IMPLEMENTATION OF RECORDS MANAGEMENT PROGRAMME AT MWALIMU NATIONAL SAVINGS AND CREDIT CO-OPERATIVE SOCIETY LIMITED, NAIROBI

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DEPARTMENT OF LIBRARY AND INFORMATION SCIENCE

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Declaration

This research project is my original work and has not been submitted for examination to any other University.

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Dedication

This work is dedicated to Almighty God the Lord and provider of all strength, knowledge and wisdom and to my father Joel for his love of education together with my children Joy and Claire. Your memories will live with us forever and shall forever cherish and love you all.
Acknowledgements

First and foremost, I wish to thank the Almighty God for his grace without whom I would not have completed this work.

The completion of this work was made possible through the encouragement, cooperation, assistance, guidance and constructive criticism from various people. I am particularly grateful to the following: My supervisors Madam Grace Irura and Dr. Charles Nzivo, who tirelessly and with dedication read through my work, giving valuable advice and constructive criticism. I sincerely thank my employer Mwalimu National Sacco for financial assistance and material support and time to undertake the research.

My thanks go to my father, sisters, and brothers who kept encouraging me to finish this thesis so that I could be a role model and to my children and the entire family. Finally, I appreciate my colleagues in the class especially Mr. Maina, who sacrificed his time to make sure I enrolled for the course.
Abstract

Records are paramount in any organization since they document the management all activities of that organization. The implementation of a records management programme depends upon proper infrastructure, staff, and equipment. Therefore, records management issues should be addressed by the management to enhance implementation of a records management programme. The aim of the study was to investigate the implementation of records management programme in support of service delivery at Mwalimu National Sacco. The specific objectives of the study were to identify the existing policies governing the management of records, find out staffing levels of staff involved in records management, determine contributions made by records management program in management of records, examine the types of documents created and find out the challenges encountered in managing records and propose recommendations on records management frameworks that could close the identified gaps. It was qualitative in nature, and data collected using interviews and was supplemented by observation. A sample size seventy three respondents were selected for the study using purposive and convenient random sampling techniques. The study included four managers, six records officers, twenty nine action officers, six archive officers and twenty eight registry personnel. The data was analyzed qualitatively, using interpretive analysis method where frequency distribution tables were used. The major findings of the study were that: management of records in Mwalimu National Sacco was not effective and impacted negatively on service delivery. The factors that contribute to the state of records include lack of adherence to records management practices, procedures and policies: lack of retention schedules, lack of senior management support; inadequate personnel in the records units; poorly trained records management personnel and inadequate records management infrastructure. The study recommended that Mwalimu National Sacco should develop capacity for records management officers, develop retention and disposal schedules for records in Mwalimu National Sacco; review and implement policies and legislation for records; implementation of records management programme and enact records management policy. A framework to be use in the management of record in support of service delivery is provided.
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<th>Abbreviation</th>
<th>Description</th>
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<tbody>
<tr>
<td>ADM</td>
<td>Annual delegates meeting</td>
</tr>
<tr>
<td>CEO</td>
<td>Chief executive officer</td>
</tr>
<tr>
<td>DBA</td>
<td>Database administration</td>
</tr>
<tr>
<td>DCEO</td>
<td>Deputy Chief executive officer</td>
</tr>
<tr>
<td>FOSA</td>
<td>Front office savings account</td>
</tr>
<tr>
<td>IT</td>
<td>Information technology</td>
</tr>
<tr>
<td>ISO</td>
<td>International Standards Organization</td>
</tr>
<tr>
<td>KNADS</td>
<td>Kenya National Archives and Documentation Services</td>
</tr>
<tr>
<td>MIS</td>
<td>Management information system</td>
</tr>
<tr>
<td>RMP</td>
<td>Records management program</td>
</tr>
<tr>
<td>SACCO</td>
<td>Saving and credit co-operative</td>
</tr>
<tr>
<td>SRS</td>
<td>Senior registry supervisor</td>
</tr>
<tr>
<td>EDRMS</td>
<td>Electronic document and records management systems</td>
</tr>
<tr>
<td>QDA</td>
<td>Qualitative data analysis</td>
</tr>
<tr>
<td>RM</td>
<td>Records management</td>
</tr>
<tr>
<td>IRMT</td>
<td>International records management trust</td>
</tr>
<tr>
<td>HOD</td>
<td>Heads of departments</td>
</tr>
<tr>
<td>RO</td>
<td>Records officers</td>
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CHAPTER ONE

INTRODUCTION

1.1 Introduction

Chapter one provided background information to the study. It presents background information about Mwalimu National Sacco. Other issues covered include background to the problem, problem statement, the aim and objectives of the study, research questions, and the significance of the study, scope and limitations and definition of operational terms.

1.2 Background to the study

Good management of records is essential for any corporate body to function effectively. There is need for business operational needs, record management and systematic organizational control through a life cycle, statutory and fiscal requirements and organization records. ISO 15489-1:2001 defines records management as the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records. This includes the processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records. Effectiveness in records management of corporate records guarantees proper use of disposal retention schedules which facilities fast, accurate and reliable information accessed. It also ensures timely shredding or destruction of redundant information and identification as well as protection of vital and historical-critical records.
Shepherd and Yeo (2003: 2) explain record as evidence of activity. In essence, the body of records should support the organization's business so that staff can consistently work in full knowledge of the processes, decisions and actions that inform, lead to and initiate that business. The records should provide credible and authoritative evidence to protect the rights of the organization, its staff and anyone affected by its activities. The records should provide an institutional memory so that time and distance do not affect the availability of corporate knowledge resources. They also should provide the evidence and information required for any possible internal and external audit.

Kasumba, (2013:128) and Piggot (2002:1) discuss several reasons why governments need to manage and maintain records properly which includes that government relies on the legislative records, court records, police and prison records to preserve the rule of law. He further adds that records are used by government to demonstrate accountability to its citizens, by relying upon policy files, budget papers, accounting records, procurement records police, personnel records, tax records, election records, property and fixed asset records. These records include pension records, social security records, land records and birth/death records which depend on the Protection of entitlements. He also points out that records used in providing services for its citizens as it environmental protection records, hospital records and school records.

An effective records management programme should provide systematic procedures and systems guiding management of records inclusive of appraisal and disposal. Systematic records disposal is a business exercise ensuring that money and staff time are not wasted on administration and storage of records with no business or archival value. As Millar (1997:23) explains, that the civil service reforms for effective management of records
throughout their lifecycle is a key issue. Quantities of inactive record without it blocked and expensive office space and is virtually impossible to retrieve important administrative, financial and legal information.”

A records management program covers all phases of the lifecycle and is, therefore, essential for identifying and safeguarding historic and cultural heritage (Asogwa, 2013:199). The general philosophy of management of records is to produce few, but better records irrespective of media to improve efficiency and economy but above all effectiveness (Ira et al., 1996:6). In the management, it is to prevent ad hoc destruction and disposal of closed records by planning and controlling and thus ensuring the retention of useful and necessary information materials.

Recorded information requires effective management by embracing the proper systems and impact or retention disposal schedules and thus destroying records when no longer needed and transferring of valuable records to low-cost storage areas. Disposal and retention schedules enable facilitate management of records that is they details the periods retained different types of records from the state. They also stipulate the various actions taken upon those records (Museum, 2005:3). It is, therefore, necessary for proper record scheduling at the creation or documents to ensure vital records are identified, created on durable materials, stored and maintained properly. Organizations are producing increasing large amounts of information and consequently greater volumes of records in paper and electronic formats. Essentially information is to be captured, managed and preserved in an organized system that maintains integrity and authenticity says (IRM T, 1999).
It has stressed that records are valuables because of their uniqueness and so they require not only care in handling and usage but also specialized methods to provided value. Efficiency in treating them is to ensure their longevity (Treasury, 2013). It enables the organizations not only to function on a day to day basis but to fulfill its legal and financial obligations.

McLeod (2010: 9) states that people have been managing records since the earliest civilizations. In fact, the first libraries were collections of public records. However, the initial emphasis was on records preservation. It was not until the establishment of the National Archives in the USA in 1934 and the development of the lifecycle concept in 1956 by Theodore Schellenberg that a comprehensive framework for managing records from their creation until the end of their life put in place. Records management is a function that has existed for some 7000 years. Around 5000 BC, the people of the Sumerian civilization produced the first records bygone era (Ira et al., 1994:8). They were business records comprising of taxes, loans and inventory records, which managed by the priests who controlled the economy. They were clay tablets records although were primitive (Ira et al., 1994:8).

The ancient civilizations housed in the libraries of the rules (McLeod, 2010:10). Such repositories would today consider archives but that distinction not made at the time. As the centuries passed the records media changed. Clay gave way to papyrus and parchment, and these in turn gave way to paper. Improvements of records keeping techniques were slowly developing since records were being recorded by more literate people e.g. the teachers, priest philosophers’ scribes and nobles (Ira et al., 1994:8).
At around 1200 AD a case file system was established in Rome, and status regarding records retention and disposition existed in the city-states of the northern Italy during the same time. Records management principles developed over the centuries. It was not until 15th century that any lasting records management innovation was developed (Ira et al., 1994:8). At the time, the registry system was established which improved later.

In 1789, the archives of nationals were established in France, which provided administration for the archives. In 1838, the British public records office act was passed establishing the principle of a centralized public authorized destruction of valueless materials and in 1889 general records disposal act was passed in the United States congress. In 1913, a bureau of studies was promoted and in 1934, the national archives of the United States were established with the lifecycle concept of records being developed.

Shepherd, and Yeo, (2003:102) note that there were highly structured management of current records had practiced for many years in a number of European countries including Italy and Germany. There was commonly a very clear and wide separation between the management of current records and the management of historical archives. Schellenberg, (1956) noted in Orr (2008:164) in the early stages, a governmental agency normally consists only of a few persons concerned of planning its organizational structure and programs. Their plans may not be committed to writing at all, and, if written, may not be preserved.

Despite the many developments in records management, there are still many problems experienced in categorized as follows: delayed service delivery due to irretrievability files, destruction of valuable data, lack of accumulation, lack of retention/disposal
schedules, inefficiency, poor records storage, retention of bulky files and lack of tracking systems

1.2.1 Mwalimu National Sacco Society

The effects of the prices increase due to the 1973/1974 oil embargo motivated a few of the Teachers Service Commission in salaries section to sort ways of getting credit to the financial difficulties of the time. The idea of forming an organization where members would borrow money and pay back with a little profit saw the birth of Mwalimu Savings and Credit Society, which registered as a co-operative society under registration no. 2265 on 22nd October 1974 comprising eleven members only. The society initially opened its doors to members of teachers’ commission secretariat, all TSC secondary school teachers, tutors and teachers in all primary school training colleges and taught staff of the national polytechnics. Today common bond includes teachers in TSC payroll, technical and specialized schools.

On 4th November 1974 the first society general meeting was held, and interim committee members elected. The start of a general campaign on membership recruitment began on 18th February 1975. The first annual general meeting held, and this saw the formation of the first central management committee with nine (9) members inclusive of chairman, vice chairman, secretary, treasurer and five other members who run the affairs of the community. This trend has continued to today the members were referred to as a board of directors.
In its formative stage, the community was housed by TSC and managed by TSC staff at no cost. The society moved with the TSC from Pan Africa House to Co-operative House till 1982 when it rented its office in development house. Later in 1985 the society bought Mwalimu Co-operative house and moved its present location. After the initial opening of its doors to secondary school teachers and tutors that saw the rise of membership from 60 in 1974 to 1427 in 1979, the society becomes an employer from 1982 when it employed its first staff.

The society spread its membership to teachers in higher learning institutions and became a country full Sacco society. 1982 annual general meeting (AGM) resolved to change itself from annual general meeting to annual delegates meeting (ADM). The same general meeting made a resolution that Mwalimu National Sacco decentralized into branches. The branches based as per the provincial administrative boundaries and delegates elected as representatives. The introduction of the delegates systems of agents 25 branches created with three delegates each. The first annual delegate meeting held on February 1984 with delegates from every branch.

The society is governed by the societies Act cap 490. It also complies with all governing rules, by-laws, regulations and circulars from the ministry of cooperative development. Apart from ministry of co-operative development, the society has its internal organization structure. The supreme authority has its internal organization structure. The supreme power is with the members through the elected delegates. The annual delegate meeting brings together all the delegates from all provinces for the purpose of formulating ways and means of operating the organization efficiently. Its main areas of service provision
include; delivery of credit and welfare facilities to its customers and mobilization of savings.

The Sacco Societies Regulatory Authority (SASRA) Deposit Taking Sacco Business License was given to the Sacco as required under the Sacco Societies Act 2008 and the Sacco Societies (Deposit-taking Sacco Business) Regulations of 2010, which are all in line with international best practices. The Mission of Mwalimu National Sacco is mobilizing funds, provide credit and other financial services to its members on competitive terms while the vision is to be the Sacco Society choice in the provision of financial services in Kenya and beyond.

At the beginning Mwalimu, National Sacco had its activities conducted under one registry. Later in 1982 they set up a central registry which was manned by clerical officers until 1987 when a trained registry superintended to employ. The superintended charged with the responsibility of catering, for society records, inclusive of the over 68,000 membership file and general management file. The registry has over twenty-two staff members and occupies two floors of the current Mwalimu house building. There are six trained records officers. Despite having a central registry mandated to manage records, the department is faced with a number of issue’s which affects the performance of the section. The many problems experienced are categorized as follows: delayed service delivery due to irretrievability files, destruction of valuable data, lack of accommodation, lack of retention/disposal schedules, inefficiency, and poor records storage, retention of bulky files and lack of tracking system as well as lack of records management policy
Figure 1: Current Organization Chart of MWALIMU National Sacco. Source: Mwalimu National Sacco newsletter
1.3 Statement of the problem

Despite various efforts by the government through issuance of several circulars and ACTs of Parliament, for example, the Public Archives and Documentation Service Act (Cap 19) of 1965 (revised in 1991) enacted was to endowment of the preservation of public records and archives. The Public Archives and Documentation Act (Cap.19), provides a broad and generalized legal framework under which policies, procedures, regulations, rules and good practices developed for the better management of all records within the public service. The Disposal Act (cap 14) of 1962 made provision for the disposal of public records in the custody of the High Court and the Registrar-General legislation. The Freedom of Information (FOI) Bill, 2007 of Kenya requires that every public and private body produce a regularly updated manual detailing their records systems and for use. The Bill is dependent on good records management for its practical implementation and the Kenya Communications Amendment Act, 2009 among others. Regardless the Republic of Kenya records management linked circulars and Acts, there is lack of records management programme and policy in most private and government institutions.

There is less popularity of records management in Mwalimu National Sacco which have led to boards’ and administrators’ general ignorance in employing adequate skilled personnel in the field and hence resulting into many records management malpractices (Mnjama, 2003:95). Akotia (1999:3) indicated lack of records policy governing the creation use, maintenance, retirement; retention and disposal of closed records may lead to high accumulation of records and unmanageable levels hence loss of information materials through agents of deterioration of which is in place at Mwalimu Sacco.
Musembi (2002:8) states that there exists retention of valueless information and loss of vital records to less identification between the vital and ephemeral records. Inadequate of storage space reflected by storage of numerous records as well as destruction of records and loss of vital information which is both variable to the institution, government and country as a whole. Accessibility and records retrieval is impossible due to lack of records management systems and practices resulting to poor records keeping, hence delayed decision making. Major problem facing Records management at Mwalimu National Sacco includes insufficient storage equipment for both the current and recurrent records. It is expensive to an organizations’ in terms of time and space as well as equipment’s.

Lack of records retirement, retention and disposal instruments at Mwalimu National Sacco mean that the records managers do not have a time frame to determine the period documents retained. Retention disposal schedules ensure that inactive records are not unnecessary retained in high-cost office space and that information materials are not lost by adhoc disposal practices.

Archival materials are not identified and preserved as required due lack of retention schedules which makes performance of duties difficult, and costs organization money and resources. It makes records then vulnerable to security breaches as also unmanaged records environment a lot of staff time is spent looking for information.
1.4 **Aim of the study**

The study aimed at investigating the implementation of the records management programme at Mwalimu National Sacco, Nairobi.

1.4.1 **Objectives of the study**

The objectives of the research were to:

1. Identify the existing policies governing the management of records, at the Mwalimu National Sacco.
2. Find out staffing levels of staff involved in records management at the Mwalimu National Sacco.
3. Determine contributions made by records management program in management of records at Mwalimu National Sacco.
4. Examine the types of records created in Mwalimu National Sacco.
5. Identify challenges encountered and provide recommendations in management of records at Mwalimu National Sacco.

1.5 **Research Questions**

1. What policies govern management of records at Mwalimu National Sacco?
2. What caliber of staff handles records related activities at Mwalimu National Sacco?
3. What programs used in the management of records at Mwalimu National Sacco?
4. Which local and international standards govern management of records at Mwalimu National Sacco?

5. What could be the challenges encountered in managing records in their continuum management Mwalimu National Sacco?

6. What could be strategies to improve management of records Mwalimu National Sacco?

1.6 Assumption of the study

The study was guided by the following assumptions:

1. Organization records keeping process must be governed by a records management program without which it can’t survive.

2. Even if records management advices the organization it is not effective for decision making.

1.7 Scope of the study

The study focuses on Mwalimu National Sacco headquarters management of records. Mwalimu National Sacco has various departments and sections; however the research will concentrate mostly on the registry department that is responsible for creating, maintaining and archiving records. The scope of respondents will be limited to the management, actioning officers and registry personnel.
1.8 Limitations of the study

Study limitations are related to instruments used to collect data. The interviewing instrument, lack of standardization in the data process makes interviewing highly vulnerable to biases. The flexibility of interview leaves room for the interviewer’s personal influence and bias. As O'brien, (1998) said, the principle of reflexivity ensures researchers reflect on issues and processes and makes explicit the interpretation, biases, assumptions and concerns upon which judgment made. It will require time to interrogate own bias so that an openness achieved.

Another limitation is that few studies done in Kenya linking records management program to co-operative society’s management of records, thus literature relating to the topic may be scanty the findings of the study will contribute by generating new knowledge and source materials on the subject. Past experiences and biases, as well as own assumptions in the system may be a limitation. Ineffective answers in the questionnaires by the targeted respondents and unwillingness of some staff members to respond to the researchers or unknowledgeable to answer the questions appropriated hence difficult to get all data concerning records.

1.9 Significance of the study

The study findings are expected to assist Mwalimu National Sacco strengthen the implementation strategies by emphasizing more specifically on management of records as a vital component in scaling up efficiency and effectiveness in service delivery in Organizations. The study shall benefit the management Mwalimu National Sacco since it will offer a basis for enhancing systematic records management system which has
incurred financial constraints in terms of storage space and time wastage for search of records.

The study will make a significance contribution of adding to records management knowledge. It is expected to enhance in the development policies and procedures that assisted in proper records management in the organization. This will support efficiency and effectiveness in management of human and financial resources; therefore promoting service delivery, good governance as well as protection of both employees and citizens’ rights.

The study endeavor to enrich existing literature liked to records management in co-operative societies. It enhanced growth in knowledge in co-operative sector. It will also be significant to scholars and academicians as it prelude for future research related to management of records. The study is unique in that it may concentrate on records management in co-operative societies had a lot of research done on before hence it was also used as a guide for further research as it is secondary data.

1.10 Operational terms and concepts

Action officers

Action officers are the accounts officers mandated in taking action on members files and letters.

Appraisal refers to the process of determining the value for the disposition of records based upon their current administrative, legal and fiscal use, their evidential and
informational or research value, their arrangements and their relationships as defined by (Schellenbeng, 1985).

**Policy:** are sets rules for the orderly and timely transfer of semi-current records of continuing values to a records centre and of permanent value to an archival repository (Millar, 1997:23).

**Record management program:** Standard: No. 8 (2004) a records management program/framework, the people and the recordkeeping systems required within an organization to manage full and accurate records over time.

**Record:** will be any information created, received and maintained as evidence and information by an organisation or person, in pursuance of legal or obligation or in the transaction of business (ISO 15489, 2001).

**Records continuum model:** is a consistent and coherent regime of management process from the time of the creation of records and even before the creation, in the design of records keeping system through to the preservation and use of records as archives (Xiaomi, 2003:26)

**Records life cycle model:** is the analogy from the life of a biological organism that was born, lives and dies in the same manner a record created received in the office; it organized used and maintained and later disposed of off (Millar, 1997).

**Records management programme:** is a prescription for records management and must have a framework, from which to grow (McDonald, 1995).
**Records management:** is the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including the processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records.(ISO 15489-1,2001).

**Record Schedules:** a list of all continuing and regular records series which can be clearly unidentified and labeled which allocates to each series an appropriate life span (Cook, 1980).

**Theoretical framework:** is a collection of interrelated ideas based on theories. It is a reasoned set of propositions which divided from the supported by data or evidence, and they are meant to account for and explain phenomena by clarifying why things are the way they are (Kombo et al., 2006:103).

### 1.11 Summary

The chapter has presented the background information to the study, statement of the problem, the aim and objectives of the study, research questions, and the significance of the study, scope and limitations and operational terms. It also presents background information about Mwalimu National Sacco the area of study.

The aim of the study was to investigating the implementation of the records management programme at Mwalimu National Sacco. The specific objectives of the study were to identify the existing policies governing the management of records, find out staffing levels of staff involved in records management, determine contributions made by records management program in management of records, examine the types of documents created and find out the challenges encountered in managing records and propose
recommendations on records management frameworks that could close the identified gaps. It then gave way to review literature related to the subject in the following chapter.

CHAPTER TWO

LITERATURE REVIEW

2.1 Introduction

The chapter presents the conceptual framework and the literature on records management programmes. It highlights some of the relevant studies carried out in Kenya and other countries on records management programmes. The literature reviews related themes which include the records management policy, and legal framework, staffing and types of records.

2.2 Records management policy

Policy is a written statement that provides rules, guidelines and procedures of conducting activities (Ghosh, 2011). Penn (1994:5) argues that the system described as a type of directives. Directives are issues that guide, instruct, or inform the people in individual or group to have a proper thought out policy are for guiding the management and staff on how to carry out their routine activities. It simply refers to rules, regulations, procedures and guidelines which are set to govern the organization or activity. In any organization, there will be a system installed to govern the staff that performs various duties. It is helpful for them to follow the guidelines laid down.
The international for record management, ISO 15489, was published on October 3, 2001. The standard described as “the bible for the (records management) community, a manual for the coalface workers, and teaching course for the academics” (Steemson, 2001:127). Although not a mandatory compliance standard, it’s used as a guide and roadmap for records management and provides not only “statement of good practice in records management” (Hughes, 2003:117) but provides records managers with a number of opportunities. At the most basic level, it demonstrates that records management is an international profession that is committed to improving service delivery and providing high caliber services. It also provides a very clearly articulated value proposition for records management and the benefits a records management programme supplies (ISO, 2001a).

Policies are formulated by management in conjunction with records officers, archivists and curators to help and guide the staff in the organization. They are documents that show an agreement that made an insurance company. It continues to state that the policy is a way of behaving that thinks the best in a particular situation. Records management as well as disposal of records, requires systems which set its objectives, purpose, and conditions which define the scope of the activity. The authority under which they operate stipulated (Commonwealth, 2010).

Millar (1997:23) observes that the plan sets regulations that would help in the orderly and timely transfer of semi current records and continued values to a records Centre and of permanent value to an archival repository. The framework is crucial to the success of the whole records management program. The systems depend on level and nature of use and the degree it recognizes information strategic assets. Records system is therefore,
essential in any organization including Mwalimu Sacco to enhance good records keeping practices.

2.2.1 Aim of a Record Policy governing records management

Although the policy states that traditional records survey techniques focusing on the records themselves may be used too, for the pilot study Man, (2010:115) reflects that the assessment, retention schedule and disposal policy are designed to achieve the following. It’s a public organizational statement of purpose and objectives for the activity. It defines the scope of the appraisal, retention schedules and disposal activities. It provides legal and authoritative basis to the personnel to exercise all the powers and perform all the duties, responsibilities and functions with which concerns the activity. As the author further discusses, it facilitates consistency, allows uniformity and impartiality in the procedures and conditions adopted for the management of record. It also establishes priorities for budgeting and planning for information management activities. To establish accountability of government agencies need to establish information records and archives. His helps in ensuring appropriate resources for information management and protects staff against health risks or physical dangers associated with their work.

Retention schedules, appraisal and disposal are essential to any structured or individual organization to help in achievement of efficiency, effectiveness and economy as shown below. The table represents the phases in the lifecycle model current, semi-current and the archives which is non-current phase. The table also shows an analysis of activities in each of those phases.
Table 1: Phase’s records cycle (Millar, 1997)

<table>
<thead>
<tr>
<th>Phase</th>
<th>Current</th>
<th>Semi current</th>
<th>Archives</th>
</tr>
</thead>
<tbody>
<tr>
<td>Operational</td>
<td>Business process analysis ↓</td>
<td>Receipt into records centre ↓</td>
<td>Accession to archival reposition ↓</td>
</tr>
<tr>
<td>Analysis</td>
<td>Creation / Receipt ↓</td>
<td>Maintain arrangement and documentation ↓</td>
<td>Arrangement and description ↓</td>
</tr>
<tr>
<td>Creation</td>
<td>Classification filing documentation ↓</td>
<td>Review secondary values ↓</td>
<td>Preservation and conservation ↓</td>
</tr>
<tr>
<td>Control</td>
<td>Schedule primary and secondary value ↓</td>
<td>Safe keeping in the file ↓</td>
<td>Public access/ outreach ↓</td>
</tr>
</tbody>
</table>

**Source: Millar (1997)**

Judith (1993:145) regards the project as work which is responsible of asserts that regardless of the project or the nature of work for which you are responsible for you will be more effective and efficient if you plan, systematize and document your work for well managed appraisal, retention and disposal of records which portrays the efficiency of an organization. There is a need to practice the policies laid down and establish some in cases like Mwalimu Sacco where they do not exist.
Asma and Yusof (2009:236), Van and Bronstein (1986:31) observes policy as a general prescription for guiding decision making can be narrow or broad explicit or implicit. It shows that the policy is a factor in decision making. It is by the use of policy that decisions in the management of records. The record management should see to it that policies put in place. A policy document could be in existence that is written and passed everybody to follow and adhere to. It is only through concerted effort to have a document that defines regulation and procedures followed in future. Every activity in records management is governed by basic rules and regulations that govern the organization in respect to the records it produces. The policy on records schedules is the fundamental and essential commodity about recorded information (Millar, 1999). It describes the legislation support on policy and explains how records with legal value are supposed to laid off.

Musembi (2002:43) asserts that it is included so that officers are aware on who has the authority for the disposal of records and that any record that has been scheduled should be destroyed after a given period as per the schedule. There are regulations regarding the possible leakage of information to the unwanted person, and the disposal/ retention schedule stipulates the rules to follow.

2.2.2 Benefits of records management

The benefits of effective records management as outlined by Blake (2005) includes promoting efficient joint working and information exchange, facilitating evidence-based policy-making and supporting administration of data protection principles and effective implementation of freedom of information and other policy legislation through good
organization of records, and support accountability by providing reliable records of actions and decision and knowledge management across sectors of government by making reliable information available for sharing extraction and summarization.

ISO 15489-1( 2001) , World Bank Group ( 2005) and IRMT( 2005) outlines the benefits of effective records management as follows: Protection of rights and entitlements, providing services to citizens, meeting legislative and regulatory requirements, effective management regulatory requirements, effective management of resources, support accountability by providing reliable records of actions and decisions, assigning responsibilities and authorities and maintaining corporate, personal and collective memory.

Roper et al., ( 2002:8) gives some of the reasons why business and government organisations need records management as to include: control the creation and growth of records, improve efficiency and productivity, ensure regulatory compliance, minimise litigation risks, safeguard vital information and preserve the corporate memory.

### 2.2.3 Legal and regulatory framework for records management

In Kenya there are several legislations and policies that require departments and ministries to maintain their records. They contain explicit or implicit records keeping requirements that have an impact on the way records should be maintained. The legislation include:-The Public Archives and Documentation Service Act Chapter 19 revised 1991, Government financial regulations chapter 23. Miscellaneous accounting matters 1989, the employment Act Chapter 226 revised in 1977 and 2007, laws of Kenya, the regulation of wages and conditions of employment Act Chapter 229, laws of Kenya. The service
commission Act Chapter 185 of 1967 laws of kenya, Income tax Act Chapter 470 revised
on records managemnt(draft) 2008, The Kenya Communications Act, 1998, as amended
by the Kenya Communications (Amendment) Act, 2009. The two sets of legislation have
been amalgamated to form the Kenya Information and Communications Act, CAP 411A
The Disposal of Records Act 1962, and The Official Secrets Act

2.2.3.1 The Public Archives and Documentation Service Act (Cap.19) of 1965
revised 1991

The Kenya National Archives and Documentation Services were first established by an
Act of Parliament in 1965. Kemoni and Ngulube (2007:122) stated that records and
archives legislation exits in many countries in the form of a National Archives
Acts related to rules and regulations. The responsibility of managing public
records and archives in the Kenya Public Service is vested in the Kenya National
Archives as is stipulated in the Public Archives and Documentation Service Act
(Cap.19). In second schedule of this Act, public records are defined as the
records of any Ministry or Government Department, and of any commission,
office, board, or other body or establishment under or established by or under an
Act of Parliament; records of the High Court and of other court or tribunal; the records
of Parliament and Electoral Commission; and records of any Local Authority or other
authority established for local government purposes.

The Public Archives and Documentation Act (Cap.19), provides a broad and
generalized legal framework under which policies, procedures, regulations, rules and
good practices can be developed for the better management of all records within the public service. Section 15(c) and (d) empowers the Minister to make regulations generally for the better carrying out of the purposes of the Act, particularly the regulations providing for the responsibilities of persons having the custody of public records and for the examination, disposal or destruction of public archives and public records. This section can be utilized to put in guidelines for the management of all records including Retention and Disposal Schedules and over Guidelines for the retention and disposal of personnel records are usually documented in such tools.

2.2.3.2 Government Financial Regulations Chapter 23; Miscellaneous Accounting Matters, 1989

The disposal of accounting records is governed by financial orders issued by the Government. Sections 26 and 27 of the above mentioned chapter authorize accounting officers to destroy certain financial records after agreed retention periods. However, no records that is subject to audit related contextual information. This is meant to provide citizens with information about the records in the custody of private and public bodies so that they know what is available. Queries may be destroyed under these menial orders. Certain financial records with archival value are supposed to be preserved.

Section 23.4 provides considerations for the preservation of accountable documents, books and records as follows; where they may be of value to the National Archives and if they are likely to be needed for pension purposes (e.g. salary records). Other legislations that affect the retention and disposition of official records are laws relevant to the
hiring of workers in the country. Some of these are outlined below, highlighting the various sections that impact on records keeping requirements; -
2.2.3.3 The Employment Act Chapter 226 Revised 1977 and 2007, Laws of Kenya

Various parts and sections of this Act (Part IX) spell out the kind of records to be kept by the employer. Among them are written records of all employees under contract and should contain particulars such as policy statement, rest days, annual leave, maternity leave, sick leave, house allowance paid, food rations etc. Additionally an employer should permit an authorized officer who may require him/her to produce for inspection the records for any period relating to the preceding thirty six months.

Other clauses in the Act touch on aspects of secrecy of information (disclosure to unauthorized persons) and the falsification of personnel records. However, noticeable omissions in the Act include specific disposal guidelines for these records.

2.2.3.4 The Regulation of Wages and Conditions of Employment Act Chapter 229, Laws of Kenya, 2007

Section 20 (1) on Records and Notices states that the employer of employees to whom this Act applies should keep in English such records as are necessary to show whether or not he is complying with the provisions of the wages regulations orders. Such records should be retained by the employer for a period of at least two years after the date of the last entry therein.

2.2.3.5 The Service Commission Act Chapter 185 of 1967, Laws of Kenya

The Act made provisions for the Public Service Commission and the Judicial Service Commission. The importance this Act is the assertion that the Commission may require the production of any official document relevant to any exercise of its functions. Any
public officer who submits any matter before the consideration of the commission should ensure that all relevant documents and-papers are made available to the commission. (Subsidiary Legislation; Public Service Commission Regulations Part II (2). This clause only highlights the importance of records in decision-making but does provide guidelines on the on long these records should retain before being eventually disposed of.

2.2.3.6 Income Tax Act Chapter 470 Revised 1989, Laws of Kenya

The Income Tax Riles (P.A.Y.E) section 130, states that an employer could be called upon by the Commissioner of Income Tax to produce in, English or any other language, for inspection the following categories of records; "All wage sheets, salary vouchers, and other books, documents and records whatever relating to the calculation or payment of the emoluments of his employees in respect of the years or months specified by the commissioner, or to the deduction of tax by references to those emoluments."

2.2.3.7 The National Social Security Fund Act chapter 258 Revised 1989

Regulations under Sections 5 (3) and 8 (RegistrationRegulationNo.7 (2) stipulates that every contributing employer should keep a written record of the Fund membership number of each of his employees who is a contributing member.

2.2.3.8 Proposed Freedom of Information legislation of Kenya Bill (2007)

The Freedom of Information (FOI) Bill, 2007 of Kenya requires that every public and private body produce a regularly updated manual detailing their records systems and for use. The Bill is dependent on good records management for its effective implementation.
Section 26 (1) states that every public authority shall keep and maintain its records in a manner which facilitates the right to information as provided for in this Act. Section 26 (2) It states that for one to qualify to have complied with the duty to keep and maintain records under subsection (1), every public authority shall; (The Freedom of Information Bill, 2007).

Create and preserve such records as are necessary to document adequately its policies, decisions, procedures, transactions and other activities it undertakes, pertinent to the implementation of its mandate; Ensure that records in its custody, including those held in electronic form, are maintained in good order and condition; and Within no more than three years from the date on which this Act comes into force, computerize its records and information management systems in order to facilitate more efficient access to information.

The bill makes it a requirement for public authorities to set up records management systems and procedures to facilitate the right access to information as it makes it a right for citizens to have access to information held or under the control of public authorities.

The same right is extended to information held or under the control of a private body, where that information is necessary for enforcement or protection of any right.

2.2.3.9 National Policy on Records Management draft (2008)

The Ministry of State for National Heritage and Culture through the Kenya National Archives and Documentation Service (KNADS) in collaboration with the Kenya Anti-Corruption Commission (KACC) are in the process of developing a National Policy on
Records Management (NPRM) which is currently still a draft. According to the draft on National policy on Records Management (Draft on NPRM, 2008), the purpose of the policy is to provide guidance in the management of records from creation to disposal and to facilitate standardization in the application of procedures and practices in records and archives management.

A sound National Policy on records management will provide accurate dissemination of information, effective retrieval of information, appropriate storage equipment, formalized standards and procedures, appropriate retention and disposal strategies, high level of security and ensuring legislative and regulatory compliance among others. The policy once promulgated will provide a framework for efficient and effective creation, use, storage, maintenance, access and disposal of public records. It will enhance transparency, accountability and good governance in management in public sector. A consultative workshop and forum with professionals and records management officers was conducted on the draft policy.

2.3 Role of records management program in management of records

Records management is the direction of a programs designed to provide economy and efficiency in the creation, organization maintenance used and retrieval and disposition of records assuring that needless records are not preserved and made available. National Archives of Scotland (2013) defines records management as the process of selectively reducing to manageable proportions the bulk of records indigenous to modern civilization in such a way as permanently to pressure those of cultural value without impairing the sensitive integrity and mass for the purposes of research.
The international standard for records management, (ISO 15489) provides guidance to ensure that adequate records are created, captured and managed to meet the operational needs of an organization in accordance with the regulatory environment. (ISO 15489) further states that a records system should have functionality to carry out and support records management processes, including retention and disposition. As various authors argue records management principally seeks to generate fewer and better records, it also has a target that those records which have to be retained for legal, contractual, fixed personal or administrative purposes are handled inexpensive efficiently and above all intelligently as long as they are properly disposed of when its time has passed. Chairman (1982:21) sees Records Management as "concerned with efficient generation arrangement and use of records for business purposes and their eventual disposal when no longer required". This notifies that the above good records management should be practiced from the beginning to the archival stage of records. This stresses the need of records management program with its view of covering the life cycle of a record which is best demonstrated by the chart below to demonstrate the stages the records management program has to cover.

Standard: No. 8 (2004) states that a records management program encompasses the management framework, the people and the recordkeeping systems required within an organization to manage full and accurate records over time. The records management program covers all records and all recordkeeping systems in a public office. This includes the identification and protection of records with longer-term value that may be required as State archives. A typical records management program establishes a framework within which a number of recordkeeping processes can be performed, including: Records
creation and capture, registration, classification storage and handling, access and use, tracking and disposal.

Adequate records management infrastructure enables the public office to maximize the efficiency and effectiveness of making and managing full and accurate records. Records management first relates to the creation of records. According to Penn (1998:44) records are important for the purpose of government administration. The contained information needed for reference e.g. when planning of government projects thus they form a basis from which decisions of planning are made". This makes it important for a records management to intervene in the creation. The systematic control over the creation, use, maintenance, retention, protection of all types of records and preservation of all types of records for the purpose of reducing cost, increasing efficiency and serving management through records handling operations.

The need for records management program cannot be overstressed in the information age. Popoola (2000:38) argued that a records management program is a prescription for records management and so must have a framework, from which to grow and stressing the use of technology in records management. Uwaifo, (2004:85) indicates that an effective Records Management program economics can be achieved through: at creation to ensure that only those vital important records are created, duplications is not done, unwanted records cannot be kept at creation, have an effective system of determining what records needs to be kept and for how long with effective retention/disposal systems it will be possible to empty the filing cabinets regularly to avoid purchasing new ones for new files, removal all non-current records from precious office space to low cost storage areas in the records centres where they can be serviced economically.
Where records are services centrally at record centre, fewer staff will be involved in the servicing of these records e.g. the officers as Nakuru records centre services all the records produced in the Rift Valley. In this sense the records management process is like a grant of historical filtering plans, gradually removing detritus and waste products until only a relatively pure substance remains. The process is aimed at making sure the information contained in the records is available at the time, and the point of need, with the minimum of delay and that there records which are vital for the operation of the business are identified and securely cared for to ensure that the business continues to function should a disaster strike" as Peter (1998) describes Records management is the institutions relates to filing of paper, circulation, control, care and custody information retrieval, preparation of retention and disposal. To be very effective in their operations the institutions both private and government requires qualified records management programs.

Also Mnjama (2002:5-6) says that efficiency can be achieved “By filing records in their proper subject files in the manner it will be possible to provide information when needed without much delay, keeping on up to date index of all the files held on the organization, "By opening files regularly rather than keeping bulky "cimibus" files," by regularly transferring those files which are no longer required by the organization for day to day operations through well prepared retention disposal program to records disposal program to records centre’s or archive".
Records management program according to NARA, (2012) must: Assign specific responsibility for the development and implementation of Agency-wide records management to an office of the Agency and to a qualified records manager. Apply appropriate records management practices to all records, irrespective of the medium (for example, paper, electronic, or other) It facilitates regular and systematic transfer of noncurrent records to low cost repository thus prevents unnecessary use of art and space for the storage of non-current records which are worthy for permanent preservation. It’s to ensure valueless records are not created or kept and they are disposed at the appropriate times.

This is achieved by observing the preparation of disposal schedules. It’s aimed at ensuring that unnecessary records are not created or kept and the ephemeral ones are disposed at the right time there by-ensuring that information disseminated whilst useful but it is quickly destroyed ones its value has ceased. It enables arrangement and description of records to be done systematically and intelligibly by so serializing the records having good/proper reference numbers and not having a big collection of files over a certain duration e.g. at every financial year. Thus assist creators of records or even researchers to identify the records they need. It facilitates easy retrieval, records are filed in their proper subject files held in the organization and use of finding aids, and this provides readily available information designed to provide operational maintenance of records to afford provide protection to records such as proper preservation equipment’s and methods. Records management preserves all recorded materials of various preservation methods are applied on particular or different forms of records to ensure that their contents are not distorted. Records are said to be effectively managed when there
could be standardized control over the records. If they could be easily retrieved and storage cost is low, there is maximum use of available resources, vital records are protected and records are evaluated for future importance (Treasury, 2013).

Developing and operating a records management policy and its associated programs and procedures requires resource investment in terms of time, finance and staff. For most organizations it will involve buying-in some consultancy in order to develop the initial policy and for advice on relevant programs, an investment in training in order to train a records manager, or the appointment of a qualified records manager. With any of these options there will also need to be top-level support for the implementation of a records management policy and training and awareness rising for other employees (Lesley, 1977: 656).

The information contained in organizational records needs to be managed in a planned and coordinated way in order to enhance the efficiency and effectiveness of the organization in carrying out its business and reduce or remove the possibility of lost, misinformation or the effects of a disaster on the business. Good records management has an important role to play in ensuring the competitiveness, efficiency and continuity of an organization’s business whichever domain or sector it happens to be in (Lesley, 1977: 657).

Records Managers reflects the primary purpose of the Records Management Program is to provide guidance and assistance to local and state government agencies in establishing records and information management programs and in managing the public records and information they create and use daily (http://dlis.dos.state.fl.us/). To that end, the
Program offers a variety of services related to records and information management including the following:

Establishes standards for controlling, retaining, and destroying or preserving public records, provides consulting services and training in the following areas, compliance with state laws, regulations, and policies records inventory and appraisal, including archival appraisal, records retention and disposition, records storage, records preservation principles, records system design, including creation and maintenance, records filing, indexing, and retrieval equipment micrographic cameras, storage, indexing, and retrieval equipment electronic recordkeeping requirements and guidelines as well as vital records protection planning and disaster planning and recovery

2.3.1 Benefits of a records management program

The benefits of a records management program are those of good recordkeeping. As described in a website (http://dlis.dos.state.fl.us/) a records management program provides the necessary infrastructure to manage full and accurate records in recordkeeping systems. Full and accurate records, support business outcomes, support decision-making, support accountability, and provide evidence. The benefits of a well-run records management operation are many:

2.3.1.1 Space savings.

Space savings is the most immediately realized benefit of a records management program. By implementing retention schedules and systematically destroying records that have met their retention requirements, an organization can significantly reduce the space occupied by records.
2.3.1.2 Reduced expenditures for filing equipment

Appropriate disposition of records can greatly reduce the need for filing cabinets, file folders, electronic storage media, etc.

2.3.1.3 Increased efficiency in retrieval of information.

Retrieval of information is made more efficient through improved management of paper records systems and cost-effective and efficient implementation of non-paper systems, such as electronic document imaging and micrographics. An added benefit in improving filing systems is the reduction of mis-files and lost records, which can result to costly searches to locate needed records.

2.3.1.4 Compliance with legal retention requirements and the establishment of administrative, fiscal, and historical retention requirements.

The hallmark of a good records management program is the establishment of retention requirements based upon an analysis of the records’ legal, fiscal, administrative, and historical requirements and values. In the absence of such requirements, many organizations either destroy records that should be retained or retain everything, thereby taking a legal risk or assuming unnecessary operating costs.

2.3.1.5 Protection of vital records.

Records management’s involvement in identifying vital records and in preparing a carefully designed disaster recovery plan can help an organization reduce its vulnerability. The destruction of important records can cost an organization millions of dollars and threaten the organization’s ability to function, thus jeopardizing its existence.
2.3.1.6 Control over creation of new records.

A significant percentage of the cost of information is in records creation. Records management, forms management, and reports management can help reduce the proliferation of unnecessary reports, documents, and copies, and at the same time improve the effectiveness of those reports and documents that do need to be created.

2.3.1.7 Identification of historical records.

Records managers play a vital role in the identification and protection of historical records. Often they are responsible for preserving and making available records having archival value. Records management programs should include procedures for identifying and ensuring documentary heritage Laboratory (2011) sees the benefits of records management program as increased accessibility to information, faster search and retrieval, improved efficiency and productivity, reduced workload, redundancy, paperwork, and clutter, reduced operating costs, retention and reusability of organization knowledge, safeguard vital information, improved regulatory compliance, facilitates the legal process, better support for management decision-making and preservation of our corporate memory and scientific research.

As Millar (1997:10) explains” the effective management of records throughout their lifecycle is a key issue in civil service reforms without it vast quantities of inactive records clog up expensive office space and it is virtually impossible to retrieve important administrative, financial and legal information.” a records management program me covering all phases of the lifecycle therefore is essential for identifying and safeguarding historical and cultural heritage. Lan (1978:21) argues that records serve first as all the
nations memories and enable society to plan intelligently for the future based on awareness of the past experience. In view of the above this means managing of records in co-operative societies despite the increase of members and activities the organization will manage to plan well having their plans based on the past experiences.

2.4 Staff Involved in the Management of Records

IRMT (2009) asserts that Personnel records play a vital role in providing the information needed by organizations to manage and pay their staff members, plan their workforce requirements and monitor staff performance. Ultimately, any organization’s development and sustainability will depend on sound and effective human resource management, and the approaches it chooses to follow will be derived in part from an analysis of the information contained in personnel records. New policies, standards and work practices need to be developed, and many more staff must be trained in their new responsibilities and procedures. While practices may differ to take account of local circumstances, common standards for record-keeping systems are still needed to ensure that agencies manage their records effectively and comply with good practice. In national governments, the National Archives and Records Service can and should play a key role in developing record-keeping standards and monitoring compliance. Similar agencies can support effective record keeping in other jurisdictions and in the private sector.

As stated by Kilgour, (2013:137) it is the job of the records manager to ensure that the records of a given creator or group document such transactions and are maintained in a way that preserves their reliability and authenticity. As such, we are able to understand that it is important for records managers to ensure that their organization creates the
records they need to according to business, administrative and legal standards; and that the records manager is able to monitor their arrangement, use and lifespan according to the organization's business, financial, and space needs (ISO, 2001).

Musembi (2002:8) observes that the quality of staff deployed in the registries determines the effectiveness and efficiency of the registry and the general records management functions. For any registry to be effective and efficient in its work, staff there should be well trained to handle the burden of that office. Whenever there are skilled, trained personnel, the output quality is already positive as compared to untrained personnel who only guess what they ought to do in their work places. The ultimate productivity of a days’ work depends to a large extent on the skills for this reason the purpose of training is to raise one’s skill and through skills it raises individual productivity.

As stated by Asogwa (2013:792) lack of skilled manpower and clear policies to handle electronic records promotes serious low profile accorded to records and records keeping and that made potential records professionals to develop cold feet toward records management. Added to these is an excessive current focus on information technology-oriented approaches to the creation, management, and preservation of electronic records. Where there is existing legislature, implementation was very weak, there was little or complete absence of sustained educational and training opportunities for electronic records management.

Grower (1985:22) writes on training on records management and argues that for good and efficient records management program to succeed training of personnel is an important element. The researcher corroborate this argument and notes that only
qualified personnel will make the necessary changes in the proper records management, appraisal, retention and disposal of closed records. A training program as well as empowering the trained will be the organizations future target to handle the voluminous accumulated records.

Wamukoya (1977:7) states that record personnel at all levels require appropriate training, in order to gain confidence in what they do. The records management will always expect good and valuable result even without considering the staff uses orientation to record use. Records should therefore make every attempt to get a sufficient number of high caliber people for their staff so that the things can get done in an expedient yet effective manner. The staffs as the key records users need knowledge on management of records only then one the analysts of what should be done.

“Staff should be motivated, financially, non-financially like having security on their jobs, promotion, congenial working environment, recognition of one’s effort, inviting staff involvement, training them externally and internally and social welfare and also to let them know about the rules and regulations to be followed” (A multi-site videoconference workshop, 2000). Each and every employee otherwise complain favourism leading to poor staff morale and defeating the basic objective of the organization. Due to ignorance the field of records management staff training has been neglected thus a lot of problems in decision making and delayed actions. The researcher is of the view that un motivated staff paves way to corrupted systems in the organizations hence creating havoc in management of records.
2.5 Types of records

Records include all information materials produced in the course of administrative work. Most records are on paper, but other formats also exist for example, audio or videotape, photographs, maps, electronic records (IRMT, 2010). A document regardless of form or medium created, received, maintained and used by an organization (public or private) or an individual in pursuance of legal obligations or in the transaction of business, of which it forms apart or provides evidence (Musembi, 2002:1). While all records convey information, not all sources of information are necessarily records for example, a published book or an externally provided database (on- or offline) will not be a record, although information selected from it and reused in a new context may itself become a record. Records arise from actual happenings; they are a ‘snapshot’ of an action or event. They offer a picture of something that happened. To serve their purpose in providing reliable evidence, records in both paper and electronic form must be accurate, complete, and comprehensive (IRMT, 2000).

According to 44 U.S.C. 3301, (2012), the term record includes all books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the U.S. Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them. Territory Records Office (2008) asserts that records exist in a variety of physical forms and compositions. This includes paper records, such as files, loose papers, bound volumes,
maps, plans, charts, books, cards, registers, forms. All record formats require protective packaging, such as wrapping, boxes or other containers. Non paper formats include: photographic prints and transparencies, negatives and slides, film, microforms, magnetic media, optical media, or objects in other formats such as plastic, metal, canvas, wood. Records may be in a range of sizes, and include small formats such as tickets or cards, and large formats such as plans and drawings, or artwork. Fritzke (2008:223) notes that data is intended for communication to bridge space and/or time. In this context, “recorded” means affixed to a medium in a form that is objectified and governed by rules of arrangement.

The traditional organizational structures as well as traditional documentation practices are of less importance within e-government development. Information is captured in new ways where the organizational connection may not necessarily be visible for the citizens during the interaction (Kallberg, 2013::92).

2.5.1 Issues in management of corporate records.

The national archives and management of records in many countries become marginalized with insufficient resources, deficient physical facilities and inadequate infrastructures (Asogwa, 2012:199). The failure to create and maintain effective records systems is also motivated by the purposive desire to conceal financial fraud and other irregularities (IRMT, 2004). Staff has limited training or experience on record keeping work, and hence record management is allowed to deteriorate. Low morale and poor remuneration accompanies records managers and lowered their prestige, their status, and created a general lack of recognition of the importance of records as evidence.
Records management like any other field requires regulatory authorities and therefore the lack of guidance on managing records from the regulatory authorities or other bodies has great influence in management of the same (Dawson et al., 2004). There is a continuing and urgent need for charity and voluntary organizations to manage the entire lifecycle of their records, but without a statutory framework for charity and voluntary sector records, there is little incentive in terms of external requirements (other than those required by the Charity Commissioners, or financial and tax legislation) for such organizations to retain and manage records.

Asogwa (2012:198) highlights the problem with a lot of writers on records and archives management in Africa have revealed a terrible state of archives and records underdevelopment in the continent, but very few have carried an in-depth study or discussion on the impacts of information technology on electronic records. Lucey (1998) observes that “the ability to store and access vast volumes of data are an undoubted benefit of it in the organization”. Organizations have frequently used computers by linking of terminals and serves to ensure that information is accessed and retrieved with ease. The use of computers to obtain hard copies to archive has also been of great effect to management of valuable records. It has also facilitated the provision backups.

Security of records is a requirement in the management of records of which Musembi (2002) observes that “many organizations have set registries without minimum appreciation of the very real hazards to which those stand exposed”. Records handling offices and registries fall prey to host of accidents leading to loss of records and data. Records should be stored away from hazards like light, heat, water, dust, rodents and pollution and in support of this (Samuel, 2003) states “continued exposure of the
recorded materials to light over an extended period of time leads to loss of crucial information and documents. Millar (1997) observes staff are exposed to risk that should not be ignored from dust, infringement of privacy and denial of rights.

Wamukoya and Mutula (2005) in Kemoni, (2009:191) indicates records management in the ESARBICA region posed a number of problems and challenges that include but not limited to: lack of skills and competencies, inadequate resources, lack of awareness among government authorities and records professionals, fragility of media and the need for specialized storage. The two authors further pointed out that effective e-records has the potential to improve service delivery and enhance accountability and transparency in government but only if the requisite skills are met Kimberly et al., (2001) felt that electronic records posed certain challenges, as they were entirely dependent on technology, both for their creation and their storage and, as a result, they needed to be managed over time in a computerized environment.

The growth in electronic document and records management systems (EDRMS) social network media technologies, and Web 2.0 records have opened up further opportunities for innovative approaches to RM. The move away from a highly structured records environment to a more fluid institutionally-driven context reflecting user needs and expectations offers both opportunities and challenges for the records and information management profession (Pauline et al., 2012:57).

2.6 Knowledge Gaps

The need for records management programmme cannot be overstressed in the information age. Records Management programme economics can be achieved through:
at creation to ensure that only those vital important records are created, duplications is not done, unwanted records cannot be kept at creation, have an effective system of determining what records needs to be kept and for how long with effective retention/disposal systems it will be possible to empty the filing cabinets regularly to avoid purchasing new ones for new files, removal all non-current records from precious office space to low cost storage areas in the records centres where they can be serviced economically.

Regardless without adherence and embracing of the records management programmes the field of records management would be without any effects. Since a lot on knowledge has been gathered on the RMP this study is done to fill the gap on the implementation part which has not been covered enough and proper guideline on the implementation has not been provided.

2.7 Conceptual Framework

A conceptual framework is an analytical tool with several variations and contexts. It is used to make conceptual distinctions and organize ideas. Strong conceptual frameworks capture something real and do this in a way that is easy to remember and apply (Shields and Rangarajan, 2013:249). It envisions a well laid down plan that will help stakeholders to analyze and reconcile the documents to come up with common terminologies and revelations among stakeholders. It enables an arrangement and substance cooperation amongst the standard recordkeeping and instruments for the products when implementing RMP

Indicators for the respective independent variables are as below discussed:
The study looked at the key competencies of the personnel handling the organization’s records management affairs. For instance, how conversant are they with the organizations policies regarding information storage, retrieval and disposal. So indicators here are the people skills and competences/experience, the number of people handling records management functions and their effectiveness as measured by how well their respective departments or duty stations are performing. Processes aspect looks at the information relay procedures and administrative policies in use. Indicators include incidents of effective communication of policies and procedures by management. Also, it factors in the means through which these communications are made and their effectiveness, as measured by responses to the communications. Another indicator for effectiveness of the processes in use is the number of complaints received by the organization. The processes are more effective if the service delivery is improved for all customers and updated records management policies, skilled personnel deployed, good records keeping systems, as well as effective service Figure one below illustrates the processes of implementing a records management programme, the institutional factors relating to the implementation as well as the challenges. Figure two on the other hand illustrates process; Identify working group, needs assessment, develop records management policy and procedures, staff requirements, infrastructure and types of records in the implementation process.
Conceptual Frameworks

**Independent Variables**

Variables

- Development process of records management programme
- Institutional factors influencing records keeping system
- Challenges encountered during the process implementation of RMP
- Characteristics of staff handling records at Mwalimu Sacco
- Level of awareness of RMP at Mwalimu Sacco
- Types of records used at Mwalimu community.

**Dependent Variable**

Implementation of records management programme in at Mwalimu national Sacco, Nairobi

**Outcome**

Desired level of performance of the records management

Efficiency in service delivery

Figure 2: Conceptual Frameworks

**Source:** (Researcher 2014)
Operational Framework

<table>
<thead>
<tr>
<th>Independent Variables</th>
<th>Dependent Variables</th>
<th>Outcome</th>
</tr>
</thead>
<tbody>
<tr>
<td>Development process of records management programme; Identify working group, needs assessment, develop records management policy and procedures, approval</td>
<td></td>
<td>Desired level of performance of the records management; updated records management policies, skilled personnel deployed, good records keeping systems, effective service</td>
</tr>
<tr>
<td>Institutional factors influencing records keeping system: senior management commitment, staff and user training, effective communication, insufficient funds, identifying responsibilities.</td>
<td>Implementation of records management programme in at Mwalimu national Sacco, Nairobi</td>
<td></td>
</tr>
<tr>
<td>Challenges encountered during the process implementation of RMP: policy issues, infrastructure, staff deployment, inadequate storage space, user training.</td>
<td></td>
<td>Actual effective service delivery</td>
</tr>
<tr>
<td>Characteristics of staff handling records at Mwalimu Sacco: age, sexual orientation, level of education, job specification.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Level of awareness of RMP at Mwalimu Sacco: systematic communication of the policy, staff training, adoption of RMP</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Types of records used at Mwalimu Sacco: identify records created, manage records, and adopt best record keeping practices.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Figure 3: Operational framework

Source: (Researcher 2014)
2.8 Summary

The chapter presented the theoretical framework, conceptual framework and the research on records management programme. It highlighted some of the relevant studies carried out in Kenya and other countries on records management programmes. The literature reviewed related themes which related to the study objectives which included records management policy and legal framework, staffing and types of records and role of records management programme. The study adopted records continuum model. The literature send right on the legislations and policies that are required to maintain the records. They contain explicit or implicit records keeping requirements that have an impact on the way records should be maintained. The legislation included:-The Public Archives and Documentation Service Act Chapter 19 revised 1991, The Disposal of Records Act 1962, among others as discussed. The next chapter gives the methodology used for the study.
CHAPTER THREE

RESEARCH METHODOLOGY

3.1 Introduction

This chapter discusses the methodology used in conducting research. It presents the research method, study setting, study population and sample size and sampling techniques. Other issues covered are data collection instruments, data collection procedures and data presentation, analysis and interpretation techniques.

3.2 Research Design

Research method is understood as all those methods/techniques that are used for conduction of research during the course of studying research problem. The nature of research determines the method to be used in collecting and analyzing the data. Research design involves mainly the approaches of qualitative and quantitative. Creswell (2013:245) defines research design as plans and procedures for research that span the decisions from broad assumptions to detailed methods of data collection and analysis. A research should be designed in such a way that it provides answers to research questions. Research design provides a framework for the collection and analysis of data.

The research is qualitative hence since most qualitative studies use non-probability samples that focus is on in-depth information. The non-probability method was essential to this study in that in the conventional view, qualitative methods produced information only on the particular case that was been studied, and any more general conclusions were only propositions.
Qualitative research was used, since it enabled to explore and understand people’s beliefs, experiences, attitudes, behavior and interactions. Qualitative research was aimed at gathering an in-depth understanding of human behavior and the reasons that govern such behavior, hence the method enabled gather an understanding on the experiences beliefs and behaviors of people that were relevant to the study. The qualitative method investigates the why and how decision making, not just what, where, when. Hence, smaller but focused samples were used than large samples. It was concerned with describing, recording, analyzing and interpreting conditions which were in existence at that time. The researcher adapted qualitative research designs since the researcher desires to obtain entire trends or statistical truth in the research and also the researcher wanted to observe in detail by his own point of view.

The research design adopted is a case study where the Mwalimu National Sacco is selected as a case where records management programme is to be implemented. A case study is an empirical inquiry that investigates a contemporary phenomenon within its real-life context, especially when the boundaries between phenomenon and context are not clearly evident (Yin, 2003). The case study method is a very popular form of qualitative analysis and involves a careful and complete observation of a social unit, be that unit a person, a family, an institution, a cultural group or even the entire community. It is a method of study depth rather than breadth. Creswell (2011:7) asserts that research design is closely allied to statistical analysis of data for sound reasons and these reasons may appear less than obvious to readers from some disciplines.
3.3 Area of study

The area of study is Mwalimu National Sacco. Mwalimu National Sacco is situated at Tom Mboya Street next to Tuskys supermarket. It has been under the ministry of co-operatives sine it inception.

3.4 Target population

Mwalimu National Sacco currently has eleven departments and an entire population of one hundred and six staff in the departments studied. Kombo and Tromp (2009:25), refers to population as an entire group of persons or elements that have at least one thing in common. They further assert that it is important for the researcher to find out as much as possible about the study population. The target population in this study was one hundred and six Mwalimu National Sacco staff which consisted of the Top management (HODs), Action Officers and Records Management Assistants (custodian). Staffs from Records and Archives Management Division were also included. In the study the HODs from the Departments were interviewed because of their involvement in developing policies and strategic plans and allocation of resources within the organization; Action Officers make day to day decisions in their records while custodians manage records. The Director and staff from Records and Archives Management Division were interviewed, as they provide advices concerning records management in the organization.

3.5 Sample and sampling techniques

Sampling is the process of selecting units (e.g. people, organizations) from a population of interest so that by studying the sample, we may fairly generalize our results back to the
population from which the sample was chosen. The sample size for this study was seventy three staff selected from the population. Respondents include staff of Mwalimu Sacco dealing with records and the management. Kombo and Tromp (2009) defines sample size as the process of selecting a number of individuals or objects from a population such that the selected group contained representative of the characteristics found in the entire group.

Table 3.1 Sample size

<table>
<thead>
<tr>
<th>Category</th>
<th>Population size</th>
<th>Sample size</th>
</tr>
</thead>
<tbody>
<tr>
<td>Management staff</td>
<td>4</td>
<td>4</td>
</tr>
<tr>
<td>Registry personnel</td>
<td>39</td>
<td>29</td>
</tr>
<tr>
<td>Records officers</td>
<td>6</td>
<td>6</td>
</tr>
<tr>
<td>Archives officers</td>
<td>6</td>
<td>6</td>
</tr>
<tr>
<td>Action officers</td>
<td>51</td>
<td>28</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>106</strong></td>
<td><strong>73</strong></td>
</tr>
</tbody>
</table>

*Source: Mwalimu staff departmental lists (2014)*

3.5.1 Sampling techniques

There are several sampling methods that can be used by the researcher but their choice must be guided by the purpose of the study and research question that need to be answered. The respondents were basically selected on purposive as the case study was conveniently selected. A sampling frame is a list or other device used to define a researcher's population of interest (Baltar and Brunet, 2012: 57-74). Sampling frames
could be divided into two types, list and non-list. The sampling frames used in this study included list of departments and employees records from the human resource office. Size of the sample is determined by the optimum number necessary to enable valid inferences to be made about the population. According to Fraenkel and Wallen (1993)” purposive sampling allows the researcher to select a sample or use cases she believes will provide the data she needs”. Purposive sampling was useful in situations where the study needed to reach the targeted sample quickly and where sampling for proportionality is not the primary concern.

A case study is an empirical inquiry that investigates a contemporary phenomenon within its real-life context, especially when the boundaries between phenomenon and context are not clearly evident. The case study research was considered as a research strategy which includes specific approaches to data collection and data analysis. A case study research can be based on single or multiple case studies, and by nature it can be exploratory, or descriptive. Convenient sampling involves choosing the nearest individual to serve as respondent and continue that process until the required sample size has been obtained (Krejcie and Daryle, 2010:608 ). In selecting the representative sample, the researcher employed purposive sampling. The researcher used purposive sampling because it relies on the judgment of the researcher when it comes to selecting the units (for example, people, cases/organizations, events, pieces of data) that are to be studied. Usually, the sample being investigated is less, especially when compared with probability sampling techniques hence the research employed it.

The researcher was able to use own judgment to achieve objectives of the study and also interviewed those people whom in researchers opinion were likely to have the required
information and be willing to share information. List of staff available at every department were used as a sampling frame to determine the names and grades of staff. Convenience or haphazard member selection was used in selecting individual respondents based on their relative ease of access and contribution to the research.

3.6 Data collection methods

The research tools to facilitate this study were designed to suit the study population.

Since the population was small, qualitative data collection techniques was used. The table below reflects how data collection method was done

Table: 3.2 Objectives and how they will be measured.

<table>
<thead>
<tr>
<th>OBJECTIVES</th>
<th>INDEPENDENT VARIABLE</th>
<th>DEPENDENT VARIABLE</th>
<th>MEASUREMENT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Identify the existing policies governing the management of records.</td>
<td>Records policies</td>
<td>Record management</td>
<td>Interview/ documentation</td>
</tr>
<tr>
<td>Evaluate staffing levels of staff involved in records management.</td>
<td>personnel</td>
<td>Record management</td>
<td>Interview</td>
</tr>
<tr>
<td>Determine contributions made by records management program</td>
<td>Equipment’s and</td>
<td>Record management</td>
<td>Observation/interview</td>
</tr>
<tr>
<td>Examine the types of records created.</td>
<td>Type of records</td>
<td>Record management</td>
<td>Interview /observation</td>
</tr>
<tr>
<td>Find out the challenges encountered in managing records and propose</td>
<td>Challenges and</td>
<td>Record management</td>
<td>Interview</td>
</tr>
<tr>
<td>recommendations on records management frameworks</td>
<td>recommendations</td>
<td>program me</td>
<td></td>
</tr>
</tbody>
</table>

Source: (Researcher 2014)
3.7 Research Instruments

Oral interviews and observations with the aid of structured interview schedule and an observation guide were used. The instruments were used so as to describe, record, analyze and interpret conditions as they were in existence at that time. The research instruments are discussed below

3.7.1 Interviews

There are different types of interviews techniques as noted by Oka and Shaw (2000) which include a structured interview where the questions are asked but they remain open-ended or Semi structured interview which starts with a few specific questions then follows the individuals tangent of thought with interview probes. Unstructured interview is there are no specific questions or order of topics to be discussed. According to Oka and Shaw (2000) states that most qualitative research relies on unstructured or semi-structured interviews. The researcher conducted face to face interview with all groups of respondents with the aid of semi structured interview schedule. The interview schedule acted as a guide during the interview sessions but questions will not necessarily followed in the order they appeared in the schedules because answers to some questions determined the next question.

Face to face interviews allowed the researcher to gain useful insight into what was said by the respondents in addition to enabling the researcher control the interviewing process and circumstances under which the interview was conducted (Kumar et al, 2012). The interview schedule for all respondents consisted of
both open ended and closed ended questions. Interview schedule for top management required them to provide data related to various aspects such as records management policies, strategies for managing records, budget allocation for records management and challenges in managing records. Action officers were required to provide data related to types of records used, state of records management in the organization, effectiveness of systems and procedures for records management and the extent to which records management cope requirements of records management program staff provide the researcher with data related to overall records management in the government, legal framework for records management in cooperatives, standards for records management and strategies adopted to manage records in the government and the role they play in assisting Mwalimu to manage records.

3.7.2 Observation

Kothari (2009:151) noted that under the observation method, the information is sought by the way of investigator's own direct observation without asking from the respondent. Therefore this study in addition to interviewing the researcher adopted the observation method. The information obtained relates to what was happening and was not complicated by either past behavior or future intention or attitude of the respondents.

In this study observation was conducted using an observation schedule, which aimed to collect data related to records creation, classification of records, maintenance of records, storage of records and security of records. Observation method has been
found necessary for this study because it helped the researcher to collect data on issues that might be uncomfortable to informants to be discussed and also helped to notice unusual aspects. Observation is also used to clarify inconsistencies that arise between what respondents say and what they do or what was actually happening at Mwalimu National Sacco. In addition, it allowed the researcher to obtain data describing the physical environment of the task. For observation schedule, (see appendix vii).

3.7.3 Validity and reliability

Reliability relates to researchers' claims regarding the accuracy of their data. Validity can be defined as the degree to which a test measures what it is supposed to measure. There are three basic approaches to the validity of tests and measures as shown by Mason and Bramble (1989:16) these are content validity, construct validity, and criterion-related validity.

The researcher employed various data quality control measures to ensure reliability and validity of the data collected. This were involved pre–testing the questionnaires before the actual study and employing other research methods such as interview, observations and documentary sources. These were necessary to validate information given. Objectivity and rigorousness was maintained at all stages of the study in order to get accurate and reliable data.
3.7.4 Ethical Considerations

Despite the high value of knowledge which is gained through research, knowledge cannot be pursued at the expense of human dignity (Oso and Onen, 2008). Thus, the issues of ethics are very important in any research undertaking. The major ethical issues considered in this study shall be privacy and confidentiality, anonymity, and researcher's responsibility. Privacy and confidentiality of the respondents was highly considered during the study. Obtaining a valid sample entailed gaining access to specific lists and files which in itself is an infringement on the privacy and confidentiality of the respondents. However the respondents had the freedom to ignore items that they do not wish to respond to.

Another ethical issue for this research was the right of participants to remain anonymous. The researcher kept it secret the identity of the participants and efforts were made so that no subject generally knew the identity of other subjects. There was also the issue of obtaining informed consent from the participants to the study and that all participants should do it so voluntarily for the sake of convincing and getting them. Informed consent, the researcher will furnish the participants with the information regarding the purpose of the study, the expected duration of participation and the procedures to be followed, any benefits to the participants and the extent of privacy and confidentiality. With reference to the sensitive issue of human dignity, the researcher was her best to be well meaning in her intentions and deeds. The researcher opened honest in dealing with the participants. This
was done in order not to breach the principles of informed consent and voluntary participation.

### 3.8 Data Analysis and Presentation

The data collected were qualitative that is information gathered was in a non numeric form (Atkinson et al, 1996) Qualitative Data Analysis (QDA) was employed. Atkinson et al., (1996) noted that Qualitative Data Analysis (QDA) is the range of processes and procedures whereby we move the qualitative data into some form of explanation, understanding or interpretation of the people and situations we are investigating. The researcher analyzed data using both descriptive and interpretive data analysis technique. By using these techniques frequencies and percentages were calculated, relationships were compared and interpretations were made as objectively as possible in order to get the accurate meaning or true picture of the situation studied. Frequency distribution tables and figures were used where necessary. Respondents’ views were quoted verbatim.

### 3.9 Summary

This chapter presented the research methodology adopted. The issues covered are study populations which composed of one hundred and six staff of Mwalimu Sacco. A sample size of seventy three members of staff was chosen. The data collection instruments were interview and observation schedules. Data validity and reliability area was discussed, analysis and presentation, and ethical considerations. Qualitative Data Analysis (QDA) techniques were employed to present and analyze data.
CHAPTER FOUR
DATA ANALYSIS AND PRESENTATION AND FINDINGS

4.0 Introduction

This Chapter represents data that has been analyzed in order to bring the clear picture of the findings and for the purpose of comparison with the expected findings. Data was collected using interview and observation schedules which helped to improve the validity and reliability of the research findings. An observation checklist was used to verify data obtained from the respondent’s (see Appendix VI). The data was presented in both textual and tabular form. Data was coded thematically and frequency of response indicated. Analysis was enhanced with the aid of frequency distribution tables. All the answers were classified into meaningful categories represented by percentages so as to bring out an essential pattern by constructing data matrix and coding frame.

4.1 Response rate

The interview schedules were administered to seventy three out of the targeted seventy three. Since the larger the sample size, the smaller the margin of error and the more reliable the results. The distribution of the respondents is indicated in Table 4.1
Table 4.1 Distribution of respondents with the sample size (N=73)

<table>
<thead>
<tr>
<th>Members of staff</th>
<th>Population Size (Target)</th>
<th>Sample Size</th>
<th>No of Respondents (Interviewed)</th>
<th>percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Management</td>
<td>4</td>
<td>4</td>
<td>100%</td>
<td></td>
</tr>
<tr>
<td>Records officers</td>
<td>6</td>
<td>6</td>
<td>100%</td>
<td></td>
</tr>
<tr>
<td>Action officers</td>
<td>51</td>
<td>28</td>
<td>56%</td>
<td></td>
</tr>
<tr>
<td>Registry personnel</td>
<td>39</td>
<td>29</td>
<td>58%</td>
<td></td>
</tr>
<tr>
<td>Archives officers</td>
<td>6</td>
<td>6</td>
<td>100%</td>
<td></td>
</tr>
<tr>
<td>Total population</td>
<td>106</td>
<td>73</td>
<td>68%</td>
<td></td>
</tr>
</tbody>
</table>

Distribution of respondents Source: (Researcher, 2014)

4.1.2 Distribution of respondents and sample size

Interviews were administered to various categories of staff as shown in Table 4.1. The researcher used the observation schedule and completed all the items under the pre-defined categories of variables to be observed. An observation checklist was used to verify data obtained from the registry personnel, top managers records officers and the Action officers in the Mwalimu National Sacco. The data was collected according to the subject of study in relation to the objectives and hypothesis, as follows; identify the existing policies governing the management of records, establishing staffing levels and training needs of staff involved in records management. Determine contributions made by implementation of records management program in management of records, examine the
types of records created and maintained; and finding out the challenges encountered in managing records as well as propose recommendations on records management frame works that could close the identified gaps.

The response rate was high and the figures obtained were sufficient to give reliable results on how Records management Policy and records services affect the management of records in the Sacco as shown in table 4.2.

**Table 4.2 Response Rate Analysis**

<table>
<thead>
<tr>
<th>Category</th>
<th>Sample size</th>
<th>Actual</th>
<th>No response</th>
<th>percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Management staff</td>
<td>4</td>
<td>3</td>
<td>1</td>
<td>75%</td>
</tr>
<tr>
<td>Registry personnel</td>
<td>29</td>
<td>18</td>
<td>11</td>
<td>78%</td>
</tr>
<tr>
<td>Records officers</td>
<td>6</td>
<td>6</td>
<td>0</td>
<td>100%</td>
</tr>
<tr>
<td>Archives officers</td>
<td>6</td>
<td>6</td>
<td>0</td>
<td>100%</td>
</tr>
<tr>
<td>Action officers</td>
<td>28</td>
<td>20</td>
<td>8</td>
<td>51%</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>73</strong></td>
<td><strong>53</strong></td>
<td><strong>20</strong></td>
<td><strong>79%</strong></td>
</tr>
</tbody>
</table>

*Source: (Researcher, 2014)*

4.2 Policies governing the management of records, at the Mwalimu National Sacco.

The first objective was to identify the existing policies governing management of records, at the Mwalimu National Sacco. The objective was meant to help the researcher identify
records management governing policies and procedures. Top management interviews revealed that they were conversant with some relevant circulars and government policies on records management. They acknowledged the existence of policies that guide the management of records according to the Kenya National Archives and Documentation Service Act (Cap.19, laws of Kenya) of 1965 and revised in 1991. Although the three managers’ records management drafts policy it appeared that they were not conversant with earlier circulars that guide the management of records. The managers were in agreement that they lack a disposal and records management policy for organization of records. The respondents pointed out that policies supports governance by providing the basic information for manpower policy, plans and procedures: enable management to know more about their workforce, the knowledge and skill available for improvement and maintenance of productivity in the organization. All the three were in agreement there is a system for record management that needs to be supported by a policy.

Registry personnel response on the existence of record management policy was they agreed on the vital role they play in supporting records keeping systems and procedures. Ten respondents felt that there was a proper records management policy that leads to better accessibility, easy retrieval of records thus contributing to enhanced decision making. The other respondents were not aware of any records management policy. When asked what guides records management they were in agreement that there is a system in place dedicated by the management. They also reflected un- awareness of any disposal policy and all said they do not dispose of records and there are no guidelines. They pointed out that records management policy is important in providing guidance on records keeping in the life cycle.
The researcher observed that registry personnel had put in place mechanisms to prompt control of records which included file movement registers and document movement management system. The system ensures payment of salaries; avoid audit queries, ensuring sensitization of performance appraisal systems done well on staff. All these were being done because some records management systems.

Data collected from the records officers revealed their involvement in the day to day management of records in Mwalimu National Sacco and were therefore in a position to provide relevant data relating to how records were managed throughout their continuum. According to the six records officers interviewed there exist no formal records management policy to guide on managing records. When asked about legal and regulatory framework, they pointed out that legal and regulatory framework was in place for management of records as they cited the public Archives and documentation service Act (cap 1, Laws of Kenya) which stipulates the laid down procedures for seeking authority to destroy public records and which also provides a broad and generalizes legal framework under which policies, procedures rules and good practices can be developed for the better management of records within the public service.

Observation of data revealed that records officers did not have proper storage facilities in the various records units, no retention/disposal schedule hence no records have been appraised contributing to storing unnecessary records in the records units and occupying space meant for keeping the active records. It was further observed that the records units
had the registers in place as well as records document management module for member files tracking.

When action officers were asked whether there exist records management policy they indicated that there has been no written records management policy, from the data collected it indicated that 95% of the action officers and user are not conversant with the records management operation, apart from 5% of the users who said they not aware of the records management policy.

Records management policy is used as an administrative tool; it plays an important role in bringing consistency in records creation, usage, appraisal, schedules preparation and disposal. The policy provides the bases for activities relating records disposal as well as providing legal bases for the activity.

**Figure 4: Availability of a records management Policy**

![Figure 4: Availability of a records management Policy](image)

**Source:** (Field Data, 2014)
When archives staff were asked to indicate whether there are polices governing management of records at Mwalimu Sacco, all the six officers sited the public Archives and Documentation Service Act (cap 19, laws of Kenya section seven on the disposal of public records in the public service. The respondents also indicated they had major difficulties in retrieval of archived records and they lack sufficient storage space for archive records. It was observed that the archives staff looked overwhelmed by a lot of work. Time taken to retrieve records was long enough and even some records were un-retrievable. It was also observed that archival boxes were not shelved but heaped on top of each other making their work of locating harder.

4.3 Level of staff involved in records management at the Mwalimu National Sacco

The second objective was intended to get diverse views from the respondent on the staffing level of officers managing records at Mwalimu National Sacco. It was aimed at collecting data which would assist in establishing if capacity building infrastructure is put in place for management of records. The manager’s respondents underlined the fact that most of the records management personnel are not well trained in records management. All the three were on agreement that they have a divide type of staff manning records which comprises of trained and untrained. They pointed out that a budget has been allocated during the year for training of records management staff though when asked if the budget allocation is enough the response was “we usually allocate budget for training the records officers for example this year we are training two officers at diploma level”. The three were in agreement that the records unit had many staff on disciplinary cases and those who had health challenges.
Observation results reviewed that the records unit had the numbers of staff required to carry out records management functions, but it also reviewed that 6 of the staff had health challenges hence affecting their work performance. From the records officers responses, all the six (100%) were in agreement that officers involved in records management area mixer of trained and untrained although they are insufficient in numbers to handle the work in the records which is increasing by the day. They respondent by stating that (50%) of the trained are trained in-house and are deployed different training departments and would perhaps be useful in bringing specialization in records management. When asked the highest level of training attained in the organization their response was anonymous that it was master level, while the rest had degrees, diplomas and certificates.

**Figure 5: Training levels**

![Training graph](image)

**Source:** *(Field data, 2014)*

Respondents in the registry personnel were asked if they did get trained in records management. All the 24 (100%) answered in affirmative and dismissed the training as too theoretical. They agreed that the organization did have a training programme and plan for
the sake of capacity building in the area of records management. Respondents were hopeful that training would improve their skills and knowledge of records management and advance on ICT. Respondents decried insufficient budget allocated for records management and argued that this hamper the implementation of effective records management programme. All the correspondences blamed the top management on not being supportive enough on records management related issues. One respondent bitterly stated “our functions were hamstrung by little support we receive from top management and irregular professional advice and guidance we get from the managers.

When Action officers were asked if they had training programs for records management personnel, fifteen out of the twenty respondent yes while the rest five said they didn’t know they said that they know of a number of trained records officers in the organization. When asked if they had undertaken any training on records management all of them responded no.

Observation of data revealed that there is great improvement in the Mwalimu Sacco since the management has embarked on training personnel on records management. Unlike in the past where Mwalimu Sacco records was managed by unspecialized staff and this was affecting the performance of work. According to research findings the management of records is under staffed which contributes to inefficient in service delivery. Empowerment of the trained staff in undertaking their work is a great requirement for effectiveness and economy to be achieved.

The research also reviewed that the highest trained staff in records management is at the master degree level others at degree level who are three in number, seven staff members
with diplomas three with certificates and the rest are untrained as shown in the graph below.

4.4 Contributions made by records management program in management of records.

The objective sought to establish the extent to which implementation of records management programme would assist in the management of Mwalimu Sacco records. The three (100%) managers appreciated the fact that records management programme provide accurate, timely, and reliable information for decision making thus enhancing efficiency and performance, which leads to improvement of processing of both paper and electronic records. They were in agreement that proper infrastructural capacity for records management in the Mwalimu National Sacco would be of great importance. When asked if there is a RMP for managing records during their continuum, their response was that they had laid down systems for managing records. They pointed out that a budget is allocated annually for records management training, and supporting records managing processes. One of the managers said that, “We usually allocate budget for training the records management staff, for example this year a budget was allocated to train two records officers in the level of diploma…. But there’s something we are not happy on the after results of the records officers that they don’t offer the results on service delivery as expected after their training.”

When the study turned to records and archives officers and asked them about the current records management programme, procedures and standard used to guide records management. All the respondents twenty six (100%) mentioned registry procedure
manual, retention and disposal schedules and the public archives and documentation Act. Respondents were however divided when asked if the standards and procedures were adopted an implemented by the Mwalimu National Sacco twenty one (90%) out of said that they were not completely adopted and implemented. But this response was begged an immediate question as to how Mwalimu Sacco conducts its business in the realm of records management with neither the standards nor procedures. A further insight was sought for the records officers to establish if they had any strategy for records management and ensuring the implementation of RMP. To this question all the twenty six (100%) said that they usually assisted them to install new classification system, training and management of documents. the strategy they said was encapsulated within the broader concept of capacity building for records management.

In the event of records management personnel were provided with training opportunities this has been at the level of higher diploma, diploma and certificate. Respondent were of the view that the training they get is too theoretical and suggested training which would enable the records officers get new skills and knowledge concerning manual management of records. It was found out that there was no infrastructural capacity for records management which may be used for implementation of records management programme.

In the registry personnel staff fourteen (80%) of the respondents felt that there is a records management program guiding management of records in Mwalimu Sacco. Three (15%) were not aware of what a records management program is while 5% of the respondent said there is no records management program with the reason that there is an established section dealing with records in the Sacco.
Figure 6: Records management programme

Source: (Field data, 2014)

From the Fourteen respondents, it’s clear that there is a records management program in Mwalimu Sacco since there are various procedures like mail management, classification systems use and maintenance regardless the need to improve effectiveness and efficiency in managing records as well as improving decision making.

All the respondents when asked how they would gauge records management systems at Mwalimu National Sacco in relation to high capacity storage space their response was good. On speed of searching and retrieval there was a mixture of response on half bases on fair and good. On security of records and utilization of staff the response was anomalous poor while on saving space and equipment’s response was poor.
4.5 Types of records created in Mwalimu National Sacco

The objective sought to examine the types of records created and used as well as stored at the records management department of Mwalimu Sacco. All the respondents in the management level were in agreement that 90% of the records were in paper format. 100% of the respondents reviewed that paper records are still the major type of records. The records typically include copies of letters, memoranda, accounts, reports, photographs, and other materials produced by the organization as well as incoming letters, reports received, memoranda from other offices, and other documents maintained in the organization's files. They were also in agreement there were equally quote a number of electronic record stored in servers. When asked about other types of records their response was none.

When asked the equipment’s used for storage of records in the organization all the respondents were in agreement that shelves are used to the greatest extent. From their response a small number of records are stored in the cabinets while none on the floors and drawers.

When action officers were asked the type of records created in Mwalimu Sacco among the responses 15 (75%) of the respondents said the records are in electronic format. Those records are stored in electronic format and accessed through a computer. These records are numeric, graphic, audio and textual information, recorded on any medium (e.g. Magnetic, tape, Optical disk, or CD-ROM) and which satisfy the overall definition of a record. A 5 (25%) of the respondents felt that other types of records in the Sacco are paper records which includes photographs, files and maps.
Under storage strategies 60% of the respondents felt that the shelves at Mwalimu were the most used an average, 29% felt records are stored in cabinets, 6% while a 4% reflected storage in the drawers while 1% responded to the floor in the archives section. The respondents felt that there was need for Mwalimu Sacco to develop it’s expand the storage space to cater for all records and improve on efficiency.

**Figure 7: Respondents on type of records**

<table>
<thead>
<tr>
<th>Type of Records</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Paper</td>
<td>72%</td>
</tr>
<tr>
<td>Electronic</td>
<td>21%</td>
</tr>
<tr>
<td>Photographs</td>
<td>3%</td>
</tr>
<tr>
<td>Others</td>
<td>2%</td>
</tr>
</tbody>
</table>

Source: (Field data, 2014)

All the registry personnel respondents were on agreement that majority of the organization records are in paper format. They also reflected that there are electronic records at the Sacco. According to the data collected it reflected that registry department has the highest number of records in paper format. The data collected also reviewed that the data stored in the society’s database, which has no set appraisal, retention and disposal procedures and it makes the database have large accumulations .At the same time the data reviewed that 30% the of records in various departments are closed records and occupying large office space.
The six record officers explained that the management of records during their continuum was still a mixture of manual and electronic. They further highlighted the tool used to capture and store the files includes registers, cabinets and open shelves. The response from the archives officers on the types of records was that they are paper records. While asked if there any other types of records created in Mwalimu Sacco the response was yes. On elaborating those other types of records their response was electronic records as well as photographic records.

On observation the research reflected that the organization has a large no of paper records at the current, semi-current and non-current stage. Majority (75.0%) of the records are stores in lateral cabinets while 20% were stores on archival boxes. It also revealed there were electronic records whose storage is the organization servers both onsite and offsite were also numerous. It was observed that the archive officers had constrains in the storage of records both in terms of space and equipment’s. In addition the retrieval tools were not of good quality e.g. the file folders were of low quality hence prone to wear and tear. Lack of dust masks and gloves exposed the personnel to health hazard.
4.6 Challenges faced in the management of records at Mwalimu Sacco

Respondents were asked to state the challenges they face in the management of records and how this had impacted on effective management. Respondents views varied as indicated below. When asked to indicate the challenges faced in management of records the manger cited the management responses were as follows: - Lack of enough and qualified staff in the management of organization records. One of managers gave an example of a situation whereby one of the records management officer is on annual leave, sick or away on the official duties, the records are left under the care of clerical officers who are not skilled or trained in records management or conversant with the management of these records thus providing poor service to the customers. Lack of sufficient storage space of records and this is witnessed by files kept on the floor exposing them to environmental hazards. All the managers interviewed were in agreement by emphasizing
that these challenges affect the use of records through mis-filing. Records getting torn due to the nature of storage and poor record keeping practices by the unskilled staff thus affecting service delivery and poor decision making.

When asked to state the best ways of dealing with those challenges, they responded as follows: all respondents stated that though provision of adequate and qualified staff to man records “Provision of modern storage equipment such as the moveable filing racks, “Training and re-training of all manpower working in the records units on records management related courses. “They all stated that “there was need to move to another premises out of the city centre which would provide enough space to accommodate not only the records but also all the staff belonging to Mwalimu National Sacco”.

The registry personnel cited the following challenges faced in the management of organization records. “Wrong indexing of letters in members subject files were put in wrong files”. “Failure by action officers to fully utilize the file movement registers and this had led to poor tracking of files when required thus causing delay in decision making”. “Loss of documents through negligence especially by the unskilled personnel in the records unit and this implied that the information in the file was not complete therefore making wrong decisions.” An example of given by one respondent is failure of member being re-admitted due to missing files. “Poor file classification and indexing as challenges in managing sacco records.” They noted that this leads to putting wrong correspondence in the wrong files which eventually causes delay in implementing decisions. “There is lack of proper computer systems for managing records.” Though they acknowledged that records had been entered into the database much still needed to be done to ensure all the relevant information was captured, stored and protected in the
system. The respondents pointed out lack of space as a major challenge in managing these records. That had resulted in files being squeezed in the shelves thus leading to tearing of files and loss of documents.

When asked how these challenges would be addressed the registry personnel pointed out the following measures: “Ensuring the right documents are in the right files and that they are folioed properly. Sensitizing all staff especially the clerical officers on the importance of managing organization records. Implement use of file movement register in all sections.

Observation of data revealed that of the departments had file movement registers which are not consistently used. The record and archives officers were asked to cite the challenges faced in managing records in their unit and their response was as follows:-

Lack of senior management support: poor understanding from the management on the vital role played by the records unit in the organization and low awareness of the role of records management in support of organization efficiency and service delivery. There exists general lack of co-ordination in records handling among various departments in the organization. Lack of adherence to policies used to provide guidance to creators, users, of records hence posing risks to information. Unprofessional procedures and systems used in organizing and accessing records thus frustrations in carrying out their duties.

“Lack of sufficient funds/ allocations to records units which results to min-more stationery and equipment’s supplies”. Existence of poor security and confidentiality control of records and lack of records retention and disposal policies”. “Most of the staff are not trained or know very little about records management”. A case at hand is where a
driver had been re-deployed in the records department as a disciplinary measure having messed in his field. “Insufficient storage space and equipment’s for storing records. In the registry records were stored in lateral filing cabinets which were un–lockable. “Poor working conditions for staff working in the records unit had led to low morale among them.” Despite the fact that most of the clerical officers deployed to work in the records unit did not have the necessary skills required to manage the records, the unit had been a dumping place for those with disciplinary cases or those with low performance.

The respondents noted that all these challenges had impacted negatively in the management of records and service delivery. All those had led to poor decision making, corruption, denying or rights and entitlements and hinder effective service delivery.

Observations made by the researcher revealed that most of the staff in the records unit looked demoralized and dissatisfied. They worked in a pathetic state; the space was small for records accommodation though they had experience. In addition, the retrieval tools were not of good quality example the file folders were of inferior quality hence prone to wear and tear. Lack of dust masks and gloves exposed the personnel to the health hazard.

When action officers were asked to cite the challenges they face in the management of records, the respondents gave the following responses: “Lack of space as an impediment in managing the records and they further cited lack of enough room to hold the data thus subjecting them to wear and tear”. “Delayed retrieval of data required for action as well as delay in mail movements”. “Lack of working tools thus hindrances to good management of records.” They gave an example of lack of tools such as folders, shredders, duplicating machines and printers. Cumber-some file management procedures
leading to some officers taking too long to act on files. Hence causing delay in taking action or others is pending letters in the records unit.

These challenges according to the respondents “impacted negatively on the management of records and good governance. Poor skills contribute to ineffectiveness and in efficiency in managing the records.” Lack of funds allocations to the records unit and delay from action officers to respond to letters marked to them resulted in delay in taking action on even important matters. The failure to provide adequate storage facilities contributed to low of morale and motivation thus leading to poor performance.

Observation of data revealed that majority of action officers 95% had no training or experience with records keeping work; they exposed the records to poor and bad conditions. They portrayed negative attitude towards records work by leaving files and letters unattended. Most of the action officers handled information resources poorly most of them felt they were not takes care of when training needs were been factored in during the training evaluation exercise thus looked demoralized. In addition, the researcher made an observation on poor environmental conditions in that most of the records were exposed to natural light and were dusty posing a health hazard to the staff working in records unit.

4.7 Data interpretation

These finding revealed most respondents faces challenges in the management of records in support of good governance. The managers and records officers pointed out challenges such as unqualified staff good governance. Shortage of staff in records units, poor
environmental conditions, lack of enough space and storage facilities and poor records keeping practices. The registry personnel and action officers mentioned congestion in the records unit, lack of enough space and storage equipment, lack of retention and disposal schedules, lack of support from top management and poor environmental conditions as some of the challenges faced in the management of records.

The Results of this study point to the fact that there are a number of problems associated with record keeping in the ranging from negative attitude of staff, badly implemented record management system, insecurity of records, use of paper convention, lack of training, manual operation, inadequate computer terminal and resources to ineffective retrieving, retention and disposition schedule, as well as lack of policy and filing procedure manual. These agree with the views of Ngulube (2004), Kemoni (2007), Mnjama (2003), Wamukoya and Mutula (2005) and Cain and Thurston (1997) who have in their various studies pointed out the problems faced in the management of records in the public sector as lack of support from the senior officers; inadequate storage space; lack of training among the records units personnel; records management units viewed as a dumping ground for unproductive and in disciplined officers; lack of policies and guidelines on the retention and disposal schedules among others. The above authors were of the opinion that for good governance to prevail in any institution must be good records management practices since decision made are based on information from the records. Well-managed records are essential tools for good governance.
4.8 Recommendations for improvement of records management in Mwalimu National Sacco.

The three managers gave their recommendations on how to enhance the management of record in support of good governance namely: “The need to ensure that records are properly managed. “Since information recorded in paper and electronic files help managers, to direct control communicate, plan, formulate policies, and make decisions. “Provide support in terms of funds and adequate manpower to the records units that they could be able to manage the records well and by so doing services could be achieved easily. “To ensure that records management policies and legislations were always implemented in Mwalimu National Sacco especially on the disposal of records which would facilitate creation of more space the records were appraised and earmarked for preservation and destruction.” Promote good practice in the creation, maintenance and disposal of those records which would lead to sound records management.” Mwalimu National Sacco should ensure that all seminars/workshops organized at any time in the public service incorporate a module on records management to enable officers at all levels to appreciate the importance of records in service delivery.

The registry personnel gave various recommendations on improvement of records management in Mwalimu National Sacco as follows:- “The filing system should be streamlined to facilitate easy retrieval of records and that the classification and indexing system should be reviewed regularly to ensure that information in the records correspond with the system. A need for records to be fully computerized to allow easy tracking of files and access to information; and at the same time training the records unit staff and users on information technology. There is need to train those staff working in the records
unit on records management especially the clerical officers in order to improve performance in those units.

There is need to develop retention and disposal schedules which should be made and followed to the letter to allow creation of more space for the active records in the records unit. Sensitization programmer is introduced to all officers in the Mwalimu National Sacco on the importance of proper records keeping. There is need for storage facilities and equipment for properly management of records. They further pointed out that “there was need to purchase the mobile filing shelves, computers and the software. “induction programme for new staff and refresher courses for old staff so that they would be acquainted with the importance of management of records in the Mwalimu National Sacco and the need to have records management procedures manual which is guidance in the management of records.”

The records officers emphasized the importance of improving the quality of records management as a basis for decision making, timely service delivery and financial savings. The records officers made their recommendation as follows:- The top management should embrace the importance of records management and the role played by records management officers by providing them total support towards developing a comprehensive records management programme for the Mwalimu National Sacco. Professionally trained records management staff be employed and deployed to work in the records units and existing staff be provided with the necessary training through in-service training programmes. In addition, induction programmes for fresh staff. To have full computerization of Mwalimu National Sacco records which would facilitate decision making hence improved service delivery. There should be provision of records
management procedures manual for the organization which would assist in offering
guidance on the management of records in Mwalimu National Sacco. Allocation of funds
to facilitate in records management programmes such as training, seminars and
workshops; purchase of mobile filing shelves; for purchase of the right working tools e.g.
file folders, fasteners just to mention a few. Provide of enough working space and
improvement of working environment for the records unit’s staff. Implement of the
retention and disposal schedules and to transfer the semi-active records to KNADS.

To prevent the build -up of in-active records in future, there was a need to develop
procedures for the routine appraisal and disposal of records. Develop and implement of
records management policy. Review update filing systems and the files index for efficient
management and retrieval of information. Ensure security of information and records. By
providing the personnel in records units opportunities to undertake training in recognized
institutions and universities on records management; offering seminars and workshops in
records management so as to make them efficient and effective in record keeping; regular
training in records management issues and training them in information technology in
order to facilitate them in computerization of the records in the Mwalimu National Sacco.

Action officers made the following recommendations: A need to sensitize and create
awareness to all the staff in the Mwalimu National Sacco on the importance of
management of organization records because they are in one way or another involved in
handling these records. Computerize of records in order to compete with the modern
technology. Provision of training in records management and more so to those working
in the records units so that they could acquire the necessary skills and knowledge for
them to be able to perform and discharge their duties diligently. There is need to
implement the appraisal system of records which would help in ensuring that the unnecessary records were disposed. The need for proper storage facilities such as the lockable cabinets and mobile filing shelves so that the files were not exposed to dust and light from the sun.

Regarding the working conditions and staffing level for staff working in the records unit, the respondents gave their recommendations as outlined below: The need to improve the working conditions in the records unit through provision of the necessary working tools such as dust coats, gloves, dust masks and computers. A need to boost morale and motivate staff in records unit staff by providing them with the necessary support both in terms of manpower and finances to carry out the records management functions.

In addition, to avoid dumping of staff with disciplinary cases to the records units other responses were:- Training of staff working in the organization records units at least in courses in records management and be encouraged to attend workshops and seminars relevant to records management. There should be regular training for the records staff to improve service delivery hence deliver to those who need to know thus protecting individuals rights which is a symbol of good governance. Training units in Mwalimu Sacco must ensure that circulars/course announcement emanating from government reach all the staff members and the training funds should be appropriately distributed and priority given to records management. In other words, records staff are required to equip themselves with the relevant skills so as to improve the management of records in the organization. “Provision of protective gear to the staff working in records units such as: dust coats, masks, gloves etc. to safeguard their health. In so doing, performance in the work place would be improved.
4.9 Summary

The chapter has presented, analyzed and interpreted the findings on the data collected from the various cadres on the management of records in support of good governance as stipulated above. The data was collected by administering interviews to the different cadres and by use of observation checklist to verify data obtained from the respondents.

The findings of this study, it was established that there were many problems experienced in the management of records in the Mwalimu National Sacco such as lack of support from the top managers; lack of qualified and trained personnel in the personnel records unit; lack of proper working tools; in conducive working environment; lack of budgetary provision and the need to review the procedures and regulations for managing records. All the respondents gave their recommendations on the way forwards as explained.
CHAPTER FIVE

SUMMARY OF THE FINDINGS, CONCLUSION AND RECOMMENDATIONS

5.1 Introduction

The chapter provides a summary of the major findings, conclusion and recommendations. The summary of the research findings provided is based on the research questions and they are discussed briefly to offer an overview of the major revelations. Recommendations and a model are proposed for the management of records in the Mwalimu National Sacco support of good governance. This was guided by the aim and the objective of the research which were:

The study was to investigate the implementation of the records management programme at Mwalimu National Sacco, Nairobi. Objectives being; identifying the existing policies governing the management of records, finding out staffing levels of staff involved in records management, determining contributions made by records management program in management of records, examining the types of records and finding out the challenges encountered in managing records and propose recommendations on records management frameworks that could close the identified gaps.

5.2 Summary of the findings

This section provides a summary of the research findings based on the research questions that were formulated by the study.
5.2.1 Policies governing management of records at Mwalimu National Sacco.

The research questions sought to find out policies governing records management at Mwalimu National Sacco. Research findings revealed that: proper management of organization records leads to better accessibility, easy retrieval of records thus contributing to enhanced decision making and improved service delivery as stated by all respondents (100%). All the respondents were on agreement that they lack a disposal and records management policy for organization records. The respondents pointed out that policies supports governance by providing the basic information for manpower policy, plans and procedures: enable management to know more about their workforce, the knowledge and skill available for improvement and maintenance of productivity in the organization.

5.2.2 The caliber of staff who handles records related activities at Mwalimu National Sacco.

The research questions sought to find out staffing levels in records department. Research findings revealed that: the respondents unveiled in agreement that officers involved in records management comprise of trained and untrained officers although they are insufficient in numbers to handle the work in the records which is increasing by the day. Majority of the trained are trained in-house and are deployed different training departments and would perhaps be useful in bringing specialization in records management. The Mwalimu Sacco management should avoid deploying of staff with disciplinary cases to the records units and Training of staff working in the organization records units at least in courses in records management and be encouraged to attend
workshops and seminars relevant to records management. There should be regular training for the records management staff to improve service delivery thus protecting individuals’ rights which is a symbol of good governance. Training units in Mwalimu Sacco must ensure that circulars/course announcement emanating from government reach all the staff members and the training funds should be appropriately distributed and priority given to records management. In other words, records staff are required to equip themselves with the relevant skills in order to improve the management of records in the organization.

5.2.3 Local and international standards governing management of records

The Management of Mwalimu Sacco records are guided by various legislations and circulars such as shown by the findings of the study that most of the respondents were aware of the legal framework for managing records. They cited the Public Archives and Documentation Service Act, (Cap 19, laws of Kenya) and records disposal Act (Cap 14 Laws if Kenya) on the disposal of public records. The interview conducted and from the observation made, it was clear that the management had not made adequate effort to ensure that disposal of records from Mwalimu Sacco had been carried out. Hence it is of paramount importance that Mwalimu Sacco determinately put in place the guidelines and procedures for guiding records management. The management of records during their continuum was still being handled manually and poorly in the Mwalimu National Sacco thus posing a challenge in the management of electronic records.
The information captured in organization files includes but not limited to: application form; offer of appointment letter; medical reports, copies of certificates of qualifications; acceptance of offer letter; promotion letters; postings/secondment/transfer letters, probation reports; staff reports/appraisal forms; disciplinary correspondence; salary increment(s) for; change of name documents; personal/service record card and retirement notifications. Record keepers stated that though the management of records in all stages is undertaken efficiently, records management policy is essential in facilitating, the access can be provided timely information.

5.2.4 Challenges encountered in managing records

The existing records management practices in the Mwalimu National Sacco largely do not fully support service delivery. Mwalimu National Sacco lacks proper Records management systems and practices which have resulted in poor record-keeping, poor filing, ineffective use of records and delayed decision making. The current state of records unit has contributed to its inability to provide accurate records and information needed for quick and timely decision-making leading to poor service delivery and opening opportunities for corruption.

Inadequate facilitation of staff working in records unit in terms of budgetary and implementation of guidelines and circulars has impacted negatively on good governance. Lack of new infrastructure facilities in the records unit; poor ventilation and immense dust which has accumulated on the records is some of the existing practices in Mwalimu National Sacco. Accumulation of records due to un-implemented disposal procedures i.e.
most of the records have not yet been disposed because of failure to adhere to the laid down procedures.

Lack of the guidelines on the management of records such as (Cap. 19 of 1965 Revised 1991), National Policy on Records Management and the DPM circular on records to mention a few. Absence of budgets dedicated for records management functions which have led to many activities not undertaken. Failure to comply with records monitoring tools by the records officers, which lead to delays in tracking and retrieval of required records. However, some records management practices in the Mwalimu National Sacco support good governance such as:

The Mwalimu National Sacco is in the process of computerizing all membership records at the Mwalimu National Sacco headquarters. This will be done with the help of the organization management which has developed a Registry Management and workflow system to be rolled out to all departments.

5.2.5 Strategies to improve management of records at Mwalimu Sacco

The recommendations highlighted by the respondents on the management of records shows how records can be effectively managed in support of good governance. Need to enforcement and regular review of circulars and legislations in line with the new constitution especially on the disposal of public records is deemed essential. All seminars and workshops organized should incorporate a module on records management to enable officers at all levels to appreciate the importance of records in service delivery. Embrace computerization of records to allow easy tracking of files and access to information. Train on records management to records staff in order to improve performance.
Budgetary provision to facilitate in records management programmes such as training, seminars and workshops as well as provision of storage facilities, equipment and adequate space should be improved. Implementation of the retention and disposal schedules to enhance disposition of records. Reviewing and updating filing systems and the files index for efficient management and retrieval of information. Embrace proper management of records since they form a basis by which individuals can claim their rights. Enforcement of security measures in the management of records. Support and cooperation from senior management to the records officers when complying with record keeping policy, regulations and procedures.

5.3 Conclusion

The study revealed that the Records Management Programme in management of records in their continuum played an important role in supporting legitimacy, accountability and transparency. However, from the observations and interviews carried out from the different categories of respondents, it was found out that there were many challenges encountered in the management of records during their continuum. There were lapses in the way the records were created, organized, maintained and preserved thus compromising the element of good governance. It can be concluded that: there was inefficiency and ineffectiveness in the way records were being created, organized, maintained and disposed hence affecting good governance.

Respondents observed that records management programme had a direct impact on good governance. One of the respondents’ verbatim comment pointed out that “information can be used to know how many staff exists in an organization and therefore easy to plan
for them in terms of remunerations, training and development needs”. This information can be used effectively in decision making which is attributed to good governance. Well managed records are seen as a foundation for good governance and records served both to document the policies, transactions and activities of government and to provide a trusted source of information to support decision-making and accountability.

The study findings further revealed that there is lack of proper management of records in the Mwalimu National Sacco to support good governance. Therefore, it can be concluded that records in Mwalimu do not support good governance as there are no proper ways in place to effectively manage these records. As a result employees are denied a chance to demand for their rights such as pension, social security payment dues requiring good records keeping practices.

The findings showed that most of the respondents were aware of the legal framework for managing records and cited the Public Archives and Documentation Service Act, (Cap 19, laws of Kenya) and records disposal Act (Cap 14 Laws if Kenya) on the disposal of public records. The interview conducted and from the observation made, it was clear that management had not made adequate effort to ensure that disposal of records from Mwalimu Sacco had been carried out. This was evident from the many non-active records that had not been appraised. Furthermore they had not been destroyed due to lack of initiative from the records staff. Further observation showed that there was no retention and disposal schedule in place and that management had not assisted the Mwalimu Sacco to come up with a proper retention and disposal schedule which can assist in decongesting the records unit and create space for the active records.
Further findings of the study revealed that the management staff had not created records management awareness among the Records management staff on the procedures for disposal. This was largely because the staffs were overwhelmed with other institutional duties and the shortages of manpower at the records section: the findings therefore concluded that Mwalimu Sacco lacks proper procedures and guidelines for the management of records which impacts negatively on good governance.

From this study, it is clear that all the respondents cited various challenges faced in the management of records. There are no professionally trained records managers in the records unit as cited by all managers. The managers cited wrong indexing of letters especially the personnel subject files and the failure of the action officers to fully utilize the file movement registers which according to them led to difficulty in tracing and tracking of files. Record officers and the action officers cited challenges faced in the management of records such as poor file classification and indexing; lack of senior management support; lack of systems, policies and procedures to ensure that records are well organized and accessible; poor storage equipment for storing records and congestion in the records unit; poor environmental and working conditions for staff working and records; and budget constraints. Therefore it can be concluded that incomplete membership files and missing information was a significant cause of delay in dealing with personnel issues; files are not well kept; storage rooms are often overcrowded and security inadequate; indexing procedures are not always in place and file tracking systems are often lacking; records unit has no means of finding who has a file at any particular time, and files cannot be retrieved without a major search being launched.
resulting into large amounts of staff time being wasted which lead to ineffective and inefficient decision making hence poor governance.

In conclusion, the study findings have revealed that there has been poor management of records in Mwalimu Sacco hence no support for good governance. This has been emphasized in the research problem in that lack of clear guidelines and procedures in the management of records. Lack of senior management support seemed to be bottle necks in ensuring the proper management of records in support of good governance. Lack of enough trained manpower in the records unit and budget constraints affect the management of records in the Mwalimu Sacco if these have impacted negatively on good governance. From the finding it can be concluded that Mwalimu Sacco does require appropriate system records management programme for managing the records hence good governance is compromised.

5.4 Recommendations

The study findings revealed that the Mwalimu Sacco is faced by challenge in management of records and weakness in records management which undermine good governance. Therefore, based on the findings and conclusions of the study, the following recommendations are made to the Mwalimu Sacco as a whole for enhancing good governance in the management of records.

5.4.1 Capacity building for records management officers

The study revealed that the most of the staff working in records unit have not acquired professional training in the area of records management and that majority of them have re-designated from other cadres to the line of records officers and they are not well
conversant with regulations and procedures of records management. Therefore, the Mwalimu Sacco should ensure that the records personnel are provided with the necessary support through training and retraining on records management courses; by conducting seminars/workshops which will help them to sharpen their skills and build their competencies and as a result improve their performance in records management. There is an increasing need for skilled records professionals to manage the complex records systems required to support the management of the interface between paper and electronic records systems and to address the records issue involved in managing electronic document systems.

The management of Mwalimu National Sacco in consultation with KNADS should ensure that all seminars/workshops organized at any time in the public service incorporates a module on records management to enable officers at all levels appreciated the importance of records in service delivery. In addition to this, management of Mwalimu National Sacco should ensure that Human Resource Office in charge of training factor in and prioritize records management training for the staff working in records management units in their annual training projections and sponsorship. The managers should ensure that induction courses for newly employed staff and those officers who have been transferred to Mwalimu National Sacco are made mandatory in order to provide them with proper understanding on the operations of records units for effective service delivery.
5.4.2 Retention and disposal schedules

The study revealed absence of records management policy and disposal/retention schedule to facilitate preservation or destruction of records which has led to accumulation of current and non-current records. Records management program is an inventible tool for Mwalimu Sacco, urgently needed for provision guidelines and procedures on records management and disposal. The programme should entail:-records management policy, records disposal, maintenance, Records appraisal and scheduling, storage, and staffing.

Therefore, records retention and disposal schedule should be developed in consultation with KNADS to ensure that records are not overflowing in the records units. Managers and staff directly involved in management of files/records should be sensitized to acquaint them with policy procedures and guidelines for management of records, these includes legislation and circulars on policies relating to records management of records for example the The Public Archives and Documentation Service Act Chapter 19 revised 1991, The disposal of records act 1962, National policy on records management (draft) 2008, The Kenya Communications Act, 1998, as amended by the Kenya Communications (Amendment) Act, 2009 just to mention a few. The records officers should establish retention schedules from the records inventory lists to indicate retention periods for individual records.

5.4.3 Role of records management programme in the management of records

The findings revealed that there have been lacking proper infrastructural capacity for records management in the Mwalimu National Sacco. A programme which incorporates all staff and records officers and involve in the planning, designing and implementation
of the electronic records management system. Mwalimu Sacco management should ensure implementation of sound records management programme which provides Mwalimu National Sacco and the Public Service as a whole with a high level of security, more practical requirements such as correct record storage, accurate dissemination of information, efficient retrieval of information, formalized standards and procedures, appropriate retention and disposal strategies in addition to ensuring legislative and regulatory compliance.

The management and the records officers in the Mwalimu National Sacco should establish a reliable link between the information held on paper and the information held in the computer, such as the national identity number or the Personal Identification Number.

Proper Records management programme needs be put in place to provide the records unit with ways of maintaining authentic, reliable and legally valid source of most of the data required for the system, the need for efficient management of paper-based records by record officers is paramount if the management information system is to be considered and made reliable. paper records are essential at all stages of information processing: Therefore, there is need management and record officers to ensure that records in all formats are given special attention and care for them to be reliable for accountability purposes and good governance. ICT staff should provide proper software that will be able to capture all the information required form the records. Backup systems and challenges associated with technological changes needs to be looked into before computerization of records can be effected. Management should be able to fast track the rolling out of Integrated Records Management programme/System to the organization. This will
provide relevant, complete, accurate, uniformity and timely information to the customers and public sector which will improve the quality and availability of information.

**5.4.4 Enactment of records management policy**

The study revealed lack of National records management policy. Though the policy has been developed in Kenya it has not been enacted. The purpose of the policy is to provide guidance in the management of records form creation to disposal and to facilitate standardization in the application of procedures and practices in records and archives management.

This can be compared with the international standard for the development of records management programmes, ISO15489-2 Information and Documentation-Records Management – Part II, which emphasizes the importance of records management policies and support for records management from senior management of an organization (International Standards Organization (ISO:2001). The International Standard emphasizes the importance of having a records management policy to achieve good record keeping and good governance. It is against this background that there is need for the policy on records management to be enacted so as to provide guidance in the management of records from creation to disposal and standardization in the application of procedures, systems and processes in all Government Ministries/Departments. The enactment of the National records management policy will enhance good governance because records will be managed in a systematic way by following the laid down procedures and practices. Having a records management policy helps staff to understand the importance of
managing records well, and sets the broad standards that staff should follow to achieve good records management.

5.5 Proposed model/framework for management of records at Mwalimu National Sacco

The study recommends a model/framework that could be used to ensure appropriate records management in Mwalimu National Sacco. The model has been adopted from existing model on records management such as the records continuum model developed by Frank Upward and the integrated records management model advanced by Roper and Millar (1999). The recommended model identifies new issues which are not captured by upwards records continuum model and which could be of much help to the Mwalimu National Sacco in order to practice good records keeping for good service delivery. There are seven proposed steps in the model/framework to be followed in the management of records in Mwalimu National Sacco which will enhance good service delivery.

5.5.1 Step 1: Functional Analysis

This step ensured information received will be analyzed according to the purpose or function for which the records were created as indicated below:

1) Functional analysis provides a relationship between organization’s business and its records.
2) Creation of records
3) Identification of types of personnel records.
4) Protection of records
5) Provides effective and efficient management of personnel records to enhance good governance.

5.5.2 Step 2: Assignment of responsibilities

This process is meant to ensure that various players such as ROs, ICT staff, management, all staff, training unit and HODs know their roles in the management of records so that these records can be kept for as long as they are needed for administrative, accountability and historical purposes. The following was proposed:

1) Heads of Department, record officers and management must ensure that staff are aware and understand the policies and procedures for managing records.
2) Training Unit must ensure that all staffs are sensitized on the importance of managing records.
3) ICT staff and record officers must play a key role in computerization of records e.g. choosing the right software, capturing in the system the relevant information and protection of personnel information form inappropriate access or destruction.

5.5.3 Step 3: Risk management and security of records

The organization should ensure maintenance and proper safeguarding of the records by:

1) Protecting the records against unauthorized access, malicious destruction and alteration.
2) Preventing leakage of information which is classified as restricted, confidential, secret or top secret.
3) Protecting records against fire, water, physical and biological damage.
4) Conducting a risk analysis in order to analyze and evaluate potential hazards and therefore to take protective measures.

5.5.4 Step 4: Conducting regular records survey

A records survey is a systematic exercise to locate and identify all the records held by a particular business area.

1) Identification and location of information contained in records is critical for the operation of the organization. Identification of records that are valueless and which should be destroyed immediately.

2) Carrying out a record survey ensures that an organization does not spend resources on keeping unnecessary records. Information obtained from the survey facilitates information sharing throughout the organization and also help to identify those records or information that could be consolidated, and also the elimination or reduction of duplicated information.

3) Measures required protecting the records from loss, damage, etc.

4) To draw up retention and disposal schedules.

5) To comply with the various legislations and policies.

5.5.5 Step 5: Design of a system for records management.

1) Design a system which meets the organization strategies and the requirements of public records legislation.

2) Ensure that the system supports records keeping processes.

3) Ensure that the system is easily understood and can be used effectively by the users.
5.5.6 Step 6: Training and Staff development

Building the capacity of the staff is the cornerstone of any organization’s ability to address issues pertaining to their core functions.

1) Workshops and seminars should be conducted for records staff and users of records in order to enhance their skills in records management.

2) Training of record personnel working in the records units in courses related to records management will equip them with the necessary skills enable them to carry out their records management functions properly.

3) All staff in the Mwalimu Sacco should be sensitized on the importance of personnel records, and the development of skills used in the processes for creating, using, managing and preserving official records, throughout their life, while enhancing fast retrieval of documents in responses to the demands of bother internal and external customers.

4) Induction of the newly recruited employees on records management policies and procedures.

5.5.7 Step 7: Monitoring, evaluation and reviewing

This step analyses the monitoring and evaluation, and review of records management policies, procedure and practices. Continuous monitoring of records management in support of good governance requires.

1) Regular review of the policies, procedures and legislations on records in consultation with the National Archives to ensure that they remain relevant to all government bodies.
2) Senior officers who are responsible for record keeping in Mwalimu National Sacco should regularly monitor their compliance with these policies and procedures.

3) Carrying out staff assessment in order to find out if they understand the importance of personnel records management and provide training where necessary.

5.6Suggestions for further research

The study proposes the following areas for further research.

5.6.1Role of ICT in the management of records

This study indicated that there are many challenges in automating records held in paper form. Therefore, there is a need to evaluate in greater detail the consequences of computerization of records, challenges associated with the management and use of existing paper-based personnel information. There is also a need to consider the means of giving greater emphasis to information management alongside information technology. This information will make a contribution to effective human resource management.

5.6.2Research to the Management of Sectoral records in Mwalimu National Sacco.

This study was confined to investigate the management of records in support of good governance. It is recommended that similar studies should be carried out to establish the state of current records such as administrative, financial and procurement records in the Mwalimu National Sacco.

5.6.3Research in records and service delivery

The scope of the study was only limited to the management of records in support of good governance. Therefore, there is need for further studies to reveal the current state of
personnel records management at Mwalimu National Sacco and its impact on service delivery which will directly impact on efficiency and effectiveness in service delivery.
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The Public Archives and Documentation Service Act chapter 19 (revised)


Appendix I

Introduction letter

Ruth Karaya

P.O Box 62641-00200

Nairobi

16th June 2014

Dear respondent,

I am a student at the University of Nairobi pursuing a Master Degree course in Library and Information Science. I am conducting a research on implementation of records management programme at Mwalimu National Sacco. I have developed research questions which will greatly assist in collecting data on the topic from the field of specialization.

The objectives of the research were to:

1. Identify the existing policies governing the management of records, at the Mwalimu National Sacco.

2. Find out staffing levels of staff involved in records management at the Mwalimu National Sacco

3. Determine contributions made by records management program in management of records.

4. Examine the types of records created in Mwalimu National Sacco

5. Find out the challenges encountered in managing records and propose recommendations on records management frameworks that could close the identified gaps.

Please assist in filling in the black spaces and ticking your responses where appropriate. The information you will give will be only for academic purposes and will be kept strictly confidential.

Thank you.

R. Karaya.
Appendix II

Interview schedule for records officers/archives officers

IMPLEMENTATION OF RECORDS MANAGEMENT PROGRAM IN
MANAGEMENT OF RECORDS AT THE MWALIMU NATIONAL SACCO
NAIROBI

SECTION A

NAME OF OFFICER (optional) ____________________________________________

DESIGNATION_________________________________________________________

DUTIES________________________________________________________________

DEPARTMENT__________________________________________________________

TITLE OF INTERVIEWEE______________________________________________

DATE OF INTERVIEW___________________________________________________

Records management infrastructural capacity to facilitate sound management of records
and therefore foster proper records keeping systems

1. Does the organization have a policy on records management

Yes ( ) No ( )

(a) If yes state briefly what it states

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(b) If no what guides the organization in its records management procedures?

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(c) Does the organization have disposal retention policy?

Yes ( ) no ( )

(d) If no how are records disposed in Mwalimu National Sacco?
(e) In your opinion which policies exist in Mwalimu National Sacco that guides management of records?

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2. Do you have training programs for records management personnel?

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a) If yes how regularly is the training conducted?

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b) At what level?

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Implication of records management program on Records Management practices.

3. Does the organization have a records management program (system)?

Yes

No

(a) If yes briefly describe the content of the records management program

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(b) If no what guides Mwalimu National Sacco in its records management?
(c) What is the adequacy level of qualifications in relation to people manning records at Mwalimu National Sacco?

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4. How would you gauge records management systems in Mwalimu National Sacco in the following fields please rate using the rating (5) Best (4) Very good (3) Good (2) Fair (1) Poor

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Any other briefly state

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a) What role can records management program play in assisting Mwalimu keep the best records management practices?

Please rate using the five scales 1-means no extent 2-means to a small extent, 3-means moderate extent, 4-means to a large extent and 5-means a very large extent

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5. Tick the types of records created in your organization

(a) Paper
(b) Electronic
(c) Microfilms
(c) Maps
(d) Audio

Others please state

a) State the equipment’s used in storage of records in the organization using a five point Linker

Scale where 1-means no extent 2-means to a small extent, 3-means moderate extent, 4-means to a large extent and 5-means a very large extent.
Challenges the Mwalimu National Sacco is likely to face in meeting requirements of records keeping

6. What challenges do you face when handling records at Mwalimu National Sacco?

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Recommendations

7. With the above problems what would you recommend for Mwalimu National Sacco.

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Thank you for your cooperation
Appendix III

Interview schedule for management

IMPLEMENTATION OF RECORDS MANAGEMENT PROGRAM IN
MANAGEMENT OF RECORDS AT THE MWALIMU NATIONAL SACCO
NAIROBI

SECTION A

NAME OF OFFICER (optional) ________________________________

DESIGNATION______________________________________________

DUTIES____________________________________________________

DEPARTMENT______________________________________________

TITLE OF INTERVIEWEE____________________________________

DATE OF INTERVIEW________________________________________

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and therefore foster proper records keeping systems

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   Yes ( )  No ( )

   (a) If yes state briefly what it states

   If no what guides the organization in its records management procedures?

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   Does the organization have disposal retention policy?

   Yes ( )  no ( )

   (b) If no how are records disposed in Mwalimu National Sacco?

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   (c) In your opinion which policies exist in Mwalimu National Sacco that guides

   management of records?

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2. Do you have training programs for records management personnel?

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a) If yes how regularly is the training conducted?

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b) At what level?

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Implication of records management program on Records Management practices.

3. Does the organization have a records management program (system)?

Yes
No

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<td>Records management policies</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
5. Tick the types of records created in your organization
a) Paper
b) Electronic
e) Microfilms
f) Maps
g) Audio
h) Others please state _____________________________________________________

6. State the equipment’s used in storage of records in the organization using a five point Linker

Scale where 1-means no extent 2-means to a small extent, 3-means moderate extent, 4-means to a large extent and 5-means a very large extent.

<table>
<thead>
<tr>
<th></th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
</tr>
</thead>
</table>
a. In shelves | ( ) | ( ) | ( ) | ( ) | ( ) |
b. In drawers | ( ) | ( ) | ( ) | ( ) | ( ) |
c. In cabinets | ( ) | ( ) | ( ) | ( ) | ( ) |
d. On floors | ( ) | ( ) | ( ) | ( ) | ( ) |

Challenges the Mwalimu National Sacco is likely to face in meeting requirements of records keeping

6. What challenges do you face when handling records at Mwalimu National Sacco?
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________

Recommendations
7. With the above problems what would you recommend for Mwalimu National Sacco.
Thank you for your cooperation
Appendix IV

Interview schedule for action officers

IMPLEMENTATION OF RECORDS MANAGEMENT PROGRAM IN
MANAGEMENT OF RECORDS AT THE MWALIMU NATIONAL SACCO
NAIROBI

SECTION A

NAME OF OFFICER (optional)__________________________________________________________

DESIGNATION______________________________________________________________

DUTIES_______________________________________________________________

DEPARTMENT____________________________________________________________

TITLE OF INTERVIEWEE____________________________________________________

DATE OF INTERVIEW_______________________________________________________

Records management infrastructural capacity to facilitate sound management of records
and therefore foster proper records keeping systems

1. Does the organization have a policy on records management

   Yes ( )       No ( )

   a) If yes state briefly what it states

   If no what guides the organization in its records management procedures?

   _______________________________________________________________________

   _______________________________________________________________________

   _______________________________________________________________________

   _______________________________________________________________________

   b) Does the organization have disposal retention policy?

   Yes ( )       No ( )

   c) If no how are records disposed in Mwalimu National Sacco?

   _______________________________________________________________________

   _______________________________________________________________________

   _______________________________________________________________________

   _______________________________________________________________________

   d) In your opinion which policies exist in Mwalimu National Sacco that guides

   management of records?
2. Do you have training programs for records management personnel?

a) If yes how regularly is the training conducted?

b) At what level?

Implication of records management program on Records Management practices.

3. Does the organization have a records management program (system)?

Yes

No

a) If yes briefly describe the content of the records management program

b) If no what guides Mwalimu National Sacco in its records management?

c) What is the adequacy level of qualifications in relation to people manning records at Mwalimu National Sacco?

<table>
<thead>
<tr>
<th>Staffing levels</th>
<th>Quantity</th>
</tr>
</thead>
<tbody>
<tr>
<td>Master’s Degree</td>
<td></td>
</tr>
<tr>
<td>University graduates</td>
<td></td>
</tr>
<tr>
<td>Higher diploma</td>
<td></td>
</tr>
</tbody>
</table>
4. How would you gauge records management systems in Mwalimu National Sacco in the following fields please rate using the rating (5) Best (4) Very good (3) Good (2) Fair (1) Poor

<table>
<thead>
<tr>
<th>Field</th>
<th>Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td>High capacity storage space</td>
<td>( )</td>
</tr>
<tr>
<td>Speed in searching and retrieval of information</td>
<td>( )</td>
</tr>
<tr>
<td>Enhanced security on records</td>
<td>( )</td>
</tr>
<tr>
<td>Better utilization of staff</td>
<td>( )</td>
</tr>
<tr>
<td>Saving in space and equipment's</td>
<td>( )</td>
</tr>
</tbody>
</table>

Any other briefly state
__________________________________________________________________
__________________________________________________________________
__________________________________________________________________
__________________________________________________________________

a) What role can records management program play in assisting Mwalimu keep the best records management practices?

Please rate using the five scales 1-means no extent 2-means to a small extent, 3-means moderate extent, 4-means to a large extent and 5-means a very large extent

<table>
<thead>
<tr>
<th>Field</th>
<th>Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td>Records storage</td>
<td>( )</td>
</tr>
<tr>
<td>Classification and organization</td>
<td>( )</td>
</tr>
<tr>
<td>Security</td>
<td>( )</td>
</tr>
</tbody>
</table>
Maintenance and retrieval ( ) ( ) ( ) ( ) ( )
Staffing ( ) ( ) ( ) ( ) ( )
Records management policies ( ) ( ) ( ) ( ) ( )

5. Tick the types of records created in your organization
   a) Paper
   b) Electronic
   c) Microfilms
   d) Maps
   e) Audio
Others please state _____________________________________________________

b) State the equipment’s used in storage of records in the organization using a five point Linker Scale where 1-means no extent 2-means to a small extent, 3-means moderate extent, 4-means to a large extent and 5-means a very large extent.

   1  2  3  4  5
   a. In shelves ( ) ( ) ( ) ( ) ( )
   b. In drawers ( ) ( ) ( ) ( ) ( )
   c. In cabinets ( ) ( ) ( ) ( ) ( )
   d. On floors( ) ( ) ( ) ( ) ( )

Challenges the Mwalimu National Sacco is likely to face in meeting requirements of records keeping

6. What challenges do you face when handling records at Mwalimu National Sacco?
__________________________________________________________________
__________________________________________________________________
__________________________________________________________________
__________________________________________________________________
Recommendations

7. With the above problems what would you recommend for Mwalimu National Sacco.

________________________________________________________________________
________________________________________________________________________
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________________________________________________________________________

Thank you for your cooperation
Appendix V

Interview schedule for registry personnel

IMPLEMENTATION OF RECORDS MANAGEMENT PROGRAM IN MANAGEMENT OF RECORDS AT THE MWALIMU NATIONAL SACC NAIROBI

SECTION A

NAME OF OFFICER (optional) ______________________________________________________

DESIGNATION ____________________________________________________________

DUTIES ________________________________________________________________

DEPARTMENT __________________________________________________________

TITLE OF INTERVIEWEE ______________________________________________

DATE OF INTERVIEW __________________________________________________

Records management infrastructural capacity to facilitate sound management of records and therefore foster proper records keeping systems

1. Does the organization have a policy on records management

   Yes ( ) No ( )

   a) If yes state briefly what it states

   __________________________________________________________

   __________________________________________________________

   b) If no what guides the organization in its records management procedures?

   __________________________________________________________

   __________________________________________________________

   c) Does the organization have disposal retention policy?

   Yes ( ) No ( )

   d) If no how are records disposed in Mwalimu National Sacco?
In your opinion which policies exist in Mwalimu National Sacco that guides management of records?

2. Do you have training programs for records management personnel?

   a) If yes how regularly is the training conducted?

   b) At what level?

Implication of records management program on Records Management practices.

3. Does the organization have a records management program (system)?
   Yes  
   No  

   a) If yes briefly describe the content of the records management program

   b) If no what guides Mwalimu National Sacco in its records management?
c) What is the adequacy level of qualifications in relation to people manning records at Mwalimu National Sacco?

<table>
<thead>
<tr>
<th>Staffing levels</th>
<th>Quantity</th>
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</thead>
<tbody>
<tr>
<td>Master’s Degree</td>
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<tr>
<td>Higher diploma</td>
<td></td>
</tr>
<tr>
<td>Diploma</td>
<td></td>
</tr>
<tr>
<td>Certificate</td>
<td></td>
</tr>
<tr>
<td>In house trained</td>
<td></td>
</tr>
<tr>
<td>Untrained</td>
<td></td>
</tr>
</tbody>
</table>

a. How would you gauge records management systems in Mwalimu National Sacco in the following fields please rate using the rating (5) Best (4) Very good (3) Good (2) Fair (1) Poor

<table>
<thead>
<tr>
<th>Area</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
</tr>
</thead>
<tbody>
<tr>
<td>High capacity storage space</td>
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<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Speed in searching and retrieval of information</td>
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<td></td>
</tr>
<tr>
<td>Enhanced security on records</td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Better utilization of staff</td>
<td></td>
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<td></td>
<td></td>
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<tr>
<td>Saving in space and equipment’s</td>
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<td></td>
<td></td>
</tr>
</tbody>
</table>

Any other briefly state

__________________________________________________________________
__________________________________________________________________
__________________________________________________________________
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__________________________________________________________________

132
b) What role can records management program play in assisting Mwalimu keep the best records management practices?

Please rate using the five scales 1-means no extent 2-means to a small extent, 3-means moderate extent, 4-means to a large extent and 5-means a very large extent

<table>
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</tr>
</thead>
<tbody>
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<td></td>
</tr>
<tr>
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<td></td>
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<td></td>
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<tr>
<td>Security</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Maintenance and retrieval</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Staffing</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Records management policies</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

8. Tick the types of records created in your organization

e. Paper
f) Electronic

g) Microfilms

h) Maps

i) Audio

Others please state ______________________________________________________

f. State the equipment’s used in storage of records in the organization using a five point Linker Scale where 1-means no extent 2-means to a small extent, 3-means moderate extent, 4-means to a large extent and 5-means a very large extent.

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<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>In drawers</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>In cabinets</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>On floors</td>
<td></td>
<td></td>
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<td></td>
</tr>
</tbody>
</table>
Challenges the Mwalimu National Sacco is likely to face in meeting requirements of records keeping

6. What challenges do you face when handling records at Mwalimu National Sacco?

__________________________________________________________________
__________________________________________________________________
__________________________________________________________________
__________________________________________________________________

Recommendations

7. With the above problems what would you recommend for Mwalimu National Sacco.

__________________________________________________________________
__________________________________________________________________
__________________________________________________________________
__________________________________________________________________

Thank you for your cooperation
Appendix VI

Observation guide

Date of observation

<table>
<thead>
<tr>
<th>No</th>
<th>Item to be observed</th>
<th>Details /comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Access to information</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>How information is handled</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Number of staff manning records</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>The type of storage facilities</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Conditions under which records are being managed</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>The attitude of the staff working in records unit</td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>Whether there is a retention /disposal schedule in place.</td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>Whether proper tools are used in the management of records</td>
<td></td>
</tr>
<tr>
<td>9</td>
<td>Security levels in managing records</td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>Records tracking systems</td>
<td></td>
</tr>
<tr>
<td>11</td>
<td>Retrieval tools</td>
<td></td>
</tr>
<tr>
<td>12</td>
<td>Mail management</td>
<td></td>
</tr>
<tr>
<td>13</td>
<td>Others(specify)</td>
<td></td>
</tr>
</tbody>
</table>
Appendix VII

Authority for data collection

Our Ref: UON/CHSS/DLIS/303

26th August, 2014

CHIEF EXECUTIVE OFFICER
MWALIMU NATIONAL SACCO
P. O. Box 62641-00200
Nairobi.

Dear Sir/Madam,

RE: KARAYA, RUTH WAMBUI REG NO: C54/60822/2013

The above named is a bonafide student at the University of Nairobi undertaking a Master of Library and Information Science (MLIS). She is currently in the process of collecting data as part of the requirements for the course.

Her topic is “Implementation of records management programme at Mwalimu National Sacco.
Any assistance accorded to her will highly be appreciated.

Regards,

Dr. Dorothy Njiraine
Ag. Chairperson
Department of Library & Information Science (DLIS)