

**RECORDS MANAGEMENT PRACTICES IN THE
ADMINISTRATION OF PUBLIC INSTITUTIONS IN KENYA: A
CASE STUDY OF KENYA REINSURANCE CORPORATION
LIMITED**

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**A PROJECT SUBMITTED IN PARTIAL FULFILMENT OF THE
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DECLARATION

I declare, to the best of my knowledge that this research is my own original work and has not been presented in any institution for any award. All the sources used have also been properly acknowledged using the American Psychological Association (APA) referencing style and no work is plagiarized.

Signature_____

Date_____

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This research project has been submitted for examination with our approval as the university supervisors.

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DEDICATION

I dedicate this project to my family and especially my parents Mr. and Mrs. Nyamwamu for their relentless encouragement and comprehensive support throughout this project and the entire course.

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I would also wish to thank my colleagues for giving me a humble time to conduct this study. Most importantly, I would like to thank the Kenya Reinsurance Corporation for allowing me to conduct the research at the organization. In particular, a special acknowledgement to Mrs. Judy Njuguna, the head of the institution's Records department for her professional guidance during data collection. My gratitude also extends to my supervisors Dr. G. M. Kingori and Dr. Elisha Makori Ondieki for their tireless efforts towards ascertaining that my project was apt for this level.

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ABSTRACT

Records management is the gist of an organization because it is through records that an institution can provide a documentation of activities and plans. Records provide valuable information for critical decision making within organizations. However, organizational managers fail to recognize the contribution of effective records management practices in public administration. Therefore, the aim of this study was to investigate the role of records management practices in the administration of public institutions with reference to the Kenya Reinsurance Corporation. The specific objectives are: to find out the records management practices at Kenya Re, to establish the role of departmental heads in the management of records at Kenya Re, to examine the role of records management in facilitating accountability and transparency in organizational administration, and to establish an effective records management model at Kenya Re. The research employed the records continuum theoretical model and a mixed approach of both qualitative and quantitative methods to collect data. The research was conducted on a total population of 150 employees. The study sample included 50 members of staff. The sampling technique used was the stratified sampling technique with a non-probability sampling design, which enabled the identification of a sample that only included employees that directly dealt with records in the various departments at the institution. A questionnaire with carefully identified questions was used in gathering data from the sampled participants. The study findings show that classification and indexing are the most important records management practices undertaken to enable easy accessibility to information at the organization, heads of departments assist in managing operations at various departments regarding to records, and that effective management of records can enable easy access to information, fulfillment of financial requirement and accountability as well as effective organizational administration. The findings are of significance to managers, employees, and policy makers in matters regarding management of organizations.

LIST OF ABBREVIATIONS AND ACRONYMS

Kenya Re: Kenya Reinsurance Corporation

KICC: Kenyatta International Convention Centre

HODs: Heads of Departments

SPSS: Statistical Package for Social Sciences

CHAPTER ONE

INTRODUCTION AND BACKGROUND INFORMATION

1.1 Background of the Study

Chapter one provides an introduction to the current study by placing it within its context. Therefore, the chapter explores the modern business records management context which delves into the contemporary issues affecting records management. Later, the chapter provides the study context, problem statement, aim and objectives of the study, and research questions. The significance of the study are also detailed to illustrate the essence of the study findings. Lastly, the chapter provides the significance, assumption, scope of the study, and the limitations.

1.1.1 Modern Business Records Management

It is unmistakable that the pace of business activities within organizations in the contemporary society is increasing daily due to the evolving technology. The productivity involves volumes of both electronic and physical documents that contain critical information. In many cases, organizations do not understand the complexity of tasks involved in records management until they fail to access a vital record (Abdulrahman, 2015). Therefore, records play a significant role in the effective and efficient management of an organization because they store plans and implementation processes of an organization's services.

In both conventional and digital organizations, records stored in either electronic or physical form continue to be viewed as essential documents for administrative documentation. Records provide support for all activities carried out within organizations. Without proper records management, organizations cannot provide the necessary information and support, which in turn may lead to the loss of critical information in institutions. Proper records management practices are essential for an organization's administration and the smooth running of the operations. Records management involves the incorporation of various practices aimed at proper information management. It also entails the systematic control of all records an organization maintains during the course of their life cycle for the attainment of operational business needs, fiscal and statutory requirements, as well as, the expectation of stakeholders (The National Archives of Scotland, 2013). Effectual maintenance of corporate information enables fast, reliable and accurate access or retrieval of records. It also ensures that redundant information is timely damaged and that important historic records are efficiently protected. Systematic records management enables

organizations to; identify the records that they have, increase effectiveness and efficiency, support decision making, achieve business targets and objectives, meet regulatory and legislative requirements, protect the clients', employees', and stakeholders' interests, and be accountable. Consequently, records are critical legal and historical tools that are necessary for the effective running of an organization.

Records are valuable administration instruments without which an institution's operational functional and processes cannot be efficiently carried out. For instance, a successor to a certain organizational rank may need the institution's records to find his or her bearing when he or she takes over the new position. The new employee or successor can use such records to decide whether he or she will continue with the previous organizational leader's practices and techniques or modify them (Abdulrahman, 2015). Records play various roles in organizational administration because administrators and managers use them on routine basis to carry out various administrative roles such as decision making. Recorded information helps in enlightening and educating organizational managers and administrators on matters relevant to the organization. Records can also help in strategic plans and successful implementation of organizational processes. They can also serve as sources of research for information that can be used as evidence. Timely access of recorded information is essential for decision-making, planning, and organizational control. Public institutions in Kenya create, keep, and use records in their every day basis for administrative, legal, and audit functions among other purposes.

1.1.2 Context of the Study

Kenya Reinsurance Corporation Limited (Kenya Re) is one of the oldest reinsurer companies in East and Central Africa. The company was established in 1970 through a parliamentary Act. Since its establishment, the company has consistently and progressively provided reinsurance services to over 265 companies in 62 countries in Africa, Asia, and Middle East. The company operates under a statement of purpose to offer seamless stability, a corporate mission to provide risk management solutions that create value and secure the future for its stakeholders. In response to the above challenges, Kenya Re, has established a records management department to enable timely recording and retrieval of information. It has also allocated records champions in each department who maintain and manage information from the time it is created. Kenya

Re's core values include learning and innovation, integrity, service culture, teamwork, objectivity, and good corporate citizenship (Kenya Re, 2018). Therefore, given that the institution is a public institution, it fits the current study. The institution is also suitable and accessible as the researcher works as a records management staff at the company. Accessibility is a vital factor in ascertaining adequate data collection for analysis.

1.2 Statement of the Problem

Records are essential instruments in every organization particularly in reference to critical decision making including administrative decision making. Information contained in organizational records is the pillar of the institution's business activities. Without information, an institution's administration becomes incapacitated especially in its decision making. Globally, organizations' systems are expanding at unprecedented rates due to technological advancements and population increases (Abdulrahman, 2015). Similarly, organizational problems in relation to planning, administration, organization, control, and monitoring are also increasing resulting to the need for improved records management practices among institutional administrators, educationist, policy makers, and planners.

Records in public institutions suffer from likelihoods of loss due to improper storage, unprotected disaster, and random destruction. These organizations also lack control guidelines that cover the management of records from their creation to their disposal (Abdulrahman, 2015). The absence of guiding principles gives doubt as to how organizational professionals and administrators have been handling managerial decisions. Therefore, it is necessary to evaluate record management practices in public institutions to identify their role in the administrative functions of organizations.

At the Kenya Reinsurance Corporation, employees are facing various administrative challenges resulting from ineffective records management. For instance, at times, there are cases of missing or loss of records within the organization, which lead to wastage of so much time trying to locate them. The organization also lacks sufficient space to store some records given that new records are generated on a daily basis. Equally, the problem can be observed in literature as Bakare, Abioye, & Issa, (2016) also observe that there is a startling rate of loss and misplacement of records that contain useful information, which can guide in decision making, especially in public institutions. In another study, Abdulrahman (2015) also states that lack of effective records

management can lead to problems such as difficulties in information retrieval for administrative decision making, delays in staffs' salaries and fringe benefits, inaccurate demographic data and improper registration of employees, which may lead to missing out of employees on important communication.

As a result, it is apparent that effective records management has not been identified as an important administrative function, particularly at Kenya Re. In particular, the provision of adequate, appropriate, and timely information appears challenging at Kenya Reinsurance Corporation. The problem is alarming given that the institution is a recognized reinsurer of other reinsurance companies, implying that any errors could lead to significant financial losses to the republic of Kenya. Moreover, given that the researcher is part of the organization, the research findings will be part of her significant contribution to a vital management function that could be overlooked at the company. Therefore, there is a need for the acknowledgement of the essence of effective records management in organizational administration from the top management.

1.3 Aim of the Study

The aim of this study was to investigate the role of records management practices in the administration of public institutions with reference to the Kenya Reinsurance Corporation.

1.4 Objectives of the Study

The specific objectives of this study include:

- i) Examine the role of records management in facilitating accountability and transparency in organizational administration at Kenya Re
- ii) Assess the role of records management in expediting risk management at Kenya Re
- iii) Evaluate the contribution of records management in tracing organizational activities and progress at Kenya Re
- iv) Develop an effective records management model at Kenya Re

1.5 Research Questions

The research questions for this study are;

- i) What is the role of records management in facilitating accountability and transparency in organizational administration at Kenya Re?

- ii) What is the role of records management in expediting risk management at Kenya Re?
- iii) What is the contribution of records management in tracing organizational activities and progress at Kenya Re?
- iv) What is the effective records management model at Kenya Re?

1.6 Significance of the Study

The findings of this study are of significance practically, theoretically, and in policy development. Practically, the outcomes inform various stakeholders such as the management and employees of public institutions concerning the essence of a records management practices in critical organizational operations, including management. Theoretically, the study findings augment the body of knowledge by contributing to the literature on the significance of records management practices in organizational administration. Additionally, the study also boosts easy access to records through emphasizing on the significance of effective records management practices in organizational management. In policy making, the findings inform policy makers concerning organizational policies, including the incorporation and support of record management in an organization as a regulatory policy in an effort to enhance effective organizational administration.

1.7 Assumptions of the Study

- a) Organizations do not recognize the significance of records management in organizational running.
- b) Records management practices are important in the management of organizations.

1.8 Scope of the Study

This study only focuses on records management practices in the management of Kenya Reinsurance Corporation. It is therefore restricted to departments and divisions at the Kenya Reinsurance Corporation. The study is also limited to the study objectives that include investigating the role of records in risk management, finance and auditing, and tracing organizational activities and progress. The factors are essential administrative functions. Hence, an investigation of the role of records on these aspects will create insight on the study topic.

1.9 Limitations of the Study

An effective completion of this study was constrained by limitations of time, finances, and access to sufficient and effective secondary resources to augment the accessible information. Time limits resulted from tight schedules between work and family activities. However, this challenge was resolved through creation of time each day after work. Additional time was also acquired during the weekends. Another challenge was financial resources to conduct the research. The challenge was resolved through setting aside some income each month for research purposes. The challenge of secondary resource accessibility was resolved through gaining access to some academic sites such as Google Scholar, Google Books, and ProQuest which sufficiently supplemented the Library sources.

1.10 Operational Terms and Concepts

Record

A record refers to information that an organization or person creates, receives, and maintains as evidence in the process of business transaction or pursuance of legal obligations.

Record creation

Record creation entails the development of consistent regulations to ensure accessibility and integrity through deciding techniques to track and log records by following specified processes for the registration, classification, and indexing of information.

Record Preservation

Record preservation refers to all the operations and processes involved in the protection and stabilization of documents against deterioration or damage and in the treatment of deteriorated or damaged documents.

Recordkeeping

Recordkeeping refers to the making and maintenance of accurate and reliable proof of business operations through recorded information.

Records management

Records management refers to the incorporation of various practices aimed at the proper management of an organization's information. It also entails the systematic control of all the records of an organization during the course of their life cycle for the attainment of operational

business needs, fiscal and statutory requirements, as well as, the expectation of the community at large.

Reinsurer

Reinsurer refers to an organization that provides reinsurance services to other insurance companies.

1.11 Chapter Summary

This chapter has provided a comprehensive introduction and background to the study. The chapter highlights the existing knowledge gap on the importance of records management in organizational management creating a need for literature and empirical expansions. Thus, the chapter also identifies the guiding objectives. The significance, scope, assumptions, and limitations of the study have also been highlighted.

CHAPTER TWO

LITERATURE REVIEW

2.1 Introduction

Literature review is a description, comparison, and evaluation of the major arguments, theories, methodologies, themes, controversies, and approaches in scholarly literature on a particular subject. It provides a connection, comparison, contrast, and evaluation of arguments concerning the proposed subject including the aims, research questions, or hypothesis (Jesson, Matheson, and Lacey, 2011). Literature review aims at evaluating and examining what previous researchers have said about a particular topic and identifying the relevance of the previous information on the present work. It entails a compilation and evaluation of available research on a certain issue or topic that a researcher is writing or researching about. It enables a researcher to acquire an understanding about the topic he or she is interested in to identify how previous researchers have researched it and the key issues identified (Jesson, Matheson, and Lacey, 2011). Literature review also enables the identification of the research gap or what has not been said and filling it with new findings. Therefore, this chapter provides a detailed review of literature related to records management practices in public institutions. The chapter begins with a conceptualization of the term records management, then it evaluates records management practices in public institutions, and the significance of effective records management practices. Further, the chapter evaluates the role of sectional Heads of Departments in the management of records. Lastly, the chapter provides a conclusion that summarizes the chapter by identifying the emerging themes from the chapter.

2.2 Conceptualization of Records Management

To conceptualize the term records management, it is essential to define the term record. A record can be defined in terms of the information it contains or the tangible or physical format in which it is created. Hence, records differ in content, size, or format in which they appear. Akor and Udensi (2013) define a record as any source of information or document recorded, compiled, or stored in film or in written form. Coetzer (2012) also defines a record as information captured in any form; received or created regularly in the course of an organization's business or correspondence; and stored by the organization as evidence for organizational processes or activities. In the study context, a record can be defined as any information that is received,

created, and maintained as prove of processes that happened and when they happened as evidence for regulatory and legal obligations in any format as stated by the Kenya Reinsurance Corporation. Consequently, records are critical assets for an organization and without them, the organization cannot function efficiently. Therefore, effective records management is necessary for the maintenance of records in usable, storable, and retrievable forms.

Various researchers have shown effort in defining the term records management. For instance, Bakare, Abioye, and Issa (2016) define records management as a management field essential for the systematic control of record creation, reproduction, use, maintenance, and disposition. Bakare, Abioye, and Issa (2016) go ahead to argue that record management involves three steps through which records pass including current, non-current, and semi-current. The current phase involves the creation and use of records on a frequent basis. The non-current step involves a process where records are no longer used and sent to the archives after their appraisal. On the other hand, the semi-current stage involves the immediate phase that involves an occasional reference to records.

In another study, Coetzer (2012) defines records management as a field of management that is essential for the systematic and efficient control of creation, use, maintenance, receipt, and disposal of records. It involves the process of gathering and maintaining information and evidence related to business transaction and activities in record form. Hence, effective record management is vital for the care of records created in public organizations across the world. Coetzer (2012) further notes that, records management can be considered as a part of information management, which involves the processes of managing all information in an organization and the people, software, and hardware that are involved in providing the information. In this aspect, Coetzer emphasizes his definition of records management as a vital component of information management. He further stresses the relationship between information management and records management.

In their analysis of organizational performance and records management, Tagbotor, Adzido, and Agbanu (2015) state that records management entails a professional information management in physical form starting from the time an organization creates or receives records through their processing, storage, retrieval, as well as, distribution until their elimination or permanent retention in an organization's archives. Records are vital informational sources and are the only legally verifiable and reliable sources of data that can be used as evidence of actions, decisions,

and transactions in institutions. Therefore, organizational managers and employees require the recorded information in carrying out their official responsibilities and duties in an effective, efficient, and transparent manner (Tagbotor, Adzido, and Agbanu, 2015).

In Kenya, governmental regulation stipulates that all public organizations should create and preserve records in appropriate ways for use. The public archives and documentation service act in the laws of Kenya, chapter 19 (2003) emphasizes on the essence of good record keeping in public institutions for use by the public (Were, 2013). The International Commission of Jurists Kenya (2015) also provides a comprehensive evaluation of the Kenyan law that guides access to information. The law states that access to information is significant in ensuring transparency. For instance, *The Public Finance and Management Act* document regulations regarding access to information on matters regarding public finance (International Commission of Jurists Kenya, 2015; and Maseh, 2015). Section 198 of the act clearly states that it is an offence to conceal information regarding financial expenditure in public organization. Therefore, public organizations in Kenya have an obligation to comply with the Constitution by providing accurate financial information. This clearly affirms the importance of effective record management in the auditing process. Further, the law is also clear that failure to provide an account for financial expenditure is an offence that can attract legal matters. Consequently, it is vital to implement good record management practices to mitigate such issues, which may engender bigger problems for an organization.

2.3 Records Management Practices in Public Institutions

As seen above, effective records management practices are vital in any organization, not only, in terms of protecting the organization from legal matters, but also, in aiding the attainment of organizational goals. Various researchers show varying efforts in the identification of records management practices. For instance, Formtek (2012) investigates the best value and best practice in records management. Formtek recommends various best practices that organizations should consider in ensuring an efficient records management system. The first recommendation entails appointing a steering committee that involves a records manager, IT technical staff, legal counsel representative, tax, finance, risk management, and human resources to provide varied contributions to the program. Formtek (2012) argues that having varied members in the records management committee makes the program more comprehensive and effective in ensuring

compliance with the records management policy. The committee should also schedule regular meetings for assessment of the state of the program.

The second recommendation of good record management practice according to Formtek (2012) is the development of an organization-wide communication. The records management committee should ensure that it communicates the processes of the records management team on a regular basis to all company employees. The best way to communicate the records management activities to the employees is through an intranet site, a company newsletter, educational sessions, or occasional emails. The third recommendation includes the application of policies and procedures regularly. In this recommendation, Formtek (2012) proposes that an organization should create policies and procedures to guide the records management processes that can be applied uniformly and consistently across the organization. Formtek emphasizes a consistent and systematic application of policies regarding record destruction and disposition. The policies should also address both the electronic and physical records. Another practice includes auditing. Formtek argues that records management should be part of the organizational audit and that the audit should be consistent and should comply with legal requirements. Record disposal is another records management practice that should be determined by the type of record and media involved in its creation and storage. Record disposal should account for records with holds or those that have been suspended in accordance to all security and confidentiality requirements.

In another article, Mountain (2015) also documents best practices in records management. Mountain Inc. identifies practices such as records retention, compliance with policies and procedures, access and indexing, and accountability. According to

Mountain Inc., records management should include a retention policy that incorporates a records retention schedule. Records retention ensures thorough protection of a company's assets to mitigate litigation and risks. A records retention schedule refers to a file that a firm uses to keep records as operationally and legally required and involves the disposal of records in a controlled and systematic manner. Through a records retention schedule, an organization can efficiently control information storage costs, manage intellectual property issues, locate and retrieve information for legal issues, as well as dispose records when they are no longer useful to an organization (Mountain, 2015: 12). Mountain further break down the records retention schedule into four activities including the identification of major record groups, the creation of a general

classification scheme, carrying out legal research, and overlaying of operational retention processes.

The second records management practice according to Mountain (2015) is compliance with policies and procedures. Mountain argues that a firm's record management process should incorporate policies and procedures addressing all the records management program components as specified by the legal and operational requirements. The third practice involves access and indexing. In this process, Mountain (2015) argues that an effective records management program depends on an organization's ability to attain information for litigation response, business support, or compliance purposes. The last practice involves accountability and compliance. In this practice, Mountain (2015) argues that a records management program will not be successful if employees do not abide by the program and its regulations. Auditing and organization-wide accountability include critical elements for compliance.

Further, the Provincial Archives of Saskatchewan (2015) also documents the best practices for records management. The report argues that effective records storage and retrieval hinges on effectual records management procedures and policies. Provincial Archives of Saskatchewan (2015) continues to note that even though some of these practices may vary from one organization to another, they are best practices that may help in the efficient records management. These practices include having written procedures and policies related to the filing and classification of records. These policies and procedures should be availed to all employees Provincial Archives of Saskatchewan (2015). These policies and procedures should also be updated and reviewed on a regular basis and should be based on the firm's records management policy and the approved retention schedules.

The second practice entails ensuring that all organizational employees are aware of the applicable records schedule to their specific departments, as well as, understand their roles in the correct classification of the records that they collect or create. The third practice entails ensuring uniform implementation of information management procedures and policies through the establishment of regulations that stipulate where and how active organizational records should be maintained (Provincial Archives of Saskatchewan, 2015). Another practice entails establishing classification procedures, version controls, and naming conventions for the documents in all formats to ascertain that the organization applies them consistently. Other practices include closing inventory files when the year ends, regular disposal of records as specified by *The*

Archives and Public Records Management Act, and ensuring secure destruction of records containing confidential information such as personal health, personal information, or any other sensitive information (Provincial Archives of Saskatchewan, 2015).

The review above clearly shows consistencies on the identified records management practices among the three articles. These practices can be summarized as inclusive of the appointment of a records management committee, establishment of an effective records management activities communication platform, application of policies and procedures, access and indexing, auditing, risk management, and records disposal among others. The implementation of an efficient records management involves careful planning, hard work, and skillful execution. However, an incorporation of these best practices can help in mitigating risks involved in a records management program in an organization. The next section delves deeper into other benefits of implementing the accepted records management practices.

2.4 Role of Records Management in Risk Management and Auditing Processes

Auditing and risk management constitute some of the records management practices as identified in the previous section. This section delves deeper into the role of records management in the auditing and risk management processes. Risk refers to the likelihood of bad things happening, things going bad, or good things failing to happen (Isa, 2009). A person's perception of risk influences their behavior. Both private and public organizations should perceive risks as a way of mitigating uncertainty for the achievement of economic gain and sustainability of the firm. Therefore, risk can be referred to as the uncertainty surrounding future outcomes or events. Further, Risk entails an expression of the likelihood of occurrence and impact of a future event on the organization's achievement of objectives (Isa, 2009). Consequently, the success of an organization's efforts in risk management depends on the accuracy of their records given that they are crucial determinants of every judgment that is made. Hence, in the current business world imbued by concerns about compliance, accountability, and transparency, it is important that organization met the objectives or be able to explain why they do not meet them.

Records management is essential in risk management when it focuses on the minimization of risks that touch on information security threats and court or government actions. Record management allows an organization to take proactive approaches to potential risks and unplanned reactions to crisis. Through information and records management, an organization

gets an opportunity of weighing the benefits, costs, and risks of record-keeping activities against the related value of record groups. Through such an analysis, a firm can identify the most flexible practices within the ethical, legal, and practical constraints (Isa, 2009).

Callaghan et al. (2015) define risk management as a function of process in business that evaluates the costs, benefits and risks of alternative actions to find out the most appropriate or desirable action. It entails decision making geared towards ensuring the achievement of a firm's objectives in functional areas and at an individual activity level. It is essential that organizations document risk assessment procedures to create a risk profile that can help in facilitating the identification of priorities in risk management, it identifies the explanations for decisions regarding factors that can or cannot be tolerable to risk exposure, and it also facilitates recording of procedures and steps taken in addressing risk. A risk profile is also essential in allowing review and monitoring of a crisis (Callaghan et al., 2015).

Audits relate to ideals of organizational accountability and transparency. In his evaluation of audit, Saffady (2015) argues that audits signify answers to accountability issues. He continues to argue that audits stem from financial accountability to almost all organizational aspects. Auditing involves a programmatic idea that promises a particular type of organizational control and transparency. In the public sector, the auditing process takes on a wider dimension to include ways in which an organization secures the economy, effectiveness, efficiency through the utilization of its resources. To obtain both internal and external certification, all organizational processes have to be documented appropriately and verified to provide the necessary evidence for the process (Isa, 2009).

Further, Ngoepe&Ngulube (2014) evaluate the significance of records management in auditing. In their evaluation, they state that an appropriate auditing situation involves one where an auditor can easily access an audit file in an organization. The audit file should contain all the financial statements that can be cross-referenced to all supporting records in a similar file or provides an indication of where to retrieve such records in an easier manner (Ngoepe &Ngulube, 2014). Therefore, effective records management facilitates the determination of effectiveness, accountability, and integrity of an organization, a department or an employee through the recording and storing of all activities by time and date as evidence in the auditing process.

An organization should provide all types of information including the financial data and include audit trail features for security and audit purposes. Through the provision of effective records

management, financial records can be compared to other records to present evidence of an organization's fiscal value. Such record management also impacts an organization's financial stability. Financial information on its own only provides tangible evidence. Therefore, the financial records should be accurate and reliable and be regularly monitored to identify any form of mishandling of corrupt business transaction that may result to loss or bankruptcy in the company. Consequently, an organization's financial success strongly hinges on effective records management.

2.5 Significance of Effective Records Management Practices

It is undisputable that effective records management is associated with positive organizational outputs. Various authors have explored the significance of effective records management in different contexts. For example, Danso (2015) evaluates records management practices at health facilities in Ghana and their benefits in the effective management of records. The authors argue that information is the most fundamental and critical asset to any organization. Therefore recorded information is a significant asset that demands effective management by the organization. Efficient management of records is critical in ensuring easy access to information and routine destruction of redundant information (Danso, 2015). Further, it also enables organizations to fulfill financial and legal requirements. The preservation of records in public institutions ensures that these organizations can be held accountable for their actions and that the public can trace policy evolutions. Record management also enables access to significant information that can help in future decision making.

Both public and private institutions are increasingly producing large amounts and greater volumes of information in both electronic and paper form. Hence, it is important that these organizations capture, manage, and preserve information in organized systems that maintain its authenticity and integrity (Danso, 2015). Effective records management expedites control over the amount of records created by using disposal schedules that document the period that certain types of records should be maintained by an organization. Danso (2015) further notes that without effective records management, financial management and auditing may not be possible. Effective records management practices are essential in supporting business activities, business practices accountability, and decision-making. Well-organized records are essential that an organization conducts business in an efficient, orderly, and accountable manner. They can enable

an organization to deliver services in a consistent manner, and also support administrative decision-making and document policy formation (Danso, 2015). Further well-organized records provide resiliency in case of a disaster, they support the documentation of a firm's achievements and developments, and also document and support the formation of policy.

In another article, Mountain (2015) argues that best practices are essential in records management because it enables firms to progressively and proactively manage all media, data, and information. They further note that as the dynamism of laws and their severity of punishment continue to increase in various countries, it becomes vital for all organizations to implement the best practices for effective records management as a strategy of demonstrating good faith intentions to adhere to the best practices in an accurate and consistent manner (Mountain, 2015). Therefore, organizations should ensure that they meet all legal requirements, show proven best records management through consistency in implementation, and review, audit, and improve the records management program in a continuous manner.

2.6 Barriers to the Effective Records Management Practices in Public Institutions

In a recent study, Abuki (2014) assesses the significance of records management in the enhancement of public service delivery in Kenya. In the study, Abuki (2014) identifies some of the barriers to effective records management in government institutions in Kenya. These factors were blockades to the effective implementation of the best records management practices in government institutions. Some of the identified factors include the neglect of registries by the ministries, lack of support for organization's senior officers, lack of records management committees, and few training opportunities for the records management personnel. Abuki (2014) further notes that registry departments were regarded as dumping sections for the undisciplined and unproductive organizational officers. Other factors include the lack of adequate record storage space, as well as, failure to consider the health and safety conditions of the registry employees.

In another study, Bakare, Abioye and Issa (2016:59) assess records management practices in specific local government councils in Nigeria. Part of the study objectives was to find out the challenges facing effective records management in government organizations. In their findings, the authors identified factors such as inadequate finances, poor maintenance culture, lack of materials and equipment, and unfavorable climatic conditions as barriers to effective records

management practices in the country. Other factors include lack of a management plan, inadequate storage facilities, erratic power supply, and lack of skilled employees. As a result of these findings, Bakare, Abioye and Issa (2016) recommend that organizations should provide adequate funds for the records management programs in government organizations. They support their recommendations by arguing that adequate finances are significant in procuring adequate and modern storage facilities and equipment to mitigate challenges faced in the records management departments.

2.7 Role of Sectional Heads of Departments in the Management of Records

In a report by the Public Procurement Oversight Authority (2010), an organization should have a records management department and a records management officer, whose roles entail coordinating and directing organization-wide records management activities. The HOD's responsibilities include creating and directing the execution of a records management program in the organization. Other roles include cooperating with the organizational management in the monitoring and definition of functional record management requirements in the organization, establishing rules and standards to guide recordkeeping activities, addressing and solving problems that arise from records management in the entry, creating procedures for the implementation, evaluation, and review of automated and manual record systems, and running a storage program at both the on-site and off-site sections for inactive records (Public Procurement Oversight Authority, 2010). The sectional record management HOD is also responsible for establishing and implementing a disposal program and an effective records retention program and helping in the preparation and reviewing of file classification schemes.

2.8 Role of Records Management in Facilitating Accountability and Transparency

It is evident that there exists a very close linkage between record keeping and organizational governance. Effectively managed records are critical tools for efficient organizational governance or administration. They facilitate the attainment of accountability and transparency in organizations, especially in public organizations. For example, when organizational records can be easily availed to the public for the verification of activities and actions of public servants, they strengthen a sense of trust between organizational administrators and the governed. Thus, in such circumstances, evidences can be availed when required resulting to a sense of confidence

and support from followers or employees. Unfortunately, this aspect has not received significant attention until recently. As a result, the state of organizational administration and records management has been unsatisfactory and questionable especially in developing nations such as Kenya. The consequences of such unsatisfactory circumstances have been factors such as suspicion, mistrust, and above all lack of accountability and transparency.

Very few authors have shown effort in the investigation of the significance of records in organizational governance. As a result, organizations have undermined effectiveness through compromised administration of justice, lack of comprehensive records for the collection of government revenue, and that improper audit processes. Marx (2013), notes that these aspects can be costly for organizations especially those in developing countries such as Kenya. He goes ahead to note that many organizations have been poorly administered resulting to the undermining of any efforts to attain good governance. He concludes by emphasizing that good organizational administration or management cannot be obtained if records are poorly managed especially in circumstances where records are regularly lost or missing.

In another study, Marx (2013) explores the essence of records in organizational administration. In his investigation, Marx (2013) notes that in any organization managed responsibly, plans and actions must be involved or recorded. He goes ahead to emphasize that unless an organization's management team reconstructs the basis of past determinations and deliberations, responsibility only exists as a notion but is not justified. The use of memory cannot be relied on as methods of retrieving past actions. People are bound to forget aspects leading to contradictions. Thus, the only reliable tool is a preservation of a comprehensive record of considerations and events that occurred. In other words, Marx (2013) reiterates Musembi's argument that records are the only tools through which the actions of organizational administration can be justified. In that way, verification can be obtained to ensure accountability and transparency.

Dikopoulou and Mihiotis (2012) also conducted a study to investigate the role of records in effective organizational governance. They evaluated various literatures and empirical studies to help in determining the relationship between records management and organizational governance. Their findings reveal that indeed, there exists a relationship between information security, records management, and good organizational governance. They concluded that, it is imperative for organizational records management professionals to provide specific training to all public servants on matters pertaining to effective records keeping. Dikopoulou and Mihiotis

(2012) also recommend that top organizational management in both private and public organizations should have an understanding of the cost effectiveness and reduction that the implementation of effective records management can have in an organization. They concluded by emphasizing that records management is a critical element in organizational administration, thus, there is need to raise awareness on the emerging administrative, fiscal, and legal issues involved in the management of organizational information.

The word transparency is considered a vital term in business governance and a majority of organizations. The term applies to the access of data to the general public and therefore the manner within which the organization practices its decision making policies. The shortage of appropriate records, responsibility, openness and productivity evoke corruption and loss of confidence within the government officials. The idea of 'Opportunity of data' is being drilled in numerous nations particularly in African countries to guarantee that the administration changes its current culture. There are numerous laws executed in the African countries to guarantee accountability and responsibility of data particularly with regards to basic leadership in the administration segment which underscores on the requirement for quality records administration. An examination directed in the year 2002 by Transparency International exhibited that the best ten most degenerate nations on the planet barely had any entrance to data or a proviso in their laws and the main ten eight degenerate nations had a law dependent on access to data. Accountability is a component of the evidential estimation of the data uncovered in the report which again is subject to the unwavering quality, exactness and culmination of records.

A decent record administration framework is the primary wellspring of financial related responsibility. Records administration additionally fills in as an aspect of narrative proof for which associations can be accounted. Accordingly, it is essential that the administration associations are straightforward to guarantee that they are not responsible against any false case. It has been firmly acclaimed by the World Bank that the administration of records is with the end goal of responsibility however this responsibility is barely investigated. As indicated by the World Bank there is a solid association between record administration and responsibility in Ghana since the start of 1991. Numerous analysts have accentuated the conjunction between record administration and the privilege to get to data. Specialists accentuate on the significance of responsibility of records administration particularly in connection to the degenerate authorities. Scientists have expressed that ill-advised administration of records will prompt

question and defilement. A Good government ought to dependably be straightforward, responsible, and trustable independent of its socioeconomics.

2.9 Records Management System

Mampe and Kalusopa (2012: 2-23) in their examination on records administration and administration conveyance: the instance of Department of Corporate Services in the Ministry of Health in Botswana accommodates the accompanying fundamental exercises for the usage of a records administration program examined in accordance with best records administration practices to include: -

I. Records administration strategy and techniques manual – which serves four elements of Standardizing methodology; building up duty; aiding representative preparing; and accommodating reports on strategies and systems. Without a records administration strategy for example, it is hard to build up proficient records administration frameworks that bolsters basic leadership. The nonattendance of a records administration approach can deter the job of open specialist organizations. In this way the absence of a records administration techniques manual would have suggestions, for example, records administration work force not having the essential rules for overseeing records amid the continuum of exercises that would make the administration of records for an amazing duration cycle simpler.

ii. Configurations of records utilized - A viable records administration program ought to incorporate the administration of all records paying little mind to their configurations. It is apparent that in as much as electronic records are being used, paper records are as yet overwhelming. Associations need to direct records overviews not exclusively to set up the arrangements of records made yet additionally to guarantee their auspicious access, utilize, evaluations and transfer.

iii. Records creation and utilization - Records are essential for various processes in an association; they give proof to basic leadership, for documentation, for reference and for reaction to enquiry among others. It is along these lines important to screen the creation/receipt and utilization of the records gotten by an association as a method for guaranteeing successful usage of records administration program

iv. Order of records - ISO 15489-1 characterizes records grouping plan as a apparatus in records administration that aids different procedures, for example, giving linkage between individual

records which gather to give a consistent record of exercises. ISO 15489-1 further calls attention to that an order conspire is vital for guaranteeing records are named in a steady way after some time; aiding the recovery of all records identifying with a specific capacity; deciding security insurance and access fitting for sets of records; distributing clients consents for access to, or activity on, specific gatherings of records; circulating obligation regarding administration of specific arrangements of records; dispersing records for activity; and deciding fitting maintenance periods and transfer activities for records.

v. Records enlistment and control of document development - The motivation behind following records is to "report the developments of records so that the association knows where its records are whenever, to screen the utilization of records and to keep up an auditable trail of record keeping forms, for example, access to records by clients. Records stockpiling - ISO 15489-1 requires for records stockpiling to be put away in a media that will guarantee that their genuineness, unwavering quality, ease of use for whatever length of time that required. To accelerate basic leadership stockpiling is vital in light of the fact that without it records recovery would take long. Insufficient records stockpiling gear could increment the weakening of records and in this way influence their entrance and utilize.

vii. Records security and fiasco administration - ISO 15489-1 requires an association to have rules with respect to who is allowed access to records, and on what conditions get to is allowed. Moreover, e-records administration framework in place ought to likewise control access to watch their respectability and realness. An investigation by Kootshabe (2011) discovered that records security in numerous legislature services had difficulties, for example, unapproved access into records stockpiling territories as errand people and cleaners regularly had gets to.

viii. Records maintenance and records transfer – this includes the pulverization or something else exchange of records from a vault to a records fixate or document contingent upon the rules given by a maintenance plan and pertinent enactments. A records transfer is a procedure intently associated with the execution of records examination choices. It involves the cancellation, or annihilation of records from a records administration framework. Records transfer may likewise incorporate the movement of records from one records administration framework to another or exchange of care of responsibility for. A compelling records administration framework ought to have the capacity to fit for helping with settling on and actualizing choice on records

maintenance and transfer. This framework ought to likewise give a review trails with the end goal to "track the total mien of records (ISO 15489-1 2011).

To successfully actualize a records administration program, JISC (2014: 2) accommodates the accompanying

i. The initial step is to guarantee this is perceived by senior administration and that a proper individual from senior administration staff has been allotted generally speaking responsibility for program.

ii. A Records Management Policy ought to be created which recognizes the above, sets the setting for the arranged program and shows full senior administration bolster for it.

iii. A review/overview of existing record making and keeping practices and frameworks and the data they contain ought to be embraced.

iv. Guarantee that the fitting assets, human and budgetary, are committed to execute the program all through the establishment.

v. Guarantee that all applicable staff are made mindful of the program destinations and the job they should play in accomplishing them, and are given adequate preparing to empower them to satisfy this JISC proceeds to give explanations behind a records administration program to incorporate:-

i. Legal Compliance - All associations are liable to an extensive variety of enactment which may expect them to create pertinent data to secure their interests at the point when tested as a feature of a legitimate revelation process.

ii. Computerized Asset Management - Much of the information base and scholarly resources of an establishment and its staff are currently held in advanced frame and will have long haul esteem for instructing and research. The administration of advanced materials is in this way an essential component of any advanced Records Management Program.

iii. Business Benefits - The significant business advantages of presenting an institutional Records Management Program ought not to be ignored. These incorporate the streamlining of business forms, a decrease in both the staff time and physical space required for overseeing and abusing records and the establishment of a data rich association ready to boost and adventure the information it contains.

2.10 Gaps in Literature

The literature above has provided a conceptualization of records management and its impact on organizational administration. In particular, the administrative functions of accountability, risk management, and assessment of organizational operations and progress has been documented. However, no specific study has explored the administrative function of records management at Kenya Re. Moreover, literature on this topic is very scanty, which makes the current study valuable in augmenting literature on this area.

2.11 Theoretical Framework

Theories are essential in explaining, predicting, understanding phenomena, and challenging existing knowledge. Thus, a theoretical framework is a knowledge structure that can support or hold a theory of research. It describes and introduces the theory that explains the essence of a research problem (Weick, 2014). It consists of concepts, their definitions, and relevance scholarly literature. It strengthens the study through: Explicitly stating the theoretical assumptions to permit a reader for critical evaluation, it connects the study to existing knowledge as guided by the selected theory, which gives a basis for hypothesis, it articulates the theoretical assumptions of a study and allows a researcher to address the research questions, it is also provides a theoretical framework that can help in the identification of the limits of generalizing research findings

2.11.1 The Records Continuum Model

This study uses the records continuum model as it involves an investigation of the records management practices and their significance in organizational administration. The study opts for this model as compared to the other models as it delves into the specific records management practices in a continuum beginning from when records are created to their disposal. Such a continuum creates insight on the records management practices and their importance in various organizational processes such as organizational administration. Xiaomi, as cited in Coetzer (2012: 40) defines Records Continuum as a consistent and articulated administration process of management beginning from the creation of records through to the utilization and conservation of organizational records as archives. This model demonstrates best records management practices enshrined in the incorporation of archives, records, and document management. In this

model, records managers and archivists play significant roles in all phases of record management. This enables record creation with the right information in correct formats, record organization for the facilitation of their use, systematic disposition of redundant records, and the preservation and protection of records. The place of origin for this model was in Canada; however, it was later adopted and developed in Australia. The model was a brainchild of Frank Upward, and it provides a graphical representation tool that frames issues concerning relationships between archivists and record managers, the present, past, and the future, as well as strategic thinking about collaborative working and partnership building among stakeholders as illustrated in the image below Coetzer (2012: 40).

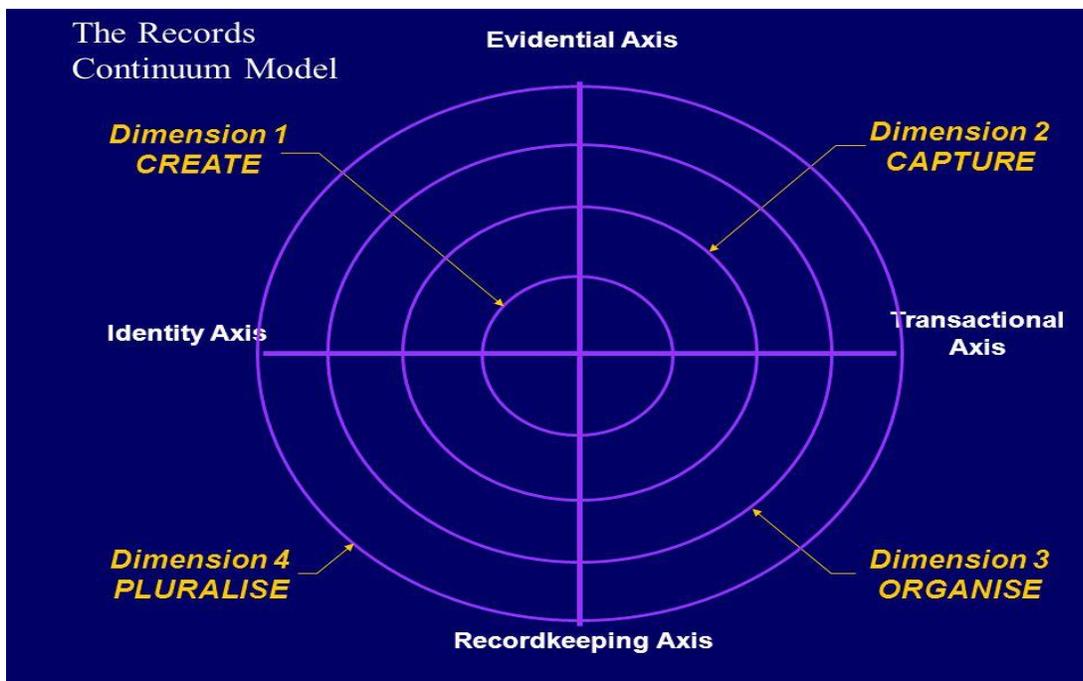


Figure 2.1: Graphical representation of the Records Continuum Model

The model, as illustrated above, holds that a continuum has no separate steps because record management is a continuous process where an element of the process seamlessly passes into another in the continuum. The model further stresses that records professionals are imperative and should be involved in the planning stages of information systems. According to Saffady (2011), there are four actions involved in the process of records and archives management in this model. These actions include:

Identification and acquisition: The creation of records is a record management action while the management of archives relate to the acquisition and selection of archives.

Intellectual control: This process entails classifying records in a logical system. Actions related to archives management involve the description and archives arrangement.

Access: Records management actions include the conservation and usage of records. Actions associated with access in archives management consist of the description of archives.

Physical control: actions related to physical control in records management include destruction and disposal of records and transfer of records to the national archives. On the other hand, actions relating to physical control in archives management include the preservation of archives Coetzer (2012: 41).

The structural principles of this model link to the concept of the continuing value of records. According to these principles, records are essential for the transactional, memory, and evidential purposes. Records also guide a unified approach to recordkeeping or archiving. Other structural principles consider records as logical and not as physical entities, despite the fact that their form is either electronic or paper-based. The institutionalization of archiving suggests a need for the integration of recordkeeping or archiving into societal and business processes and purposes Coetzer (2012: 41). In application to the current study, the continuum model can be applicable to the records management processes as identified in the literature review starting from the creation of records to their disposal. The model also emphasizes the role of records managers in the effective records management process. The literature review identifies processes such as the selection of a records management and information committee. This model stresses that records management professionals are suitable in all phases of records management. The model also identifies the outcomes of effective records management as inclusive of transaction, memory, and evidential purposes. Effective records management practices play significant roles such as identification and acquisition, physical control, intellectual control, and access. These factors are critical in the entire organizational administration because such processes are critical for organizational management. For instance, the management of organizational activities and funds can only be possible through the provision of evidence as recorded in the organization's files.

Therefore, this model is of significance to this study as it emphasizes on the effective records management, which is important for effective organizational operations including organizational management.

2.12 Conceptual Framework

Records management is an important factor in an organization especially regarding organizational administration. The literature review section reveals that records management plays a significant role in organizational decision making, which is the gist of organizational management. It is through an institution's records that its management can have a track of the organization's activities and future plans. Therefore, records management becomes an important aspect in the overall management of an organization. Hence, the variables of this study include records management practices as the Independent Variable and organizational administration as the Dependent Variable. An independent variable is the element that is manipulated to observe its effect on the dependent variable. A dependent variable is that which is observed to determine the impact of an independent variable on it. The quality of an organization's records management determines the effectiveness of its organizational administration. However, there are other intervening variables Review both independent and dependent variables that can affect the relationship between records management on organizational administration including; the availability of internal resources, technology factors, internal management commitment, and employee engagement. Intervening variables that may have an impact on the outcome of an organization's management include factors such as state legal requirement, economic status, and labor unions as shown in the figure below.

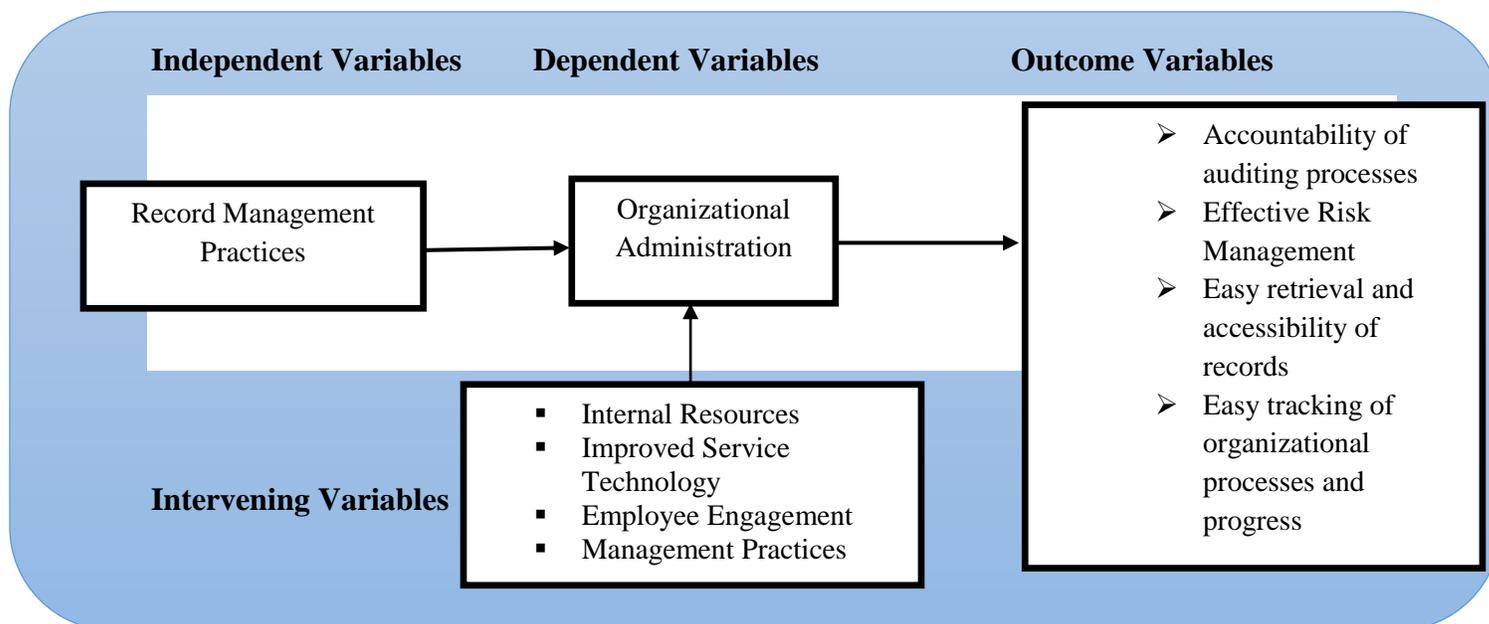


Figure 2.2: The role of records management in organizational administration

2.13 Chapter Summary

In summary, this chapter has highlighted literature on the various concepts and dimensions regarding records management practices in the management of public institutions. The chapter evaluated records management practices in public institutions, the significance of effective records management in organizational administration, the barriers facing effective records management, and the role of sectional HOD's in the management of records.

CHAPTER THREE

RESEARCH METHODOLOGY

3.1 Introduction

This chapter is organized in the following order; research design, area of study, target population, sample and sampling techniques, data collection methods, research instrument, data collection procedures, data analysis, and the ethical considerations.

3.2 Research Methodology and Research Design

This section provides a detailed evaluation of the research methodology and the design employed.

3.2.1 Research Methodology

This study used a mixed methods methodology of both qualitative and quantitative research techniques as it involves both closed and open ended questions. Quantitative data entails closed-ended data on questions such as constructs of behavior, attitude, or performance instruments. Quantitative data can also be collected from closed-ended checklists where behaviors are evaluated. Quantitative information can be found on documents such as attendance records and census records (Neuman and Robson, 2010). This design includes statistical analysis of score gathered on checklists, instruments, or public documents to test hypothesis or answer research questions (Neuman and Robson, 2010). On the other hand, qualitative data aims at describing the prevailing conditions of a situation and seeks to find links between phenomena within the context of the study. It also employs a cross-sectional method of data collection that uses primary data since the study considers the investigation of a sample size which is a representation of the whole population.

Given that the main aim of the study of to assess the impact of records management practices on organizational administration, a sequential transformative design was most appropriate. The approach involved the gathering and analysis of either data or results included in the interpretation or discussion phase. Hence, both open and closed ended questions were used to gather data to identify an appropriate model for records management for organizational administration at Kenya Re.

3.2.2 Research Design

A descriptive research design was suitable for this study. Historically, descriptive research design has been useful to social science fields. Descriptive data are a source of rich descriptions and explanations of well-grounded processes in identifiable local contexts. Descriptive data provides a chronological flow of information, which can enable a researcher identify which events led to certain consequences. Therefore, the technique can enable a researcher derive fruitful explanations of events. Descriptive data can also allow a researcher to gain unanticipated results and new integrations, which can help in arriving at details beyond the initial conceptions. Such findings can also allow the revision of the conceptual framework. Finally, descriptive study findings also have the advantage of ‘undeniability’.

The concept behind descriptive research is that not only do social phenomena exist in the mind but they also exist in the objective and can enable a researcher to find some reasonably stable and lawful relationship. To gather such social phenomena and generate connections of various relationships, qualitative researchers can collect various forms of data that can enable them to make meaningful conclusions from their study subjects.

It is through the research design that a researcher achieves the objectives. Hence, a research design is a general plan concerning the processes through which a researcher goes about to answer the research questions. Cooper and Schindler (2011) also define a research design as a blueprint that helps a researcher in gathering, evaluating, and analyzing data. This study used a descriptive research design to help in describing phenomena as they exist. A descriptive research design can help in gathering and identifying data concerning the characteristics of a certain phenomenon or problem. Therefore, the descriptive research design was of significance in this study as it allowed the gathering of extensive data and description of the findings.

3.3 Area of Study

The study location was at the Kenya Reinsurance Corporation in Nairobi - Kenya. The institution is located in Nairobi City, 5 minutes’ walk from the city center. The organization is located next to the Kenyatta International Convention Centre (KICC), which is a significant State Corporation with the aims of promoting incentive travel, business meetings, exhibitions, and conferences (Kenyatta International Conference Centre, 2017). In particular, a sample of 50 participants from Kenya Re were used in the study. The sample was selected through a non-probability sampling

technique that aimed at selecting participants from the records management department and records management champions within the organization.

3.4 Target Population

Population involves a complete set of subjects or individuals, events, or objects that have common observable characteristics that are of interest to a researcher (Agyedu et al., 2010). In other words, a population constitutes a full group of individuals that a researcher is interested in and aims to generalize the findings from a selected sample. The target population for this study involved all staff at the Kenya Reinsurance Corporation. The figures of the target population, 150, were obtained from the human resource department at Kenya Re and they comprised of all employees working at the Corporation as of July 2017. Although the entire population did not participate in the study, the findings are a representation of the whole population and can be generalized on this population.

3.5 Sample and Sampling Techniques

This section clarifies the sample size and sampling techniques employed in the study

3.5.1 Sample Size

A sample refers to a small accessible group of individuals acquired from an entire population. Sampling refers to the procedures involved in selecting the sample that will take part in the study to represent an entire population. Sampling enables a researcher to fairly arrive at a group of representative individuals to take part in the study. Consequently, this research used a sample of 50 staff at the Kenya Reinsurance Corporation out of a total of 150 employees at the organization. The sample was selected through a non-probability sampling technique, convenience sampling, because of their background and experience in records management. They constituted records management staff, records management champions from each department and heads of departments. The organization has 5 records management staff, 25 records management champions, and also 20 heads of departments which explains the sample size. The records management champions include records management representatives from each department. The sample was selected due to their knowledge concerning records.

3.5.2 Sampling Techniques

A non-probability sampling technique was helpful in accessing the study sample. A purposive sampling technique helped in purposively selecting these respondents from whom the best responses were gathered for the study (Agyedu et al. (2010). The sample was likely to have an understanding on the requirements of the research topic due to their direct link and affiliation with the records management department. The table below illustrates the sample and sampling technique.

Table 3. 1: Sample and Sampling Technique

Segment	Division	Number
Records management staff	Records management Department	5
Records management champions	Finance, Audit, Risk, IT, Credit, Investments and Reinsurance	25
HOD'S	Property, MD, Administration and Human Resource	20
Total Sample	All	50

3.6 Data Collection Methods

Data collection entails the implementation of various procedures in gathering information to support particular claims. Thus, the current study employed a survey comprising of open and closed ended questionnaires. The questionnaire significantly aided in the collection of relevant information required for this study. Questionnaires were issued to the sampled respondents from different job categories and levels including senior and junior staff.

3.7 Research Instruments

The study used questionnaires as the main research instrument as elaborated below

3.7.1 Questionnaires

The data collection instrument for this study was open and close-ended questionnaires. A questionnaire refers to a list of carefully identified research questions arrived at after a

considerable assessment. The questionnaire aims at eliciting specific responses from study respondents to help at meeting the research objectives. The questionnaires contained both closed and open-ended questions to enable respondents to give comprehensive responses for an in-depth analysis. They were structured based on the study objectives as stated in chapter one above. 50 questionnaires were issued to the respondents at the organization.

3.7.2 Validity

Traditionally, researchers associate reliability and validity with the evaluation and testing of qualitative studies. Validity and reliability are significant to any qualitative researcher especially in the study design, judging the quality of the study, and in the analysis of the results. It is also a way through which the inquirer can persuade the audience that the study findings are worth paying attention to. The findings of the current study are valid as they involved peer examination and correction of any contradictions. The process involved scrutiny of the findings by peers and academics and an incorporation of their perspectives. The observations and questions were valuable in refining the study methods and developing a clear explanation of the study design for the strengthening of the study arguments.

3.7.3 Reliability

Reliability promotes the aspect of dependability in qualitative research. Consistency also communicates truth in the data collected. The main question is on whether the study findings show consistency with the collected data. A researcher can achieve consistency by verifying the steps of the research through analyzing raw data, notes, and reduction products.

The achievement of both internal and external validity is a significant aspect for qualitative studies. In internal validity, the researcher should ensure that his or her presence alter the natural occurrence of events and actions. A researcher can achieve internal validity by ensuring that the findings comply with reality. The concept of external validity, on the other peer examination and examinations of previous researches were the primary techniques used ensure reliability and validity. In particular, the study findings were compared with those from the literature review to ascertain the degree of congruency and applicability. The ability of the research outcomes to relate to previous findings was significant in evaluating the qualitative inquiry.

3.8 Data Collection Procedures

The respondents were given time and space to fill the questionnaires with the most appropriate responses for the questions. The questionnaire is attached in the appendix section of this proposal. Copies of the same were made and distributed manually during the study period and collected upon completion.

3.9 Data Analysis

Data analysis, according to Kothari (2014) entails statistical operations aimed at arriving at conclusions concerning certain information gathered during a research. After data collection, data analysis was conducted and responses categorized according to the responses that the respondents provided. The responses correspond to each research objective; hence, the data is analyzed as per each research objective and presented in tables and charts to represent the figures. Version 16.0 of the Statistical Package for Social Sciences (SPSS) has been used to analyze the data collected. The data has also been presented and interpreted in frequency distribution tables, bar charts, and percentages. The SPSS provides the flexibilities and capabilities of analyzing data more quickly and efficiently for the generation of simple, sophisticated, and an unlimited amount of statistical findings that can be inferred to generate descriptive findings.

3.10 Ethical Considerations

Ethical concerns refer to a set of guidelines that direct a researcher's behavior during a study. In the current study, approval was obtained from the organization's Records Management Board. The respondents were informed that participation in the study was voluntary and they could withdraw from the research at any point during the study. Their identities were also confidential because they were not required to include their names in any part of the questionnaire.

This study was conducted in compliance to the ethical issues in research as recommended by Creswell's (2014). For instance, it was important to ensure that the literature supports the relevance of the current study and the acquisition of support and letters of participation from Kenya Reinsurance Corporation. The research strictly complied with the principles of beneficence, malfeasance, and fairness throughout the research. Informed consent was sought from the study participants to make sure that they participated in the study willfully and without

coercion. Finally, this research also complies with research ethics by ensuring that the final report is free of any form of plagiarism, concealed information, or false information (Creswell, 2014). The researcher made all the possible efforts to ensure that the report is thorough, accurate, and precise. The final report will be shared with the relevant stakeholders including the participants (Creswell, 2014).

3.12 Chapter Summary

This chapter has provided a comprehensive evaluation of the research methodology that was used in carrying out this research. The chapter has identified the research design, target population, sample, and sampling procedure, as well as the data collection procedures that were used.

CHAPTER FOUR

DATA PRESENTATION, ANALYSIS, AND INTERPRETATION

4.1 Introduction

This chapter provides an analysis and interpretation of data gathered from the sampled respondents from the Kenya Re-insurance Corporation. 50 questionnaires were issued to the sampled administrative staff that comprised of both male and female workers. Out of the 50 questionnaires, 48 were effectively completed and collected, while two did not meet the requirements as the forms were not fully filled. Data analysis was based on the study questions and objectives as represented by the questionnaire questions as stated in chapter one. Bar charts and frequency distribution tables have been used to provide effective illustration of the findings. Microsoft excel and Version 16.0 of the Statistical Package for Social Sciences (SPSS) were valuable in generating the modes of data presentation after data coding and inputting.

4.2 Background Information of Respondents

Biographical attributes are critical elements in augmenting an understanding of the defining characteristics of a sample. Importantly, such features as gender, age, and affiliation can create insight on their impact on the outcome of a phenomenon being investigated. As indicated at the beginning of this chapter, the total sample selected to participate in this study was 50 participants. However, only 48 questionnaires were valid as two did not complete their questionnaires. Thus, data collection on background information was critical in this study as it enriched the findings for solid conclusions as illustrated below.

4.2.1 Experience

This section required the respondents to indicate their years of experience at the organization. Years of experience at a particular working environment determines their familiarity with organizational operations. In the current study, this attribute highlighted the respondents' familiarity with not only the organization's operations, but also the experience they have in spearheading records management activities in their own departments. The findings in this objective reveal that a majority of the respondents have a working experience of 6 to 9 years at the organization. Only two, 4.17% of the respondents have 3 years and below working experience at the organization as illustrated in Table 4.1 below.

Table4.1: Period of experience in the organization

	RANGE	FREQUENCY	PERCENTAGE
Year of Experience	Below 3 years	2	4.17%
	3-6 years	8	16.67%
	6-9 years	19	39.58%
	10-13 years	11	22.92%
	13 and above	8	16.67%
Total		48	100.0%

This segment was targeted to the records management champions. In particular the respondents were to indicate the years of experience as records management liaisons. The findings show that the majority, 37.5% of the champions have spearheaded the management of records in their departments for 3 to 6 years. The findings are valid because the champions committee was established in 2014, therefore the existing members are likely to have worked as champions for less than six years.

Table 4.2: Period of experience as records management champions

	RANGE	FREQUENCY	PERCENTAGE
Year of Experience	Below 3 years	7	29.17%
	3-6 years	9	37.5%
	6-9 years	4	16.67%
	10 -13 years	1	4.1%
	13 and above	3	12.5%
Total		24	100.0%

4.2.2 Respondents Department of Affiliation

Concerning the respondents' specific department of affiliation, a majority of the respondents, 34.42% were from Reinsurance division as illustrated in the table below. Only 10.42% of the respondents were from the records management department. The other departments were represented by records champions. Therefore, the outcome is also valid as it mirrors the representation of staff managing records at the Kenya reinsurance corporation.

Table 4.3: Respondents Departments of affiliation

DIVISION	FREQUENCY	PERCENTAGE
Records Management	5	10.42%
Reinsurance	17	34.42%
Finance	9	18.75%
MDs	4	8.33%
Property and Administration	13	27.08%
Total	48	100%

4.2.3 Role of records management in the administration of organizations

This section required the respondents to indicate the roles of records management in organizational administration. Regarding the research objective the respondents provided feedback concerning various records management activities that they carry out at the organization. Emerging activities included record creation and filing, record maintenance and storage, record use, record indexing and classification, and record disposal as illustrated in the Figure below.

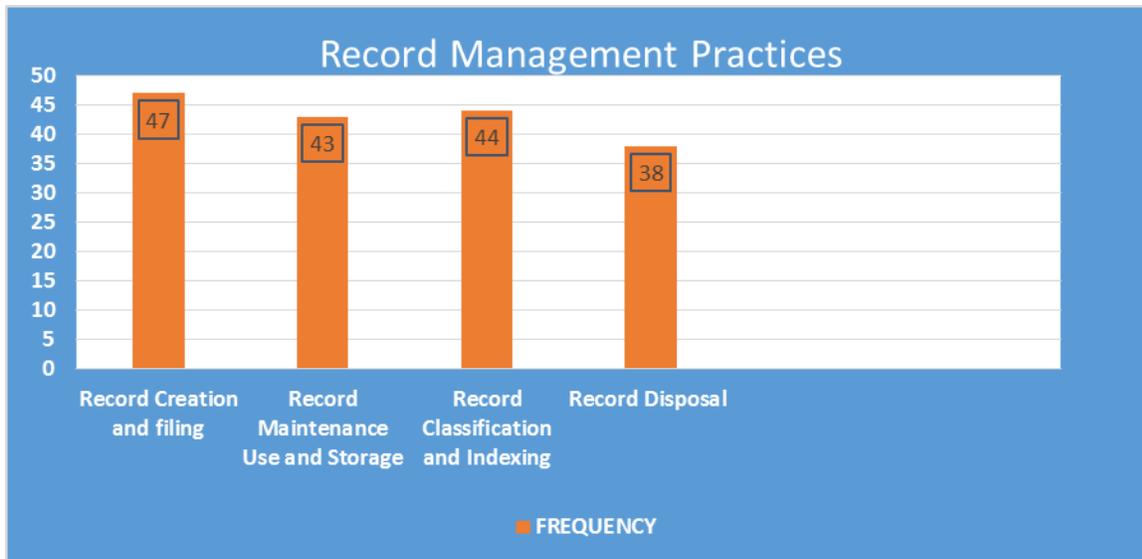


Figure 4.1: Record Management practices

4.3 Significance of Effective Records Management at Kenya Re

This section required the respondents to indicate the significance of effective records management at the organization. Majority of the respondents indicated that records management is important in ensuring easy access to information, fulfillment of financial requirements, accountability and transparency in processes, and effective organizational administration as the benefits of effective records management in an organization. The next sections highlight the statistical outcomes for each variable.

4.3.1 Significance of Records Management Practices in Auditing

Majority of the respondents, 27, strongly agreed that records management practices are important in the auditing process. Another 21 agreed that indeed records management practices are important in the auditing process, which is a critical aspect in organizational administration. The Table 4.4 and figure 4.5 below illustrates the findings in this question.

Table 4.4: Opinion concerning significance of records management in the audit process

OPTION	FREQUENCY	PERCENTAGE
Strongly Agree	27	56.25%
Agree	21	43.75%
Disagree	0	0%
Strongly Disagree	0	0%
Total	48	100%

As shown above, all the respondents attested that records management practice is indeed important in the audit process. The findings clearly indicate that the respondents are aware of the significance of records management in critical administration activities such as auditing. These findings are similar to those of Marx (2013) who both agree that effective records management enables easy access to records for verification and accountability purposes.

4.4.2 Significance of Records Management in Risk Mitigation

Majority of the respondents strongly agreed that indeed records management practices play a critical role on risk mitigation as illustrated in Table 4.6 below.

Table 4.5: Opinions concerning the significance of records management in risk mitigation

OPTION	FREQUENCY	PERCENTAGE
Strongly Agree	35	72.91%
Agree	13	27.08%
Disagree	0	0%
Strongly Disagree	0	0%
Total	48	100%

The findings above reveal that indeed records management practices are important in mitigating risk at the organization. Thus it can be inferred that given the unpredictability of risks, the ability of an organization to have effective records can mitigate the negative impacts of risks on the organization. These findings are in line with those from the literature review section from researchers such as, Collaghan et al. (2015), and Ngoebe and Ngulube (2014). These authors agree that records are effective in enabling the identification and weighing of the cost and risk of actions with the aim of mitigating risk. Therefore, it is evident that effective records management can enable effective organizational audit, risk, and financial management.

Correlation Coefficient

Based on the data in the two variables above, a correlation coefficient was conducted to assess the relationship between organizational administration and records management. Therefore the Ha and Null hypothesis are as follows:

H₁: Better records management facilitates effective organizational administration

H₀: Better records management does not facilitate organizational administration

Based on tables 4.4 and 4.5 above, the values for correlation coefficient can be determined as follows.

Table 4.6: Relationship between variables

Records Management Practices	Organizational Administration
4	62
3	34
2	0
1	0

The following is a scatter plot representing the distribution of the values among the two variables in the table above. Recodes management practices are represented by the Y axis while organizational administration is shown by the X axis. Therefore, it is evident that as the value of records management increases, the value of organizational administration also increases.

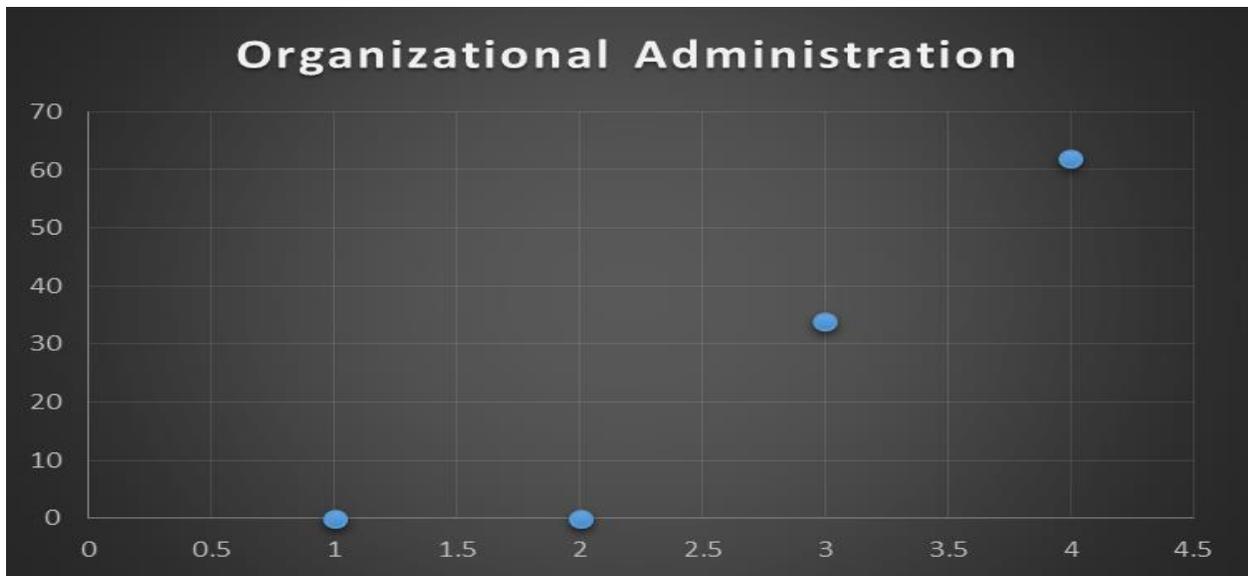


Figure 4.2: Correlation Coefficient

A correlation coefficient calculation reveals a 0.95, which implies a positive correlation between the variables. In other words, as one variable goes up, the other also increases.

4.5 Challenges Experienced in Records Management

A majority of the respondents, 39 out of 48, representing a total of 81.25% agreed that indeed they experience challenges. On the other hand five respondents indicated that they do not experience any challenges in their places of work as summarized below:

Table 4.7: Challenges experienced regarding records management

OPTION	FREQUENCY	PERCENTAGE
Yes	39	81.25%
No	9	18.75%
Total	48	100%

The respondents went further to elaborate the challenges they encounter at their working stations. Some of the challenges identified include a lack of enough space to store records, a lot of work, lack of funds to purchase better record keeping technologies, and lack of skills on how to handle some records. These findings clearly affirm that records management staff at the Kenya Reinsurance Corporation experience various challenges as indicated and that there is a need for the organization to look into such issues.

4.6 Role of Heads of Departments in the Organization

Heads of departments in any organization play a strategic role in ascertaining coherence of work processes in a department. Therefore, this segment of an organization's staff was essential in this study as it informs the functionality of records management departments and operations in respective departments. Therefore, according to the findings of the survey, some of the roles of heads of departments at Kenya-Re include overseeing tasks conducted by other employees, solving problems that may arise concerning records management, creating procedures that should be followed regarding record management practices, and establishment and implementation of a disposal program. These findings are relevant as they mirror those from the literature review section of this study from studies such as that from the Public Procurement Oversight Authority (2010). The study highlighted some of the roles of organizational heads of department as inclusive of coordinating and directing organization-wide record management practices. The figure below illustrates the statistical findings of the survey on this question.

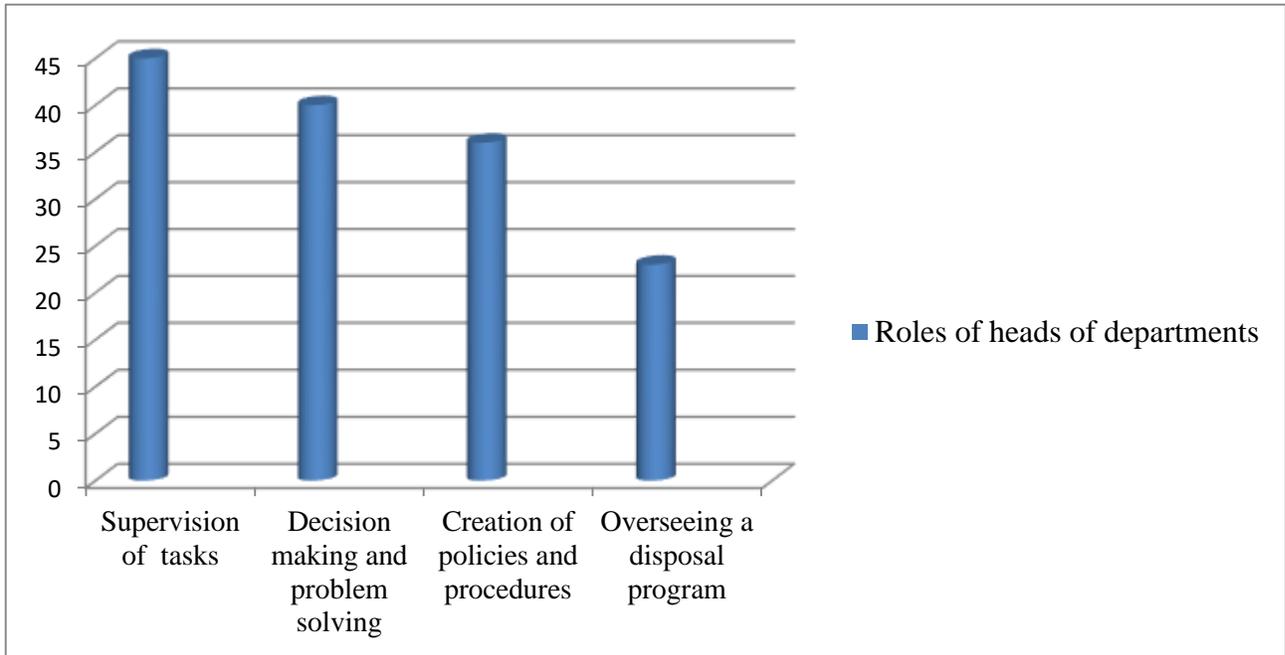


Figure 4.3: Role of heads of Departments

4.7 Appropriate Model for Effective Records Management Practices at Kenya Re

This study also sought to establish the most appropriate model for records management practices as a countermeasure against the challenges that records management officials experience in organizations. Therefore, the respondents provided a range of approaches that they deemed best for adoption. The approaches include, the provision of funds for the purchase and implementation of better records management technologies, employment of more records management staff to help in completing the numerous tasks at the organization, on job trainings and refresher courses and also implementation of policies and procedures to ensure effective records management.

4.8 Chapter Summary

This chapter has presented the study findings based on the study objectives. The chapter has provided a demographic statistics description of the respondents, their years of experience at the records management practices, and findings on the significance of records management in organizational administration. The chapter only briefly describes the findings. The next chapter provides a detailed analysis and discussion of the findings presented in this section.

CHAPTER FIVE

SUMMARY OF FINDINGS, CONCLUSION, AND RECOMMENDATIONS

5.1 Introduction

This research aimed at investigating the role of records management in organizational administration. The research employed a mixed methodology of both qualitative and quantitative design to gather findings based on the research objectives in Kenya Re. This chapter provides a summary of the key findings in line with each research objectives. The research objectives that guided this study include:

1. To examine records management practices at Kenya Re
2. To identify the role of sectional Heads of Departments in the management of records at Kenya Re
3. To examine the role records management in facilitating accountability and transparency in organizational administration
4. To propose an effective records management model at Kenya Re

5.2 Summary of Key Findings

The findings are presented based on the research objectives;

5.2.1 Record Management Practices at Kenya Re

Objective one entailed examining the records management practices at Kenya-Re. The findings under this objective attested the existence of record management practices such as creation of a records management committee, establishment of an effective communication platform for records management, application of policies and procedures in records management, access and indexing, auditing, risk management, and records disposal.

5.2.2 Role of Sectional Heads of Departments in the Management of Records

Objective two of this study involved an assessment of the roles played by sectional heads of department within Kenya Re with regards to record management and organizational administration. Some of the identified roles include overseeing tasks conducted by other employees, solving problems that may arise concerning records management, creation of policies and procedures that should be followed regarding records management, and establishing and implementing a disposal program. These findings can clearly attest that organizational heads of

department have a contributory role towards the overall affectivity of record management practices.

5.2.3 Role of Records Management in Facilitating Accountability and Transparency

The findings on objective three showed that a majority of the respondents agreed that effective management of records can enable easy access to information, fulfillment of financial requirement and accountability as well as effective organizational administration. These findings clearly show that effective records management can enable the attainment of organizational accountability especially regarding financial accountability.

Auditing relates to financial accountability. Majority of the respondents, 100 percent agreed that indeed, records are essential in the auditing process. The last question tackling this objective was question eight in the questionnaires. The question required the respondents to indicate whether records management is essential in risk mitigation. Financial risk is the most common worries of many organizations across the globe. Thus, findings on risk management can create insight on the role of records in risk management. Thus, all the 48 respondents agreed that records are essential documents in overall organization risk mitigation.

A correlation coefficient on the relationship between records management and organizational administration showed an outcome of 0.97, which is a positive correlation. It implies that records management positively impacts organizational administration and records management practices are likely to improve organizational administration especially with regards to enhancing accountability and auditing, risk management, and tracing organizational operations and progress.

5.2.4 Most Appropriate Model for Effective Records Management Practices at Kenya Re

The ultimate aim of this study was to uncover an appropriate records management model for effective records and organizational management. Thus, the respondents were required to provide effective records management practices based on their negative and positive organizational experiences in their respective departments. Factors identified include the provision of enough resources for effective records management practices, employment of more records management staff, and the implementation of policies for effective records management. A statistical computation of the relationship between records management and organizational

administration attested a positive correlation. Hence, improved records management practices is likely to improve the organizational administrative functions including risk management, auditing and accountability and tracing organizational activities and progress. Therefore, based on the findings, it is apparent that effective records management is vital for successful organizational operations. Organizational heads of departments should also be aware of their significant role in effective records management and take the initiative to lead their followers towards the attainment of effective organizational operations.

5.3 Conclusion

Records management is an imperative element in any organization. It is through records management that everyday activities of any organization can be accounted for. Such activities can be recorded and provided as verification documents. Thus, records management is a critical element in organizational administration, risk management, auditing, and financial accountability. Therefore, organizations should set aside sufficient funding for effective records management including hiring more staff. Training of records management staff should also be made mandatory in all organization to attain effective records management practices. Effective organizational records management enables easy access to records to expedite accountability and verification processes. Through effective records, impending risks can be identified, measured, and mitigated before they occur.

5.4 Recommendations

Based on the research outcomes, the recommendations for the study are as follows;

5.4.1 Leadership

Based on the findings, it is apparent that organization leaders such as heads of departments and general managers have a critical role in overseeing the actions of their staff in records management. Effective organizational operations trickle down from organizational leaders to employees. Thus, organizations should ascertain that the top management have the required skills such as effective records management, and that they should act as role models for their followers.

5.4.2 Space

Despite the critical role of record in an organization. It is unfortunate that records management departments experience challenges such as insufficient space. Lack of space leads to the congestion of processes, hence inadequate operations. Thus, there is need for Kenya Re to provide sufficient resources and space for effective records management as it is critical for organizational administration purposes.

5.4.3 Adequate Staff and Training

Another challenge of records management departments based on the study findings is the inadequate staff training and lack of skills for effective records management, and negligence of the health and safety of records management staff given the vulnerability of tasks involved such as working with dusty files. Thus, the organization should put in place mechanisms such as setting aside enough financial resources for staff training and to ensure staff health.

Statistical findings reveal a positive correlation of 0.97 between records management and organizational administration. Therefore, heightening activities aimed at realizing better records management is likely to improve the administrative function within the organization. As a result, this research recommends that all organizations including Kenya Re recognizes the critical role of their records management segment and set aside sufficient resources such as finances and space for effective records. Employment of adequate records management staff and onsite training which can also improve records management outcomes.

5.5 Suggestions for Future Research

Based on the research findings and the contemporary technological advancement, future researchers interested in a similar topic can explore factors such as the role of records management in other organizational functions or factors impacting effective records management. In other words, prospective researchers can base their studies on finding out the other factors affecting or being affected by records management;

1. Impact of records management on human resources practices in an organization
2. Impact of future technological advancement on records management
3. Long term impact of records management on respiratory health of workers

5.6 Chapter Summary

This chapter provides a comprehensive elaboration of the findings and their inferences based on the literature review. The recommendations emphasize on an appeal to all organizations including Kenya Re recognize the critical role of its records management segment in all aspects of organizational administration including risk management, financial accountability, and the auditing process. Therefore, they should set aside sufficient resources for effective records management practices.

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APPENDICES

APPENDIX I: LETTER OF INTRODUCTION

Diana Nyamwamu,
PO BOX 30271-00100
NAIROBI
21stJune 2017

To
The head of Records Management Department
Kenya Reinsurance Corporation
P.O Box, 30271-00100
NAIROBI

Re: Request for a Research Permit at Kenya Reinsurance Corporation

I am a staff member at the Records Management Division in this institution undertaking a Master's degree in Library and Information Science at the University of Nairobi. I am writing to request for permission to conduct my research in this institution. The aim of the study is to investigate the significance of records management practices in the management of the Kenya Reinsurance Corporation. The objectives include finding out the records management practices at Kenya Re, assessing the role of sectional Heads of Department in the management of records at the institution, and establishing an appropriate model for effective management of records at Kenya Re. The findings of the study are likely to improve records management practices in the organization. It is my humble request and hope that I am granted permission to do the research. I am looking forward for a positive response from you.

Yours Sincerely

Diana Nyamwamu.

APPENDIX II: QUESTIONNAIRE FOR STAFF

Introduction

Thank you for your time off your busy schedule to respond to this questionnaire. Your input is vital and will help me carry out a comprehensive analysis of the records management practices at the Kenya Reinsurance Corporation. The questionnaire will also gather information on the significance of effective records management. All your input will be confidential as you are not required to indicate your name in any part of this questionnaire. Thank you.

SECTION A

BIOGRAPHICAL DATA

1. A) *Kindly tick on your Years of experience working at the organization*

Year of experience at the organization	Below 3 years	3-6 years	6-9 years	10-13 years	13 and above years

B) *Kindly tick on your years of experience as a records management Champion*

Year of experience at the organization as a records champion	Below 3 years	3-6 years	6-9 years	10-13 years

2. *Kindly state the Specific department that you work in the organization*

SECTION B

RECORDS MANAGEMENT PRACTICES AT KENYA RE

3. *Kindly tick the records management activities practiced in your department*

Records management activities	Pick all that are applicable
Record creation	<input type="checkbox"/>
Record Maintenance, use and storage	<input type="checkbox"/>
Records indexing	<input type="checkbox"/>
Record classification	<input type="checkbox"/>
Record disposal	<input type="checkbox"/>

4. *Kindly tick on what best describes the benefits of effective records management practices in an organization*

Records management activities	Pick all that are applicable
Effective organizational management	<input type="checkbox"/>
Easy access to information	<input type="checkbox"/>
Routine destruction of redundant information	<input type="checkbox"/>
Fulfillment of financial requirements	<input type="checkbox"/>
Fulfillment of legal requirements	<input type="checkbox"/>
Accountability of organizational actions	<input type="checkbox"/>
Efficient business	<input type="checkbox"/>
Supports critical decision making including administrative decision making	<input type="checkbox"/>

5. *Records management practices are significant during the audit process at Kenya Re?*

- i) Strongly Agree
- ii) Agree
- iii) Disagree
- iv) Strongly Disagree

6. Records management practices are significant in the mitigation of risks at Kenya Re?

- i) Strongly Agree
- ii) Agree
- iii) Disagree
- iv) Strongly Disagree

7. Are there any challenges you encounter in your daily management of records at your department?

- Yes
- No

8. If yes to (7) above, kindly indicate some of the challenges you face (as an individual)

**ROLE OF SECTIONAL HEADS OF DEPARTMENTS IN THE MANAGEMENT OF
RECORDS AT KENYA RE**

9. What is the role of your Head of Department in regards to records management?

**ROLE RECORDS MANAGEMENT IN FACILITATING ACCOUNTABILITY AND
TRANSPARENCY IN ORGANIZATIONAL ADMINISTRATION**

10. Effective records management enhances transparency and accountability in organizational administration

True

False

11. What according to your opinion can improve records management at Kenya re?
