Kilimo House, Cathedral Road,
P.O Box 30028-00100
Nairobi
Telephone: 2718870

- Research endorsement: Mr. William Kerario, Deputy Secretary,
Administration
8. **Ministry of Livestock and Fisheries Development**
Kilimo House, Cathedral Road,
P.O Box 30028
Nairobi
Telephone: 2718870
Research endorsement: Mr. Ongechi, Principal Personnel Officer
9. **Ministry of Local Government**
Jogoo House "A", Taifa Road,
P.O Box 30004-00100
Nairobi
Telephone: 217474
Research endorsement: Deputy Secretary Administration
10. **Ministry of Gender, Sports, Culture and Social Services**
NSSF Building, Block "A", Eastern Wing
P.O Box 16936-00100
Nairobi
Telephone: 2727980-4
Research endorsement: Mr. Kaseswa, Deputy Secretary,
Administration
11. **Ministry of Water and Irrigation**
Maji House, Ngong Road
P.O Box 49720-00100
Nairobi
Telephone: 2716103
Research Endorsement: Ambassador John Mwaura, Senior Deputy
Secretary
12. **Ministry of Energy**
Nyayo House, Kenyatta Avenue
P.O Box 30582-00100
Nairobi
Telephone: 310112
Research endorsement: Mr. Fred Ngatia, Deputy Secretary,
Development
13. **Ministry of Trade and Industry**
Teleposta Towers, Kenyatta Avenue
P.O Box 30430-00100
Nairobi
Telephone: 331030
Research endorsement: Mrs. Khaoya, Deputy Secretary,
Administration
14. **Ministry of Lands and Housing**
Ardhi House, Ngong Road
P.O Box 30450-00100
Nairobi
Telephone: 2718050
Research endorsement: Mr. Muhoro, Deputy Secretary, Administration

15. **Ministry of Environment and Natural Resources**
Maji House, Ngong Road
P.O Box 30126-00100
Nairobi
Telephone: 2726103
Research endorsement: Mr. Ondicho, Senior Deputy Secretary,
Administration
16. **Ministry of Labor and Human Resource Development**
Social Security House, Bishop Road
P.O Box 40326-00100
Nairobi
Telephone: 2729800
Research endorsement: Mr. Biketi, Deputy Secretary, Administration
17. **Ministry of Cooperative Development and Marketing**
Social Security House, NSSF Building, Eastern Wing, Block "A"
P.O Box 30547-00100
Nairobi
Telephone: 2731531-9
Research endorsement: Mr. Wanasakami, Deputy Secretary,
Administration
18. **Ministry of Justice and Constitutional Affairs**
Cooperative Building
P.O Box 56057-00100
Nairobi
Telephone: 227461
Research endorsement: Mrs. Muiru, Undersecretary, Administration.

Appendix 11: Map of Kenya

Source: www.africantravelinc.com/aboutATI/Kenya.html