IMPLEMENTATION OF A RECORDS MANAGEMENT PROGRAMME AT
THE KENYA ELECTRICITY TRANSMISSION COMPANY LIMITED

BY

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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

I dedicate this project to my dad and late mum, I could not have asked for better parents.

ACKNOWLEDGEMENTS
ACKNOWLEDGEMENTS

My sincere gratitude is first and foremost to God for without whom nothing is possible. To my supervisors Dr. Njiraine and Dr. Nzivo, the strong duo from Makerere and University of Nairobi, (did you know that about yourselves?), thank you so much for your passion and guidance throughout this project, your input has made it what it is today - when a supervisor calls to inquire on your progress, it is an indicator of his/her dedication to the work.

The pioneer MLIS class is a pillar to lean on in this industry; you made some of the most unbearable times seem so light. The camaraderie that you continue to provide way beyond the classroom is a sign that you are friends indeed. The entire team at Kenya Investment Authority Î KenInvest, May God richly reward you for every opportunity you granted me to shine in the records field and my academic work.

Kenya Electricity Transmission Company Ltd Î KETRACO, my new family and the case study, we shall journey together. Through the fears and trepidations you have stood firm to offer guidance and support. My manager Mr. Duncan Macharia, it would be a disservice if I don’t mention you in this project Î your words still resonate in my heart when you granted me the opportunity to sit my exams, only one month after my appointment. Thank you all and may God abundantly bless you.
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ABSTRACT

The study sought to determine the effective ways by which organizations can implement a records management programme as a way of supporting its functions in areas such as decision making, accountability, transparency while at the same time eliminating vices like corruption. Founded on the records life cycle and the records continuum, the study aimed to fulfill four objectives including, identifying the types of records created and received by KETRACO; finding out if there is a functional records management policy at KETRACO; determining the existence of a filing classification scheme and its comprehensiveness; examining records appraisal and retention practice, while assessing the legislative framework governing the same; the contributions of adopting ICT in the management of records and investigating the challenges faced in records management and recommend the best practice for managing records at KETRACO. The study used both qualitative and quantitative methods focusing on KETRACO as its case study, from which stratified and purposive sampling technique were used to select 50 employees to respond to researcher administered questionnaires and another 10 who were interviewed to enhance the qualitative aspect of the study. The findings were analyzed and presented in tables, pie charts and bar graphs for qualitative data, while quantitative data was analyzed through thematic and content analysis. The findings of the study revealed that the Company runs a decentralized registry system, mainly managed by the secretaries, with the assistance of records personnel. It was clear that an alphanumeric filing classification system was in place, however scattered and not comprehensive. The study established the records tracking system was effective as well as the partial application of ICT. A great concern was in the lack of a records management policy, a regular records appraisal practice and disposal. The study therefore recommended quick review and adoption of the records management policy, revision of the filing classification scheme, establishment of a central registry system, engagement of more records professionals as well as appraisal and eventual disposal of inactive records. KETRACO must therefore ensure the implementation of a functional records management programme for effective and efficient service delivery in executing its mandate of being a world class electricity transmission company and the leading interconnector in Africa.
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<th>Description</th>
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<tr>
<td>EDRMS</td>
<td>Electronic Document and Records Management System</td>
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<tr>
<td>EPZA</td>
<td>Export Processing Zones Authority</td>
</tr>
<tr>
<td>ESARBICA</td>
<td>Eastern and Southern Africa Regional Branch for International Council of Archives</td>
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<tr>
<td>HOD</td>
<td>Head of Division</td>
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<tr>
<td>ICT</td>
<td>Information and Communication Technology</td>
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<td>IRMT</td>
<td>International Records Management Trust</td>
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<td>ISO</td>
<td>International Standards Organization</td>
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<tr>
<td>KETRACO</td>
<td>Kenya Electricity Transmission Company Ltd</td>
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<td>KNADS</td>
<td>Kenya National Archives and Documentation Service</td>
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<td>KPLC</td>
<td>Kenya Power and Lighting Company</td>
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<td>MD</td>
<td>Managing Director</td>
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<td>MDG</td>
<td>Millennium Development Goals</td>
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<td>NELSAP</td>
<td>Nile Equatorial Lakes Countries Electric Grids Interconnection Project</td>
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<td>PPOA</td>
<td>Public Procurement Oversight Authority</td>
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<td>SAPP</td>
<td>Southern Africa Power Pool</td>
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CHAPTER ONE
INTRODUCTION

1.1 Background information

The success of any organization is dependent upon an effective records management practice that ensures the right records are availed when needed for effective operation. Records management programme is an integral part of any organization’s standard business operation by ensuring a smooth flow of information within and outside an organization, which ensures effective management that facilitates easy retrieval, readily identifiable and economically managed information.

Records management services preserve and provide the corporate memory of an organization. They document an organization’s accountability, preserve the evidence of an organization’s activities, enable timely access to current administrative information and ensure that records of archival value are marked for preservation at the time of creation and not inadvertently destroyed (Mphalane, 2005:12). Shepherd (2006:6-12) adds that records which are managed as part of an appropriate records management programme will help the organization to conduct business in an efficient, accountable manner, deliver services consistently, support managerial decision making and transparent policy formulation and ensure continuity in policy execution, management and administration.

Isa (2009:1) indicates that record keeping was thought essential in the administration of government offices such as in the British Civil Service in the nineteenth century (Moss, 2005), and in the Netherlands in the early twentieth century (Horsman, 2006). Record keeping practices have evolved from the ancient world to modern times. The introduction of computers in the middle of the twentieth century affected the role of record keeping in underpinning effective administration and businesses operations as organizations were beguiled by the impressive characteristics of digital technology, particularly in the creation, storage and retrieval of information along with apparently reliable security features. It is essential for organizations to have reliable record keeping systems for their
sustainability, particularly for censorship and retention policies, intelligence, security and intellectual property purposes (Cox, 2006).

Isa (2009: 1-2) further states that a government, particularly in a truly democratic country, is accountable to its people for its administration and governance. Public records, which are the by-products of public organizations, provide evidence of the governance of the country.

In Kenya, apart from a few government agencies that have functional records management programmes, most organizations do not have a well-established practice in records management. There has been a long time neglect for professional records management practice. Many organizations have had a notion that they can manage their records, that is, until they reach a point when retrieval, appraisal and retention is no longer an easy task, it is then that they seek the help of trained records personnel.

The problem with records management in Kenya is further compounded by lack of a cordial relationship between the Kenya National Archives and Documentation Services - KNADS and other Government agencies as observed by Mnjama (2003: 91-97) in assessing the problems and prospects of archives and records management in Kenya. He observes that the advisory role of the KNADS is ignored, indicating an incident in 1983 when the then acting chief archivist and records management survey team were denied access by an official of the Kenya Railways in their quest to report on East Africa Community records. This is seen as a challenge to the section of the Public Archives Act Cap, 19 of the Laws of Kenya that mandates the Directors of the KNADS to inspect any public records and advise on the same. This problem Mnjama (2003: 91-97) deduces as failure by public institutions and the National Archives to play its role as an adviser on records management. Mnjama (2003 : 91-97) identifies some of the following problems that have led to the poor state of records keeping in Kenya; failure by top management to establish acceptable records management goals and practices, failure to hire competent staff in the areas of archives and records management, failure to encourage training in the areas of records and archives management, failure to provide financial and administrative
support to those involved in registry work, failure to implement some of the recommendations on the management of records and emphasis on the introduction of Information and Communication Technology – ICT as a means of solving information management problems at the expense of developing paper-based records management system.

Kenya Electricity Transmission Company Limited – KETRACO one of the newly established state corporations has been in existence since December 2008, with visible efforts of an effective records management system in place. This is being improved with time, and as the organization grows and diversifies, the information requirements seem to equally change. Unfortunately from close observation, a lot is still to be done for the records programme to eventually be categorized as a successful one in line with the Company’s core mandate, of building a world class national grid.

Records are an important source of information that facilitates an organization’s transactions and thus form the foundation of KETRACO’s programs, policies and services and facilitate sound decisions and actions. Isa (2009: 1) underscores this fact by stating that records play a crucial role in most human endeavors and they are essential to many of our business and social interactions. This then means that the management of records should be accorded priority as would the core functions of an organization. According to Ngoepe in Ngoako (2011: 7), sound records management is the heart of good public management since government services are dependent on access to information. This is because every single activity in government service requires accountability and transparency for proper governance. The State Records New South Wales (2004:1) emphasizes that records are used to prove what happened, why and by whom. Records serve as a tool for easy accountability and are necessary to meet legal, financial and accountability requirements. It follows then that the value of information and the power it has, determines the manner in which the business activities of KETRACO are conducted. Effective management and use of records results in good and consistent decision making, efficient and effective service delivery, execution of the KETRACO’s programs and mandates, as well as promotion of transparency, accountability and good governance.
In this regard, the records of KETRACO must be protected at all times by ensuring that proper records management systems, practice and procedures are put in place because the records form an integral part of the organization, and there is need to secure them for effectiveness and efficiency. It is in this light that this study aimed at exploring the best practice and recommended the implementation of an effective records management practice at KETRACO, with findings which can be extrapolated to other organizations that seeks to establish or revamp a records management practice.

1.1.1. Records Management in Kenya

The Information Science Blog (2010: np) traces the development of records management from the pre-colonial period indicating that Kenyans at that time mainly relied on oral traditions and for that reason; most of their transactions were conducted in a similar way. This posed a challenge to early records management practitioners in the sense that major activities conducted by Africans were not documented. Memory of such major events and occurrences were kept through naming of children, associating events with seasons, holding ceremonies and planting of trees among other objects and practices. These practices did not give a detailed account of an activity as a record would. A story told by the finest of all story tellers would still lack the precision, detail and authenticity that a record would provide. Absence of documented information in colonial Kenya was made worse by the fact that the colonial secretariat offices in Nairobi were consumed in a fire in 1939 thus, virtually destroying all the central government’s records (Mnjama, 2003: 91-97).

Kenya National Archives and Documentation Services ñ KNADS however, clarifies that the practice of records administration has existed in Kenya since 1895 when the first circular was issued by the British Agency at Zanzibar providing guidelines governing the numbering, docketing and binding of official correspondence. However, formal and official recognition of records management came into being in 1965 with enactment of the Public Archives Act of the Laws of Kenya. The Act has since been revised to be known as the Public Archives and Documentation Service Act (Cap.19) of the Laws of Kenya, 2003. The Act empowers the Director of the Kenya National Archives and
Documentation Service (KNADS) to examine any public records and public archives and advice on their care, preservation, custody and control.

In 1990 the Public Archives Act was amended to incorporate the National Documentation Service. Hence The Public Archives and Documentation Service Act. The post of the Director was also incorporated in the Act. During the 1990s the archives service experienced growth and improvement in terms of training and opening of Provincial Records Centres. This Act was later revised in the year 2012 incorporating changes brought about by the new constitution of Kenya, promulgated in August, 2010. The powers of the Director in respect to public records and the National Documentation and Information Retrieval Service are amongst the significant changes witnessed.

The department through its various provincial records centres has been operating with disjointed internal rules and guidelines on records capture, survey, appraisal, processing, disposal and monitoring and evaluation.

A standard document has since been developed as result of the past professional experiences as well as current international best practices in records and archives management. This is therefore a useful reference document for practicing Records Management Officers and Archivists (KNADS).

The year 2010, marked yet another milestone in the development of records management in Kenya when the standard manual was issued as a guide to all Ministries and State Corporation for the management of their records. Various procedures have also been issued capturing major aspects of records management such as retention; these documents include the Procurement Records Management Procedure issued in 2010, Circular from the Department of Personnel Management and the Government Financial Regulations Procedures.

The launch of the strategy to automate public sector records as part of reforms to improve service delivery to citizens is another mark to be proud of. The five-year strategy which provides a roadmap to move from manual to electronic records to increase accountability and good governance has since seen the establishment of the e-registry. An automated
public records system assists public officers perform their duties effectively when formulating polices by making appropriate decisions and achieving greater efficiency, (Otieno, 2011:1). The electronic system when fully implemented will assist the government to respond to the increasing amount of information available and the ever-growing number of records created by the public sector agencies. It will assist public sector activities to be documented and maintained with officials getting the right information at the right time and at the least cost possible (Xinhua, 2011:10).

Records management in Kenya can be said to be on an upward trend with universities introducing relevant courses in line with the profession. The study is therefore timely as it harnesses from this very rich field that is now being appreciated by many if not all organizations in Kenya.

1.1.2 Overview of Kenya Electricity Transmission Company Limited - KETRACO

In Sessional Paper No. 4 of 2004 on Energy, the Government indicated the need to fully un-bundle the transmission and distribution functions of Kenya Power and Lighting Company (KPLC), but on further review, it was decided that a separate company wholly owned by the government and funded by the exchequer be created to construct future additional transmission lines.

Unbundling KPLC would have been challenging owing to its status as a publicly quoted company. The Government therefore registered The Kenya Electricity Transmission Company Limited in November 2008. The new company’s core functions were: to plan, design and construct, own, operate and maintain high-voltage electricity transmission lines and fiber optic cables. KPLC retained and continue to operate all previously existing transmission systems. KETRACO is 100% Government owned and being a state corporation, it is regulated under the State Corporations Act, Cap 446. The Company was established to develop new high voltage electricity transmission infrastructure that will form the backbone of the National Transmission Grid, in line with Kenya Vision 2030. Its core business is to plan, design, build and maintain electricity transmission lines and associated substations. The voltage rating of the transmission lines include 132kV, 220kV, 400kV and 500kV (High voltage direct current - HVDC).
Creation of the Kenya Electricity Transmission Company Limited was necessitated by the desire of the Government to transform power transmission into open access system to allow large electricity customers to purchase power from generators.

With future interconnections of Kenya’s electricity grid with Ethiopia, Tanzania and other Southern Africa Power Pool (SAPP) countries, and strengthening of the interconnection with Uganda through the Nile Equatorial Lakes Countries Electric Grids Interconnection Project (NELSAP), the Government views open access as having potential to enhance market and supply options for both power generation and large consumers.

The creation of the company also aimed to shield electricity consumers from higher tariffs in future arising from construction of this expensive power transmission infrastructure. Projects undertaken will be fully funded by the Government and no capital related expenses will be passed on to the consumer. Thus the transmission company will contribute to improvement of power quality, supply and affordability.

KETRACO’s mandate is to design, construct, operate and maintain new high voltage electricity transmission infrastructure that will form the backbone of the National Transmission Grid. In carrying out this mandate, the Company is expected to develop a new and robust grid system in order to:

1. Improve quality and reliability of electricity supply throughout the country
2. Transmit electricity to areas that are currently not supplied from the national grid
3. Evacuate power from planned generation plants
4. Provide a link with the neighboring countries in order to facilitate power exchange and develop electricity trade in the region
5. Reduce transmission losses that currently cost the country heavily every year and
6. Reduce the cost of electricity to the consumer by absorbing the capital cost of transmission infrastructure
1.2 Statement of the problem

Records are a key resource for good management like any other resources in an organization, and must be treated with utmost importance as would other resources. Sound records management therefore, is a vital aspect of ensuring transparency and accountability.

The Ministry of Public Service in 2011 launched the Strategy for Improvement of Records Management, with the then Public Service minister Dalmas Otieno indicating that the strategy captured in the Records Management Procedures Manual and the Integrated Records Management System for the public service was meant to enhance efficiency. This was brought about by the increase of information leading to the need for an excellent records management programme (Wekesa, 2011: np).

Through a good records management practice, records created are kept safely and therefore remain unaltered, reliable, accurate and useable overtime for as long as they are needed in supporting the functions of the organization that they serve.

Given that records are a major source of information that facilitates government transactions, their creation, use and disposal is necessary. Meijer (2001: n.p.) argues that the records management community claims that records have to be preserved for accountability purposes, but they rarely explore what accountability is and what role records play. In addition, the contribution of records management to good governance and accountability is not recognized by other professions and management.

The increase in the amount of records being received and those generated by the government sector, coupled with a poor records management programme have led to inappropriate decision making, corruption, loss and even unacceptable destruction of records. This has seen most government projects lag behind in terms of completion, thus the use of more funds than earlier anticipated. Keorapetse & Keakopa (2011: 24-35) further assert that poor records keeping have led to corrupt practices and lack of accountability and poor governance structures. The efficiency of many organizations is then seen to be questionable due to ignorance on records management practices. Yet one
thing is clear, that for effective and efficient service delivery, records management stands out as the key player.

KETRACO - a newly established state agency in Kenya which has just experienced its share of an almost non-existent records management programme that has slowed down some of the services, misplacement of records as well as poor mail management system. This warrants a records survey to assess the current state before a records management programme is rolled out. This study therefore assessed ways of implementing an effective records management programme that would support the business functions of KETRACO, as it seeks to build a world class national electricity grid.

1.3 Purpose of the study
The aim of this study was to assess and facilitate the implementation of an effective records management programme.

1.3.1 Objectives of the study
The objectives of the study are to:

(i) Identify the types of records created and received by KETRACO and a functional policy that guides their management.
(ii) Find out if there is an existing filing classification scheme, a records appraisal and retention practice, while assessing the legislative framework governing the same at KETRACO.
(iii) Assess the contributions of adopting ICT in the management of records at KETRACO.
(iv) Identify the challenges faced in records management at KETRACO and recommend the best practice.

1.4 Research questions
The specific research questions that guided the study are:

(i) What policy guides the types of records created and received by KETRACO?
(ii) What filing classification scheme is used by KETRACO and how frequently are record surveys and appraisal conducted?
(iii) How significant is ICT in managing records at KETRACO and what are their contributions?

(iv) What are the challenges faced in managing records at KETRACO?

1.5 Assumptions of the study

The study was based on the assumption that lack of a records management programme at KETRACO has led to poor management of records that has significantly affected effective service delivery. On the flipside, an effective records management programme will significantly improve service delivery and the realization of the core business of KETRACO.

The organizational culture coupled with staff attitude towards records management at KETRACO will influence the success or failure of the records management programme.

1.6 Significance of the study

Provision of better services is dependent upon a comprehensive and effectively implemented records management programme and therefore the findings of this study are of great significance to the Kenya Electricity Transmission Company and other government agencies, by recommending the most appropriate means in the implementation of a records management programme, which will see records managed through-out the various stages of creation/receipt to disposal by destruction or transfer to the archives. Top management support is the key towards the success of any programme in an organization which the study aimed to achieve by sensitizing them on the importance of good records management practice in effectively contributing to the overall functions of the Company. The study also significantly contributes to the body of knowledge in the subject area which is relatively lacking in supply of relevant information and practice.

The Kenya Vision 2030 achievement is pegged on proper management of records in every sector and at every level, making the study an important contributor through its recommendations especially in ICT for purposes of achieving electronic solutions. Another national area of concern is the achievement of the Millennium Development
Goals (MDG) through which the findings of the study point out areas of improvement towards becoming ICT compliant for speed, efficiency and effectiveness.

1.7 Scope of the study

The subject area of this study was the implementation of a records management programme at KETRACO. The study aimed to establish the existence of various contributory factors towards an effective records management programme; among them the management of records throughout their lifecycle, according appropriate care to both current and non-current records, existence of a central registry with an effective filing classification scheme as well as a records retention and disposal schedule - all principled through an approved policy.

The study adopted the Kenya Electricity Transmission Company as its area of concentration, because it is a newly established state agency, which can easily implement a records management programme, as opposed to other agencies that have been in existence for very many years. The efforts made by KETRACO to effectively manage its records though rudimentary, is a key driver of choice, which led the researcher towards adopting it as a case study. The likelihood of the recommendations being adopted and implemented were high in this organization.

Geographically the company is located in Capitol Hill Square - Caparo Place in the Upper Hill area of Nairobi - Kenya, which is about 1KM away from the central business district. It had an employee base of 250 as at the time of the study, spread across its core business, which is the transmission of high voltage electricity and the support functions such as accounting, procurement, corporate services, records management, communication and human resources administration as it seek to join the entire Kenya to the national electricity grid.
1.8 Limitations of the Study

There is a tendency of state officers being too difficult in revealing information that seems to be underpinning some shortcomings in the organization. The lack of an effective records management programme in a state agency is in itself a non-conformity to the requirements and guidelines issued by the public services, thus leading to a lot of caution on how much can be revealed regarding the same. The staffs are involved in diverse activities with very few that are conversant with records management issues, making terminologies such as appraisal and survey seem far-fetched, thus misinterpretation of questions asked and the information required.

1.9 Definition of terms

This study focuses on major key areas and issues of records management namely:

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
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<tbody>
<tr>
<td>Records</td>
<td>Information created, received, and maintained as evidence and information by KETRACO, in pursuance of legal obligations and in the transaction of its core business which is high voltage electricity transmission in Kenya</td>
</tr>
<tr>
<td>Records management</td>
<td>Field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of KETRACO records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records.</td>
</tr>
<tr>
<td>Records survey</td>
<td>Systematic procedure to be used to gather factual information about all records at KETRACO as their place of creation/custody, to be conducted by records personnel in order to identify all the records of the organization. It is basically aimed at the active as well as inactive record storage.</td>
</tr>
</tbody>
</table>
**Records appraisal**
The process of determining the value of records for further use, for whatever purpose, and the length of time for which that value will continue, it is also known as evaluation, review or selection.

**Retention and Disposal**
Is the process of determining the length of time records should be kept, where and how they should be kept. For KETRACO it will involve creating a comprehensive list of all record series and their predetermined dates of disposition indicating destruction or transfer decisions.

**Business function**
Refers to the day to day activities of an organization in meeting its overall goal

**1.10 Summary**
This chapter focused on the importance of conducting the study on the implementation of records management programme as the main issue investigated. The chapter presents the problem identified, especially the neglect that records management has suffered leading to misfiling, loss of records, delays in retrieval as well as inadvertent destruction of records of value; guided by four objectives and two assumptions, the study presents the limitations envisioned and elaborates the likely gains to be made from the findings and recommendations. The chapter also introduces the major concepts covered in the study.
CHAPTER TWO
LITERATURE REVIEW

2.1 Introduction
In this chapter the researcher examined the relevant literature written in the field of records management and specifically its implementation, and the benefits that accrue from it. It covered relevant contributions to this area of study that is, implementation of an effective records management programme.

2.2 Foundation of the study
The study’s foundation was premised on the records lifecycle and the records continuum to show the interrelations that are assumed to exist between the different concepts of the study.

2.2.1 Records Lifecycle
The records life cycle concept was invented by the National Archives of the United States of America in the 1930s (Yusof & Chell, 2000:135-139) in response to the ever increasing volume of records produced by organizations. The Records Life Cycle model has since been dynamically used in places like North America and indicates a separation amongst records management and archival management (Gilliland-Swetland, 2000; Shepard & Yeo, 2003; Ulfsparr, 1998).

The life cycle model present a picture of records as going through various stages much like a living organism, it is an analogy similar to the life of a biological organism, which is born, lives and dies. In the same way a record is created, used for so long as it has continuing value and then disposed by destruction or transfer to the archives. Records are created and vigorously used in relation to their purpose (reason for their creation). In other words records that do not fulfil their purpose become irrelevant and unnecessary, while those that serve their purpose become active. When a record is no longer useful, a decision is made as to whether the record should be preserved or disposed of. Thus a
record is created, used as long as it has continuing value, and then transferred to national archives or destroyed (Coetzer, 2012:37).

Shepherd and Yeo (2003:10) observed that since the 1950s, many variants of the records life cycle concept have been modelled, and most models aimed to show a progression of actions taken at different times in the life of a record, typically this involved the creation, capture, storage, use and disposal of a record. According to the concept, as indicated by Coetzer (2012: 37-38) the first step of a record’s life cycle begins with the creation of the record. The creation of a record can be achieved in many different ways, e.g. receipts, spread sheets, emails, minutes of meetings, etc. When a record has been used frequently it is implicitly described as active. After some time the record becomes less frequently used and enters the semi-active/inactive period. The last period occurs when the record is inactive and is no longer used. At this point the majority of the records are destroyed and a limited number are transferred to archival repositories for preservation. The appraisal of records is performed at the final disposal point within the model. The Records Life Cycle model was the first theory that provided the framework for the operation of a records management programme.

This model has however been criticized more so with the advent of electronic records due to its exclusion on the management of these records. The concept also distinctly seclude the roles of records managers and archivist as stated by Atherton (1985) that the theory created a distinction between the roles of records managers and archivists during the records life-cycle. She proposed that the Records Life Cycle model should be changed into a more unified model consisting of four instead of eight stages. She further argued that although the Records Life Cycle model had been useful in promoting a sense of order in the overall management of records, strict adherence to its principles undermined any trend towards greater cooperation and co-ordination among archivists and records managers and hence ignored the many ways in which records and archives’ operations overlapped.
Yusuf and Chell (2000: 135-141), critic the model further by stating that it was more applicable to those studies dealing with the management of paper-based records in organizations. The authors pointed out that the Records Life Cycle model was not suitable for studies investigating the management of electronic records and needed to be replaced with a model that appropriately reflected the special characteristics of electronic records.

The perceived weaknesses of the Records Life Cycle model therefore inadvertently led to the development of the Records Continuum.

2.2.2 Records Continuum

Xiaomi (2003:25-29) says that the records continuum as a model was formulated in the 1990s by Australian archival theorist Frank Upward based on four principles. The first is a concept of ‘record’ inclusive of records of continuing value, stresses their use for transactional, evidentiary, and memory purposes, and unifies approaches to archiving/recordkeeping, whether records are kept for a split second or millennium. The second is, there is a focus on records as logical rather than physical entities, regardless of whether they are in paper or electronic form. The third is the institutionalization of recordkeeping profession’s role requires a particular emphasis on the need to integrate recordkeeping into business and societal processes and purposes. The fourth point is that archival science is the foundation for organized knowledge.

The records continuum concept is the idea that different stakeholders create, use, manage, and retain records, not in discrete stages, but at different points throughout the record’s existence. The continuum concept recognizes that records pass through identifiable stages; however, these stages are reference points, not separate functions. In other words, a record is not simply created, passed to a records manager for short-term storage, and then passed to an archivist for long-term storage. Instead, each person’s activities will have an effect on all the others in the continuum. Their roles and responsibilities should be coordinated, not organized autonomously (Minnesota State Archives, 2012).
The Minnesota Archives further states that the continuum concept outlines four actions that recur throughout the life of a record. These actions are:

- **Identification.** Determining what constitutes a record
- **Intellectual control.** Making decisions about the record
- **Provision of access.** Enabling users to access the records
- **Physical control.** Managing the physical location and format of the record

Each person who touches the record performs one or all of these activities. For example, the records creator, records manager, and archivist all manage the physical location of the record. Therefore, all these people should collaborate on a comprehensive and well-managed records management strategy. According to Kemoni (2008:66), in a continuum there are no separate steps. Managing records is seen as a continuous process in which one element of the continuum passes seamlessly into another.

In a study by Cyrille (2010: xlv-xlv) on the management of personnel records in Tanzania, records are stated to be both current and historical from the moment of their creation. By definition they are frozen in time, fixed in a documentary form and linked to their context of creation. They are thus time and space bound, perpetually connected to events in the past. Yet they are also dis-embedded, carried forward into new circumstances where they are presented and used. Records continuum thinking and practice focuses on logical records and their relationships with other records and their contexts of creation and use. Thus the Continuum is a map of a dynamic, virtual place - a place of 'logical, or virtual or multiple realities' - and it always has been, even in the paper world. Because the continuum is holistic yet multidimensional, it can be refracted or separated out into its constituent layers like a band of light.

The choice of this model for the study was based on the fact that it has become widely accepted as a replacement for the Records Lifecycle which in real sense is not cyclic at all. It ends at the disposal stage, yet the continuum focuses on the need to capture records and have them available throughout the time that the business function continues. Kemoni (2008:2) agrees that integrated approaches, integrated control and integrated framework
can be components of a best practice framework. The records continuum model is more applicable to records and archives management hence its use as a theoretical foundation of studies dealing with the management of both paper and electronic records and archives. A look at the kinds of records created/received by KETRACO, the records continuum seems to fit well. Both paper-based and electronic form records are generated by the company, and ideally refers to the company and its core mandate are not to be managed just like a carrier, but as some form of intellectual content without which the organization is equally non-existent.

Yet again the structural principles of the Records Continuum model as presented by Upward (1998: 84) tie in to the concept of records of continuing value. The principles stress the use of records for transactional, evidential and memory purposes and promote unified approaches to archiving/recordkeeping. Other structural principles focus on records as logical rather than physical entities, regardless of whether they are paper-based or in electronic form. The institutionalization of the recordkeeping profession suggests a particular need to integrate recordkeeping into business and societal processes and purposes.

2.2.3 Contrast and why the records continuum

A records continuum perspective can be contrasted with the life cycle model. The life cycle model argues that there are clearly definable stages in record-keeping and creates a sharp distinction between current and historical record-keeping. The record continuum has provided records managers and archivists with a way of thinking about the integration of record-keeping and archiving processes. The life cycle model sees records passing through stages until they eventually 'die', except for the 'chosen ones' that are reincarnated as archives. A continuum-based approach suggests integrated time-space dimensions. Records are 'fixed' in time and space from the moment of their creation, but record-keeping regimes carry them forward and enable their use for multiple purposes by delivering them to people living in different times and spaces.

According to McKemmish et al (2005) the key difference between the life cycle model and the records continuum model is that each stage of the life cycle is conceptualized as a
one-dimensional space in the former. Recordkeeping takes only that stage perspective in consideration. Irrespective of which dimension that is in focus (creation, capture, organization or pluralization) when working with the records continuum model all the other dimensions is present.

2.3 Records and Records Management

In Coetzer & Le Roux (2012) a record has been defined by the National Archives and Records Service of South Africa (2009) as recorded information, in any form, created or received and maintained in pursuance of legal obligations or in the transaction of business and kept as evidence of such activity. The University of Manchester (2010) states that any recorded information which is produced, received or kept as part of its business processes and which provides evidence of a specific activity can be defined as a record. The University of South Africa (2007:1) likewise explains that a record refers to recorded information, regardless of format or medium, which has been created, received, used, accessed and maintained by the university/organization (at large (and/or its predecessors) as evidence and information in pursuance of its legal obligations or in the transaction of business, and this includes e-mails, records in electronic form, and records other than correspondence. In the light of the above, the globally accepted definition by ISO 15489 from which all other definitions are derived from, states that records are information created, received, and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business.

In a study by Erima and Wamukoya (2012: 27) it is stated that records can exist in any medium and in many forms, including documentary, databases, photographs and audio visual. Shepherd and Yeo (2003) in Erima and Wamukoya (2012:24-36) contend that a record is not defined by its physical form, age, or the fact that it contains information. Its essential characteristic is that it provides evidence of some specific activity. Whatever the format, records need to be properly managed for business efficiency in an organization. Mnjama and Wamukoya (2004) concur that records are valuable assets that need to be managed and protected.
In Cyrille (2010: xlv-xlvi) The World Bank (2008) underscores the importance of records as they document fundamental rights and obligations and differentiates the rule of law from the action of arbitrary state. Without records there can hardly be the rule of law and no accountability hence, no good governance. Without good records, official are forced to take decisions on an *ad hoc* basis without the benefits of institutional memory. Besides, fraud cannot be proven, meaningful audit cannot be carried out and government actions are not open to review (IRMT, 1999).

Conclusively, records of whatever format are organizations' valued assets and should be treated so because they represent the collective memory, underpin daily operations and support the image that the organization represents to its external publics.

With that understanding of the term records, its management then becomes essential in meeting organizational goal as it blends seamlessly with core functions. ISO 15489 defines records management as the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records.

According to Chinyemba and Ngulube (2005: 19), Proper records management involves establishing systematic controls at every stage of the record's lifecycle in accordance with established principles and accepted models of records management.

This therefore means that practicing proper records management leads to good management because an organization's activities are based on access to the information contained in records. Records management then is an established discipline, with proven theories, standards and professional training.

**2.4 Benefit of records management to an organization**

Proper management of records has various advantages that not only stem from the neatness and availability of records, but more into support of organizational functions.
Ngoako (2011:25) states that government bodies that manage their records properly are rewarded with several benefits. These benefits include, but are not limited to, easy retrieval and access to records, ability to prevent and track fraud and corruption, ease to follow informed problem-solving and decision-making and the protection of organizations against legal charges/claims (litigations). The organization is also able to comply with pieces of legislation as well as professional administration and accountability. Bhana (2008:7) states that record keeping is an enabler since, without it, things like auditing and financial management will not be possible. Records can be used to support business activities, decision-making and accountability. Proper records management assists the organization in preserving well-organized records in their business. The following are the benefits that will be realized from proper management of records as explained by Ngoako (2011:22-27):

2.4.1 Accountability

Shepherd (2006) says that organizations use records to support accountability, when they need to prove that they have met their obligations or complied with the best practice or established policies. Accountability is a crucial aspect in enhancing service delivery. Accountability is possible with proper, effective and efficient records management in the public sector that the government body is able to properly account as informed by available and accessible records. This is because if records are properly managed, accessibility also becomes easy and on time for the accounting officer to prepare and be ready to account.

2.4.2 Easy retrieval and access

In Ngoako (2011:23) Thurston (2005) and Iwhiwhu (2005) underscore that reliable, timely and accessible records should make available information about administrative actions, such as resources received, committed or spent resources, which facilitate and simplify accountability. Properly managed records are filed according to the filing plan or system. Retrieval is a matter of minutes, instead of hours. This is because records are easily identified by the file/reference number on the filing plan and then retrieved from the filing cabinets/shelves as there will be no misfiling if properly managed.
2.4.3 Administrative governance

Records are kept for administrative, historic and archival values that they contain. The organization also needs to come up with a mechanism to check its compliance with policies and procedures for better administration. This mechanism should cover the records management system audit to hold non-complying members accountable (Chinyemba and Ngulube 2005: 19). Information is a key for the organization to effectively manage its business since it provides guidance for decision-making and accountability. This is because records provide a corporate memory to depend on. Introduction and proper practice of proper records management will ensure sustainable and good governance of the organization since it documents decisions and organizational activities (Ngoepe, 2004; Man, 2005).

2.4.4 Prevention and tracking of fraud and corruption

Mnjama (2003:11) states that there is a direct link between poor records keeping practices and corruption, arguing further that among other root causes of corruption is the lack of good records keeping practices and failure by government to institute measures that will ensure records are well managed. People always look for loopholes in the systems when they want to commit fraud. Effective records management practices are essential to ensure that there are no loopholes in the system. An anticorruption effort is one of the initiatives introduced to enhance economic performance, increase accountability and strengthen civil society which depends on proper records keeping. Fraud and corruption can jeopardize the bright future of any organizations and weaken service delivery. Records management is the key tools in preventing and tracking fraud and corruption. If properly managed, records can be used to investigate and prove fraud and corruption, and to carry out meaningful audits and review government actions. It is mostly with reliable, authentic and accurate records that an organization or government entity can track and charge a person responsible for activities considered as fraud and corruption. Poor records management creates an opportunity to commit fraud and corruption. Sound records management is therefore necessary to “root out corruptions and malpractices” (Wamukoya and Mutula 2005: 74).
2.4.5 Decision-Making

Successful problem-solving and decision-making is made possible through the availability of complete and unaltered records. With a proper records management organization can use information contained in records to solve specific problems and make informed decision. This can only be successful if records are properly managed for easy retrieval and accessibility. In the absence of functional records management, decisions are made without full information since decision-makers would be lacking the required details for an informed decision. This opens opportunities for corruption or collusion between organizational staff.

2.4.6 Protecting against Litigations

The Public Archives and Documentation Act Cap 19, under the powers of the directors provides for the making of, and authentication of, copies of and extracts from the public archives, for use as evidence in legal proceedings or for any other purpose. Ngoepe (2004:1-8) underscores that a government body creates and keeps records to prove in future that, their administrative action to citizens was lawful, fair and reasonable and thus avoid blame or litigation. When the organization is litigated with allegations of poor service delivery, which negatively affected members of the public, it is mostly through records that the government body gives account and is protected against the charges. If proper records management were practiced in that government body, records about the service rendered may be retrieved and used as evidence about the steps followed in rendering alleged service.

2.4.7 Compliance with legislation

Records assist the organization with reliable and legal evidence of decisions and actions (Bhana, 2008:3). In Kenya various legislations have been passed for purposes of guidance on the management of public records key among them are Public Archives and Documentation Act, Cap 19, Records Disposal Act Cap 14, Chapter 23 of the Government Financial Regulations and procedures as well as the circular on management of personnel records. These are demands that have been laid as a way of achieving sound records management. Chachage and Ngulube (2006:2) argue that one of the major reasons for the business to keep records as they generate them during their daily business
operations is to comply with legal requirements as well as to protect the stakeholders’ rights.

2.4.8 Administration and accountability

Records are maintained in order to provide evidence of accountability and transparency of business to the stakeholders because sound records management is important and necessary for any organization (Willis, 2005: 91; Wamukoya and Mutula, 2005: 74). Good public service management is the end product of a sound records management, because government administration and decision-making depends much on access to information (Ngoepe, 2004:1).

2.5 Role of Records Management in Organizations’ Competency

Abuzawayda & Yusof (2012: 46-48) state that great records management is essential for the functioning of an organization because it enhances the business and provides proficient delivery of services. It assists both private and public sectors in producing their own selections and actions. The National Archives and Records Service of South Africa (2004) reiterate that powerful records management helps to enhance the delivery of public services. Organizations should therefore according to Heald (2006) ascertain that records are protected as long as they are needed for the purpose of accountability. The Australian National Audit Office (2012:14) opine further that to support agency business, and meet legal and policy requirements, systems that manage information need to operate so that records can be proven to be genuine; are accurate and can be trusted; are complete and unaltered; are secure from unauthorized access, alteration and deletion; are findable and readable; and are related to other relevant records. Abuzawayda & Yusof (2012: 46-48) go ahead to identify two major areas of competency namely:

2.5.1 Transparency

The word transparency is regarded as the most important term in business governance and in all types of organizations. The term applies to the access of information to the public and the manner in which the organization practices its decision making policies (Ngulube, 2003). The shortage of suitable records, accountability, openness and productivity in public service would certainly bring about data corruption and loss of
confidence in the civil service (Muthaura, 2011). Henceforth, the transparency and accountably of records is very important. The concept of ‘freedom of information’ is being practiced in many countries especially in African nations to ensure that the government changes its existing culture. There are many laws implemented in the African nations to ensure better transparency and accountability of information especially when it comes to decision making in the government sector which emphasizes on the need for quality records management in the country. A study conducted in the year 2002 by Transparency International clearly demonstrated that the top ten most corrupt countries in the world hardly had any access to information or a clause in their laws and the top ten eight least corrupt countries did have a law based on access to information (Weber, 1999: 451-494). Transparency is a function of the evidential value of the information disclosed in the report which again is dependent on the reliability, accuracy and completeness of records.

2.5.2 Accountability

A good record management system is the main source of financial accountability. Records management also serves as a tool of documentary evidence for which organizations can be accounted. Therefore, it is important that the government organizations are transparent to ensure that they are not accountable against any false claim. It has been strongly acclaimed by the World Bank (2011) that the management of records is for the purpose of accountability but this accountability is hardly explored. According to the World Bank there is a strong connection between record management and accountability in Ghana since the beginning of 1991. Many researchers have emphasized the confluence between record management and the right to access information. Researchers emphasize on the importance of accountability of records management especially in relation to the corrupt officials. Researchers have stated that improper management of records will lead to mistrust and corruption. A Good government as stated by Mnjama and Wamukoya (2007:275-282) should always be transparent, accountable and trustable irrespective of its demographics.
Records also document fundamental rights and obligations of individuals and organizations which, if followed, highlight the difference between a corrupt and good government. Within this context, a "good" government may be considered one that is based in part on "transparency, accountability and trust" regardless of its geographical Location (Lili-Nurliyana, 2008: 5-9).

Many studies have indicated in the past the relationship between records management and accountability, which is the pillar of success for any organization free from corruption and other repulsive information hiding behaviors.

2.6 Records Management Strategy

The Public Records Office Victoria (2010) refers to a records management strategy as a high level document that provides an overview of the records management environment of an agency. It is used to provide specific links between records management and the strategic direction of the agency as well as to the financial situation of the agency. This enables records management to be understood within the context of the overall business environment of the agency. For KETRACO as a state agency, a records management strategy is essential in linking up its core mandates to the management of records generated or received on a daily basis. Its effective implementation will then rely on both the strategy and a plan of action. The plan of action will consist of elements from the records management strategy that cover the objectives, actions, resources, responsibilities, and key performance indicators as further reiterated by the Victoria Office. It is used to monitor the progress and success of the strategy throughout its implementation and use. The implementation plan may be developed as part of the strategy itself, or as a separate and subsequent document.

2.7 Records management programmes and systems

Mampe and Kalusopa (2012 : 2-23) in their study on records management and service delivery: the case of Department of Corporate Services in the Ministry of Health in Botswana provides for the following essential activities for the implementation of a records management programme discussed in line with best records management practices to include:
i. Records management policy and procedures manual which will serve four functions of Standardizing procedures; establishing responsibility; assisting in employee training; and providing for updates on policies and procedures. According to Kemoni (2007) without a records management policy for instance, it is difficult to establish efficient records management systems that supports decision-making. Kemoni (2007) further posits that the absence of a records management policy has the ability to obstruct the role of public service providers. Thus the lack of a records management procedures manual would have implications such as records management personnel not having the necessary guidelines for managing records during the continuum of activities that would make the management of records throughout their life-cycle easier.

ii. Formats of records used - Shepherd and Yeo (2003) are of the view that an effective records management programme should encompass the management of all records regardless of their formats. It is evident that in as much as electronic records are in use, paper records are still dominant. Organizations need to conduct records surveys not only to establish the formats of records created but also to ensure their timely access, use, appraisals and disposal.

iii. Records creation and use - According to Ricks, Swarfford and Gow (1992), records are important for a number of reasons within an organization; they provide evidence for decision making, for documentation, for reference and for response to enquiry amongst others. It is therefore necessary to monitor the creation/receipt and use of the records received by an organization as a way of ensuring effective implementation of records management programme

iv. Classification of records - ISO 15489-1 defines records classification scheme as a tool in records management that assists in various processes such as providing linkage between individual records which accumulate to provide a continuous record of activities. ISO 15489-1 further points out that a classification scheme is important for ensuring records are named in a consistent manner over time; assisting in the retrieval of all records relating to a particular function; determining security protection and access appropriate for sets of records;
distributing users permissions for access to, or action on, particular groups of records; distributing responsibility for management of particular sets of records; distributing records for action; and determining appropriate retention periods and disposal actions for records.

v. Records registration and control of file movement - According to Ngoepe (2008), the purpose of tracking records is to document the movements of records so that the organization knows where its records are at any time, to monitor the use of records and to maintain an auditable trail of record keeping processes, such as access to records by users.

vi. Records storage - ISO 15489-1 requires for records storage to be stored in a media that will ensure that their authenticity, reliability, usability for as long as required. To speed up decision making storage is necessary because without it records retrieval would take long. Inadequate records storage equipment could increase the deterioration of records and thus affect their access and use (Kemoni, 2007 : ).

vii. Records security and disaster management - ISO 15489-1 requires an organization to have guidelines as to who is permitted access to records, and on what circumstances access is permitted. Furthermore, e-records management system in place should also control access to guard their integrity and authenticity. A study by Kootshabe (2011) found out that records security in many government ministries had challenges such as unauthorized access into records storage areas as messengers and cleaners often had accesses.

viii. Records retention and records disposal – this involves the destruction or otherwise transfer of records from a registry to a records center or archive depending on the guidelines provided by a retention schedule and applicable legislations. According to Kennedy and Schauder (1998:8) a records disposal is a process closely connected to the implementation of records appraisal decisions. It entails the deletion, or destruction of records from a records management system. Records disposal may also include the migration of records from one records management system to another or transfer of custody of ownership of records. An effective records management system should be able to capable of assisting in making and
implementing decision on records retention and disposal. This system should also provide an audit trails in order to track the complete disposition of records (ISO 15489-1 2001).

To effectively implement a records management programme, JISC (2004: 2) provides for the following

i. The first step is to ensure that this is recognized by senior management and that an appropriate member of senior management staff has been assigned overall ownership of the programme.

ii. A Records Management Policy should be developed which acknowledges the above, sets the context for the planned programme and demonstrates full senior management support for it.

iii. An audit/survey of existing record creating and keeping practices and systems and the information they contain should be undertaken.

iv. Ensure that the appropriate resources, human and financial, are dedicated to implement the programme throughout the institution.

v. Ensure that all relevant staff are made aware of the programme’s objectives and the role they must play in helping to achieve them, and are given sufficient training to enable them to fulfil this.

JISC (2004:2) goes on to give reasons for a records management programme to include:-

i. Legal Compliance - All organizations are subject to a wide range of legislation which may require them to produce relevant information to protect their interests when challenged as part of a legal discovery process.

ii. Digital Asset Management - Much of the knowledge base and intellectual assets of an institution and its staff are now held in digital form and will have long-term value for teaching and research. The management of digital materials is therefore a necessary element of any modern Records Management Programme.

iii. Business Benefits - The considerable business benefits of introducing an institutional Records Management Programme should not be overlooked. These include the streamlining of business processes, a reduction in both the staff time
and physical space needed for managing and exploiting records and the foundation of an information-rich organization able to maximize and exploit the knowledge it contains.

2.8 Records Management Policy

A records management policy refers to an official document that guides on records management functions in an organization. Kennedy and Schauder (1998) in Mampe and Kalusopa (2012:18-19) say that a records management policy is the official charter for performing all records management functions. They further point out that a records management policy should be clear and should outline records management functions in relation to the organization’s records keeping requirements.

Mampe and Kalusopa (2012:19) acknowledge that in order for a records management programme to succeed there should be some level of awareness of the procedure, policies and standards governing the management of records. This is also expressed by Iron Mountain (2010) in saying that policies and procedures set standards and serve as evidence of management’s support of and investment in a compliant records management program. They should address ALL records regardless of media type, making sure to include positions on electronic records and e-mail practices. Records management program guidelines must be consistently and universally applied.

As a standard for best practices in records management ISO 15489-1 (2001 Section 6) specifies that organizations should establish document, maintain and promulgate policies, procedures to guarantee that its business need for evidence and accountability and information about activities is met. The ISO 154889-1 (2001 Section 5) stipulates that a records management policy and procedures of an organization should demonstrate the application of the regulatory environment to their business processes.

According to Kanzi (2010 :52-53) the long-term objective of the policy is to ensure that government bodies capture, maintain and protect a corporate memory of decisions and actions that impact on the lives of the people and the environment they govern. The Records Management Policy should be reflective of these elements: responsible official, indexing/allocating reference numbers, disposal of records, custody, security,
legality, evaluation and conclusion. The Records Manager must ensure that the policy is implemented in such a way that everyone in the organization is familiar with it and it should be reviewed at regular intervals. The procedure manual is a simplified and more detailed document that guides officials (Kanzi, 2010: 53).

Records management programme’s effectiveness in KETRACO and any organization is highly dependent upon a policy that is wholly implemented, capturing all aspects and functions of the organization, and at the same time it sets up a foundation and acts as a guide for the effective management of records in the organization.

2.9 Standards and legislations that guide on records management

The Kenya National Archives and Documentation Services (KNADS) established through the Public Archives and Documentation Act, Cap 19 of 1965 bears the responsibilities of preservation, custody, control and disposal of public records in Kenya. An effective records management programme for any public office must therefore adhere to the guiding legislations of that nation. In Mampe and Kalusopa (2012: 4-7) Kennedy and Schauder (1998) also affirm that government entities and their employees have to be aware of their legal and regulatory obligations in order to be able to present sufficient proof of their fulfilment of the regulatory requirements in the record of their activities. This is because some legislation specifies the requirements for the creation and preservation of certain records. Other legislation stipulates how long a record should be preserved while others provide information on how to govern the formats in which records may be stored if they are to remain authentic and accessible overtime (Luyombya 2007:109). There are various legislations and standards for record management in Kenya, among them:

2.9.1 ISO 15489: 2001: Information and Documentation – Records Management

The standard covers records management in all organizations, large or small, public or private. It applies to records in any format and on any media. The standard provides guidance on the responsibility of organizations for records and records policies, procedures, systems and processes and it supports quality management for certification under the ISO 9000 quality management (ISO 9001:2000, 2000) and ISO 14000...
environmental standards (ISO 14001:1996, 1996). The standard provides guidance on the
design and implementation of records management system, but it does not cover the
management of archival records in archival institutions. Last but not least, the standard is
a benchmark on best practices which all those involved with records should adopt,
managers of organizations, records managers and all those who create and keep records.

2.9.2 The Public Archives and Documentation Service Act, Cap 19, 1962 (Rev 2012)
- The Laws of Kenya

This is an Act of Parliament to establish the Kenya National Archives and
Documentation Service (KNADS) and to provide for the preservation of public archives
and public records and for connected purposes. Among other things, the Act defines the
role of the Director in the management of public records and archives and vests the
authority for their disposal in him/her. It makes it a requirement for heads of public
institutions to furnish the Director with copies of published and generally circulated
documents created within their domain. Section 5A of Cap 19 states that every Permanent
Secretary or head of government department or chief executive of a state corporation or
local authority shall supply to the Director two copies of any published or generally
circulated documents or report produced by that office whether in hard copy or
microfilm; and the creating office may prescribe the period for which the document shall
remain restricted from circulation to other public offices or members of the public.
Section 8 of the Public Archives and Documentation Service Act, Cap 19, makes it an
offence to destroy public records without the Director’s authority.

2.9.3 The Records Disposal Act, Cap 14, 1962 (Rev 2009) - The Laws of Kenya

This Act facilitates the management and disposal of court records. The Act mandates the
Chief Justice and the Attorney General, in consultation with the Director of the Kenya
National Archives and Documentation Service to make rules for the disposal of court
records. The Statute provides for the disposal of records in the custody of the High Court
and the Registrar-General. It establishes the authorities and procedures for disposing of
the records covered in the Act. It further defines the offices under the office of the
Attorney-General, and provides a records retention schedule of the records covered in the
Act as well as the procedures for their disposal.
2.9.4 Public Procurement and Disposal Act, Cap 412C, 2005 – The Laws of Kenya

The new Public Procurement and Disposal Act and the Subsidiary Regulations require procuring entities to manage procurement records properly and effectively. Records must be recognized as a key resource for good management. Sound records management is a vital aspect of ensuring transparency and accountability in the public procurement process. Improvement of procurement record keeping practices will ensure the conduct of procurement transactions in an orderly, efficient and accountable manner. The Authority is mandated to issue circulars and guidelines on the content of procurement documentation, and Regulation 34 (2) which states that the Authority may issue guidelines relating to the use, records management, filing and storage of procurement documentation. It is also in line with section 49 (1) of the Act which empowers the Director General of the Public Procurement Oversight Authority - PPOA to inspect the records and accounts of a Procuring Entity.

2.9.5 Government Financial Regulations and Procedures, Chapter 23, section 4:2-5

Chapter 23 of the Government Financial Regulations and Procedures, section 4:2-5 were issued to provide guidance on the management and disposal of accounts documents. The relevant section of the chapter states that an Accounting Officer may give permission for the destruction of accounting books and documents, provided such records have been audited and are of no archival value. Accounting documents with outstanding audit queries should not be destroyed. The Director of Kenya National Archives may be requested to examine the records before their destruction. The chapter gives guidelines for the retention period of various accounts documents.

2.9.6 Ministry of State for Public Service (DPM) circular on personnel records - ref. No. DPM.12/6AVol. I (71) of 12th March 2008

The personnel general letter number 1/2008 of 12th March 2008 provides guidelines on retention of various categories of personnel records in the public service. The prescribed retention periods should also be applicable for personal files for officers in equivalent job groups in the local authorities, the judiciary and state corporations. The circular further advises that that any intended destruction must be communicated to the Director of KNADS for guidance.
2.10 Records Management and Information and Communication Technology (ICT)

According EPZA (2005) Information and Communication Technology (ICT) may be defined as computer hardware and software and telecommunications technology. According to Tale and Alefaio (2005) cited by Mampe and Kalusopa (2012: 4-7), many countries in the developing world have come to realize the importance of ICT to economic and social development particularly where tradition systems have tended to hamper public service delivery. They are of the view that the adoption of ICTs present numerous opportunities in records management such as; records retrieval and compact storage through electronic and digital storage devices that offer an alternative to the bulky paper records that require a considerable amount of space for storage. Kalusopa (2011) puts it that it is the user in acceptance and use of ICTs that defines its success or failure and that the integration of ICTs in records management functionalities is critical for effective e-records readiness in organizations. Electronic records thus depend on ICTs. They are created and managed by computer hardware and software. Therefore, electronic records require mediation in order to be accessed (IRMT 2009).

To improve on the problems experienced in records management Ngoako (2011) suggests that a full implementation of information and communication technology (ICT) can be a major solution. This can ensure that evidence of official human activities and business transactions is safely preserved, safeguarded and timeously accessible.

As a result of the current developments in technology and the changes being experienced, ICT have become a necessary tool to interact with users and creators of electronic records. ICTs will facilitate easy and fast access to information.

2.10.1 Electronic Records Management

Organizations are fast moving toward electronic records management due to the advancements in technology and the changing times. Electronic records management, while involving special considerations, requires the planning, budgeting, organizing, directing, training, and controlling activities associated with managing the record in its entirety (California Records & Information Management, 2002). It is worth noting that
electronic records management is subject to all legal and policy requirements of other records.

Minnesota State Archives (2012) states that a government agency’s electronic records management strategy must conform to legal mandates, as well as reflect preferred management practices and technological options. The policy should thus integrate the legal framework as it applies to the agency, all interested stakeholders (e.g., record creators, the public, information technology staff, records management staff), all relevant aspects of electronic records, preferred management procedures and technologies and long-term storage and access needs (both legal and operational).

Electronic Document and Records Management Systems (EDRMS) have been applied for the management of electronic records. Their efficiency is dependent on the needs and kinds of records that are generated by an organization as well an organization’s mandate.

Establishing the role of individuals in electronic records management and understanding e-records and addressing some of the challenges facing organizations in their management is the key factor.

2.11 Problems experienced in records management

Erina and Wamukoya (2012 :24-38) conducted a study on aligning records management and risk management with business processes at Moi University in Kenya in which the respondents were asked what records management problems they faced at the institution and how they overcame these challenges. Lack of records management guidelines was highly cited as the cause of records management problems in the institution. The study specifically, established that the institution lacked a records management programme resulting in lack of uniformity in records management practices. This is the same problem that has been identified at KETRACO, and it is believed that at the end of the study, practical ways of implementing a functional records management programme will be recommended.
They went on to reveal that capacity building for records management was not prioritized. This was confirmed by the study’s respondents’ sentiments that there were few trained records management professionals. In addition, most of the records professionals employed were lowly placed in comparison to their qualifications while others were deployed to perform non-records management duties. These contributed to the problem of lack of professionalism in records management activities which impacted negatively upon other business processes. Inadequacies of current manual records management system, along with the slow pace at which computerization of the records system is moving is also a major problem that records professionals grapple with. Strained RM budgets also features as a major hindrance to the success of records management.

Ngoepe (2008: 48-49) states that there are many risks associated with poor records management. How well an organization’s records are managed will impact on certain business and legal risks including:

- Loss of revenue, assets, etc. (financial risk)
- Loss of legal rights and failure to comply with legislation (legal risk)
- Exposure to penalties in litigations and investigations
- Violations of the law (compliance risks)
- Staff time is wasted searching for lost or mislaid documents (knowledge management risk)

All of the above risks can negatively affect the reputation of an organisation (Egbuji 1999:100). All of these risks lead to increased cost, delays and anxiety among staff. They may lead to loss of stakeholder goodwill, litigation, loss of information or process quality, etc.

2.12 Research gaps

Studies have been conducted in records management, capturing almost all aspects of it. It is unfortunate that not a single known study wholly focuses on security and confidentiality of records in organizations. It is apparent that records in their capture of institutional memory should be accessed by those authorized only and who must ensure
that the confidentiality required is upheld. Another issue is classifying of records management practice within organizations. Many have considered records management as a human resource and administration function, but unfortunately it has not been clearly asserted that records as a practice in an organization should be structured as an independent section that serves the entire organization and not seen as a function of a department, this should be backed with proper budgetary allocation and qualified personnel.

2.13 Conceptual framework

Various studies have been conducted in the field of records management, but no known studies comprehensively capture the aspect of a records management programme. This study considered the records management programme as the dependent variable that is highly influenced by a number of records activities ranging from creation/receipt herein referred to as mail management which is usually the point of commencement of the records management programme at KETRACO; these mails can either be internally generated or received from external source. This usually is the genesis of any other subsequent records that may be generated by the company. The records once captured, are identified through appropriate classification and organized in files for action.

Storage of records involved placing the files in the designated slots in the filing cabinets; this consequently ensures ease of access by making retrieval a simple exercise.

Beyond this, the study was based on the premise that records cannot be held in the office forever, retention scheduling helps in coming up with realistic periods for which records should be held. Appraisal on the other hand determines the value of records while at the same time advising of what action should be taken regarding the records appraised.

Once a proper appraisal exercise has been conducted, then transfer of records should immediately begin, to ensure that only records that are necessary for the day-to-day activities of the organization are retained in the otherwise expensive office space. Figure 1 presents a summary of the records management programme as envisioned for KETRACO.
Figure 2.1: Conceptual framework for a records management programme

i. The current records management situation

Mail Management
Receipt of mail at the Managing Director and Heads of Division

Records Management

Distribution of mail to Action Officer and filing

Source: (Researcher, 2014)
Figure 2.2: Expected records management programme.

**Independent variables**
- Records management policy
- Mail management / classification
  - Capture, identification, and organization
- Storage, retrieval and access of records
- Retention scheduling/appraisal of records
- Transfer appropriately or retain

**Dependent variables**
- Records Management Programme

**Intervening variables**
- Staff attitude
- Organizational culture
- Funds

**Outcome**
- An effective Records Management

Source: (Researcher, 2014)
2.14 Summary

Chapter two provides an overview of the records management practice from the perspective of other researchers. Founded upon the records lifecycle and the records continuum, the chapter looks at the various stages and activities of a records management programme. Ranging from mail management to disposal of records, the study also identifies the challenges faced in the management of records. The researcher discussed the various perspectives as presented with a leaning on the guides and legislative provision that governs records management in Kenya. ICT was identified as a tool for enhancing the practice through records retrieval and compact storage through electronic and digital storage. The study further identified security and confidentiality of records coupled with their classification as areas that have not be adequately covered.
CHAPTER THREE
METHODOLOGY

3.1 Introduction

This chapter briefly describes the procedures that were undertaken in accomplishing the study. The chapter highlights the research design, area of study, population, sampling procedure, data collection methods and instruments, data presentation and analysis.

3.2 Research design

Research design is a strategy, the plan and structure of conducting the research project. Coolican (2004:19) says that research design refers to the steps that researchers follow to complete their study from the start to the end. They are plans and the procedures for research that span the decisions from broad assumptions to detailed methods of data collection and analysis (Creswell 2009:3). They include the outline of what the researcher will do, from writing the statement of research problem or hypothesis and its operational implications, to the final analysis of data (Creswell and Plano Clark 2007:58). Research design involves multiple decisions about the way in which the data will be collected and analyzed to ensure that the final report answers the research question. It is a logical manner in which individuals or other units are compared and analyzed. Beri (2000) says that the research design must answer the research question. De Vaus (2001:9) adds that a research design is more than a work plan in the sense that the work plan will flow from the project’s research design. He further asserts that the function of a research design is to ensure that evidence obtained enables the researcher to answer the research question.

The study adopted a mixed methods approach by using both qualitative and quantitative research designs. A quantitative approach is one in which the investigator primarily employs strategies of inquiry such as experiments and surveys and collects data on predetermined instruments to yield statistical data (Creswell, 2007:36). Quantitative methods on the other hand measure a phenomenon using numbers in conjunction with statistical procedures, to process data and summarize results (Teddlie and Tashakkori 2009:5).
Silverman (2010:13) notes that quantitative research approach obtains data which is statistically relevant and are usually used to answer questions such as how many, where from and how much amongst other questions. In contrast, the qualitative research approach mainly gives answers to the questions of why and involves collecting data by observing what people say and do. Unlike the quantitative research approach, qualitative methods yield non-numerical data that provides depth and detail through description of situations and observed behaviours in order to generate patterns, themes and ideas (Punch 1998:234). The qualitative research in this study will be used to brainstorm and test new ideas.

Bryman (2006:105) adds a number of reasons for combining quantitative and qualitative methods, which include triangulation or greater validity, offset, completeness, to answer different research questions, one method is used to explain the findings of the other, unexpected results, instrument development, one method is used to facilitate the sampling of respondents or cases, credibility, context, illustration, utility or improving usefulness of findings, confirm or discover, diversity of views, and enhancement or building upon quantitative/qualitative findings.

The quantitative method is not sufficient in description, thus lacking in interpretation and therefore the need to combine it with the qualitative method. The mixed method was also preferred as a way of corroborating results from both approaches.

To ensure greater reliability of the data collection, the researcher adopted a case study research method involving the Kenya Electricity Transmission Company Limited (KETRACO). According to Gerring (2004) a case study can best be defined as an intensive study of a single unit with an aim to generalize across a larger set of units. Case studies emphasize detailed contextual analysis of a limited number of events or conditions and their relationships. This allows for a concentrated focus on a single phenomenon, which is the implementation of a records management programme. Stake (1995) further emphasizes that case studies are a strategy of inquiry in which the researcher explores in depth a program, event, activity, process, or one or more
individuals. Cases are bounded by time and activity, and researchers collect detailed information using a variety of data collection procedures over a sustained period of time.

This case study (KETRACO) enabled the selection of random samples from small populations to obtain empirical knowledge of a contemporary nature. This allowed the researcher to come up with knowledge that facilitates generalizations to be made about characteristics, opinions, beliefs and attributes of the entire population being studied.

Through a research design, a researcher conceptualizes an operational plan to undertake the various procedures and tasks required to complete the study, and ensure that these procedures are adequate to obtain valid, objective and accurate answers to the research questions (Kumar 2005:84).

3.3 Area of study

The study was conducted at the Kenya Electricity Transmission Company Limited located in Upper Hill area of Nairobi where the main activity is the transmission of high voltage electricity, as it seeks to connect the entire country to the national grid. This case study has been selected owing to the fact that it is a newly established state agency with only five years of existence since December, 2008, giving it an opportunity of making correction in its records management programme in case of any visible faults.

3.4 Population of the study

Population of a study refers to a set of objects and events or group of people which is the object of research and about which the researcher wants to determine the characteristics. The population or units of analysis may be characterized in terms of individuals, groups, organizations and social artifacts or any element that is of interest to the researcher (Majumdar 2008:243). Busha (1980) adds that, population is any set of persons or objects that possess at least one common characteristic.

The study focused on the records staff and other records champions in KETRACO. These are composed of both trained records personnel and untrained staff that have learnt the art
of records management through apprenticeship and short courses. The population of KETRACO currently stands at 250 and steadily growing, spread over six divisions. Each of the divisions has a designate records champion who facilitates the records activities at the divisional level.

### 3.5 Sampling and sampling techniques

A sample is one of a number of things or one part of a whole, which can be examined to see what people like or think. Ngoako (2011) states that the sample size entails the number of participants chosen from the whole population. It is the selection of research participants from an entire population, and involves decision about which people, setting, events, behaviour, and/or social process to observe (Terre Blanche, Durrheim and Painter 2006:49).

From a total population of 250 employees, 50 were chosen for the research project at a confidence level of 95% and a confidence interval of 12.4, according to Marcorr Research solution sample size calculator as at June 2014. Another 10 respondents were purposefully picked to give a detailed explanation and a follow-up to the closed-ended questionnaires.

The study adopted stratified random sampling and purposive sampling techniques. According to Kothari (2013:159), in stratified sampling, you first divide the population into subpopulations (strata) on the basis of supplementary information, then draw samples randomly within each strata. So as to achieve a representation from every department, the researcher used stratified sampling technique based on the departments, so that 8 respondents were picked from every department, with only 2 from the managing director’s office, because they were the only ones involved in the handling of records, this was based on Ngoako (2011) who says that, while ensuring that the grouping or separating participants into non-overlapping groups. The population was stratified as follows, Legal, Planning and Construction/Technical, ICT, Finance, Commercial Service and Human Resources and Administration departments as well as the Managing Director’s office. This method guarantees representativeness as stated by Kothari
(2013:159) and also fixes the proportion of different strata within a sample. In a nutshell, stratified sampling produces samples that are more representative than random sampling.

**Table 3.1: Strata and sample size for staff**

<table>
<thead>
<tr>
<th>Department/section</th>
<th>No. of staff</th>
</tr>
</thead>
<tbody>
<tr>
<td>MD</td>
<td>2</td>
</tr>
<tr>
<td>Legal</td>
<td>8</td>
</tr>
<tr>
<td>Commercial Services</td>
<td>8</td>
</tr>
<tr>
<td>Planning and Construction/Technical</td>
<td>8</td>
</tr>
<tr>
<td>Finance</td>
<td>8</td>
</tr>
<tr>
<td>ICT</td>
<td>8</td>
</tr>
<tr>
<td>Human Resource and Administration</td>
<td>8</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td><strong>50</strong></td>
</tr>
</tbody>
</table>

*Source: (Researcher, 2014)*

Purposeful sampling is applied mostly in qualitative research and is also known as purposive or judgement sampling (Patton, 2002: 230). In purposive sampling, you decide the purpose you want respondents to serve and you go out to find some. Hoyle et al., (2002) further states that purposive sampling relies on the researcher’s use of good judgement to hand pick those subjects that will satisfy the needs of the research. Purposive sampling was therefore used to select 10 records champions from the population as stated by Marshall and Rossman (1999) in saying that valuable information is gained from people selected on the basis of the positions they hold in administrative realms of their institutions. The need for qualitative in-depth data collection in this study demanded that respondents be purposively sampled. This sampling involved selecting those respondents who are knowledgeable in records management.

**3.6 Data collection methods**

According to Ngoako (2011) the data collection method is all about the procedures, techniques and tools used when collecting data from the sampled participants.
Data was collected using a combination of data gathering methods. These included: pre-designed questionnaires, interviews and literature surveys, which involve reading books, journals and publications with relevant literature as well as surfing the Internet.

### 3.6.1 Questionnaires

A questionnaire is a document containing questions and other types of items designed to solicit information appropriate for analysis, and is completed personally by the respondent (Babbie 2004:253). Mavodza (2010:110) adds that Questionnaire is a statistical study of a sample population by asking questions about age, income, opinions, and other aspects of people's lives, a questionnaire is a set of questions used to gather information in a survey. Frankfort-Nachmias and Nachmias (1996:250) further state that the questions must motivate the respondents to provide the information being sought.

The study developed and also adopted questions from other similar studies for comprehensiveness. As stated by Czaja and Blair (2005:20) when putting together initial drafts of our questionnaire, borrowing questions from other research studies is acceptable, even encouraged. While reviewing past studies with the same or similar research problems, it is accepted to take notes on how the researchers defined their concepts and the questions they used to measure those concepts. If one is in agreement with what they did, then they are free to use the same wording, unless they copyrighted the questions or scales. If you agree with parts of what they did, use the parts you agree with and then add your own ideas and wording. Using someone else's questions has another advantage: by asking the same questions, we can compare the results in their survey area with the results of the previous research.

According to Garaba (2010:162) questionnaires exist in different formats. They can either be self-administered, online, postal or mail-based, interviewer-administered, telephonic or interview schedules (Czaja and Blair 2005:36). The most popularly used are self-administered and researcher-administered questionnaires. Self-administered questionnaires include online questionnaires, postal questionnaires and delivery and collection questionnaires. Researcher administered questionnaires consist of personal, telephonic interviews and structured interviews.
Researcher administered questionnaires with a set of 29 questions were given to the 50 staff selected as respondents to the study. The researcher was present to interpret the questions to the respondents and left with the questionnaire immediately they were completed. These questionnaires were a good way of achieving a 100% response rate.

Ndenje’i Sichalwe (2010:151) states that questionnaires are well documented in literature which is also supported by various authors (Babbie and Mouton 2001:262; Cohen, Manion and Morrison 2000:129; Frankfort-Nachmias and Nachmias 1996:226; Kumar 2005:130; Leedy and Ormrod 2005:185; Mugenda and Mugenda 2003:72-73; Sarantakos 1998:159).

In comparison to other data collection tools, questionnaires are relatively inexpensive and allow a large number of respondents to be surveyed in a relatively short period of time even if the respondents are widely distributed geographically (Cohen, Manion and Morrison 2000:129; Kumar 2005:130; Powell and Connaway 2004:125; Walliman 2006:88).

Questionnaires provide a high degree of anonymity for respondents (Frankort- Nachmias and Nachmias 1996:226; Kumar 2005:130; Powell and Connaway 2004:125).

Respondents can give answers to questions with assurance that they will be anonymous, and thus they may be truthful than they would in an interview, particularly on sensitive or controversial issues (Leedy and Omrod 2005:185; Powell and Connaway 2004:125).

Questionnaires also gives privacy in responding as well as time to look up information in cases where they are not sure of the answers (Frankort-Nachmias and Nachmias 1996:226; Sarantakos 1998:224).

Kumar (2005:130) however states that the main disadvantage of the questionnaire is that its application is limited to a study population that can read and write. It cannot be used
on a population that is illiterate, very young, very old or handicapped (Kumar 2005:130; Powell and Connaway 2004:126).

### 3.6.2 Interviews

Closely allied to the questionnaire is the structured interview schedule and interviews are one method by which phenomenon can be studied (Ngulube, 2003:222). In Garaba (2010:167) Seale (1998:202) observed that: The interview is probably the most commonly used method in social research. It is more economical than observational methods since the interviewee can report on a wide range of situations that s/he has observed so acting as the eyes and ears of the researcher. The researcher can also use an interview to find out about things that cannot be seen or heard, such as the interviewee’s inner state — the reasoning behind their actions and their feelings.

Payne and Payne (2004:129) defined the interview as data collection in face-to-face settings, using an oral question-and-answer format which either employs the same questions in a systematic and structured way for all respondents, or allows respondents to talk about issues in less a directed but discursive manner.

In-depth interviews with 10 key informants, purposively selected were conducted for purposes of gaining qualitative information for the study. The interviews were necessary in reviewing the statements made on the specific topics and determine if there is a consensus or disagreement on responses from the questionnaires. The findings from interviews were presented in various topics.

### 3.6.3 Literature surveys

A wide range of literature related to the research topic were consulted; these resources included books, journals and publications with the relevant literature as well as through surfing the Internet. This method of data collection was preferred because it gave the researcher an insight into what other researchers have written about implementation of a records management programme. Through this method, the researcher was able to relate the findings of the study to those of other researches which allowed for confirmation in case of any similarities and explanation of disparities.
3.6.4 Reliability and validity

A research project’s credibility is dependent upon the accuracy of the data collection procedures. It is important therefore that the instruments used to gather data must answer the research questions (Tashakkori & Teddie 2009:209).

Whether a study employed quantitative, qualitative or mixed model approach, reliability and validity have been confirmed to be the major technical considerations (Babbie & Mouton 2001:119). Cheterera (2013) states that the concept of validity and reliability requires that researchers produce results that are consistent and reliable.

To achieve reliability, an adequate, broad and representative population of 20% was used, these informed the study on areas of records management in KETRACO; another group was purposefully interviewed to confirm the findings. Data was collected over a period of two months, thus eliminating any aspects of time constraint. Researcher administered questionnaires and interviews were used to avoid any misunderstanding thus clarifying the questions and therefore yielding consistent and reliable results, this also ensured that there was a maximum response rate. Overall, this was achieved through the pretesting of the questions among ten records management professionals in other Government of Kenya agencies.

The study also made every effort to achieve validity by ensuring that the research tools were sufficient in scope and coverage. The study also ensured that the instruments were measured alongside other instruments used in similar studies, besides involving experts in the field to give an input as a way of reducing errors and oversights. The study promoters also looked at the instruments before the researcher went to the field to collect data. The questions addressed the objectives of the study, guided by the records management lifecycle to ensure that they covered all the different stages of records activities, ranging from active to inactive records.
3.7 Ethical considerations

Individual consent was the basis for one to participate in this study. No respondent was coerced into giving information h/she felt was not worth revealing in terms of security or personal reasons. Information was treated with confidentiality in case there was need for that. Data collected has been used for this research alone and would therefore not be revealed to any other party with need to carry out a similar study. Creswell (2009:87) says that it is important for researchers to protect their participants, develop a trust with them and promote the integrity of research, guard against misconduct and impropriety that might reflect on their organizations.

For mutual trust, a letter of introduction to carry out the research was obtained from the Department of Library and Information Science, University of Nairobi and was presented to the Managing Director of KETRACO for purpose of clearance and identification of the researcher and the study being carried out.

3.8 Data analysis and presentation

This involved the preparation of data collected into useful, clear and understandable information. Data analysis and processing involved coding, editing and tabulating as well as grouping into thematic areas and content analysis. The data collected from the field was analyzed and processed into meaningful and relevant information. It was coded, edited and tabulated. It was accorded percentages to facilitate analysis as well as grouping into thematic areas. Statistical Package for Social Science (SPSS) version 16 was used to analyze the primary quantitative data that was collected. Thematic and content analysis technique were used to process secondary and qualitative data for the study. Qualitative data was analyzed by comparisons to findings already known and conclusions made depending on how the findings related to the research questions. Data was then presented in headings and raw data was then converted into totals. To better the understanding of the findings, the data is presented into percentages, pie charts and tables with an analysis as discussed in chapter four.
3.9 Summary

Chapter four presents how the research project was planned, implemented and was to be completed. The chapter focused on research design, study population, data collection instruments, validity and reliability of the research instruments. The chapter looked at how data collected would be processed and analyzed while employing the necessary ethical considerations. A mixed study was emphasized as a way of complementing the research designs adopted. Sampling was both through stratification of the area of study in terms of functions and purposeful. Questionnaires and interviews were discussed as the most appropriate tools for collecting data to achieve the objectives of the study while verbatim reactions, tables, graphs and pie charts were selected for presentation of the findings after an analysis using SPSS version 16 and content analysis.
CHAPTER FOUR
DATA ANALYSIS, PRESENTATION AND INTERPRETATION

4.1 Introduction

This chapter presents a detailed analysis and interpretation of data that was collected from the respondents. The data was collected from selected employees of Kenya Electricity Transmission Company Limited (KETRACO). The researcher collected data by the use of questionnaires, interviews and reviewing of literature. The study interviewed 10 respondents while another 50 filled the questionnaires and as stated by Nachmias and Nachmias (1996:226) the response rate is the percentage of respondents in the sample who filled and returned questionnaires, and thus all the 50 questionnaires issued were returned, accounting for a 100% response rate. This demonstrates that the respondents were very cooperative to the researcher which further added to the research's success. This chapter has been divided into subheadings that reflect the objectives of the study.

4.2 Demographic information of respondents

The demographic information of the respondents covered in this study were: gender, areas and level of education and years of experience. It is necessary to note that the respondents had been selected as records champions of the various departments that they belonged to.

4.2.1 Gender

Gender distribution in the current set-up is very important, as a means of an all-inclusive organization. From the questionnaires distributed, the study found out that 46% of the respondents were male while 54% of them were female. Table 4.1 gives the frequency of the gender of the respondents.
Table 4.1: Gender

<table>
<thead>
<tr>
<th>Gender</th>
<th>Frequency</th>
<th>Percent</th>
<th>Valid Percent</th>
<th>Cumulative Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Male</td>
<td>23</td>
<td>46.0</td>
<td>46.0</td>
<td>46.0</td>
</tr>
<tr>
<td>Female</td>
<td>27</td>
<td>54.0</td>
<td>54.0</td>
<td>100.0</td>
</tr>
<tr>
<td>Total</td>
<td>50</td>
<td>100.0</td>
<td>100.0</td>
<td></td>
</tr>
</tbody>
</table>

Source: (Researcher, 2014)

4.2.2 Level of education

The level of education in this study is measured against a backdrop of the underlying problem in relations to records management. The findings indicated that 2% of the respondents were certificate holders, 22% Diploma holders, 60% Undergraduates and 16% Postgraduate degree holders. From this statistics, it is clear that implementation of a records management programme and consequent training is likely to be beneficial to the members of staff because a high level of understanding is envisioned, with a high possibility of sustenance. It is however not right to assume that the programme’s success is dependent upon the level of education, but a bigger percentage of it can be attributed to the same. Figure 4.1 gives a breakdown of the levels of education of the employees at KETRACO.

Figure 4.1: Level of Education

Source: (Researcher, 2014)
4.2.3 Area of education

Regarding the areas of education of the respondents, 4 % (2) studied records management, 16 % (8) studied the wider information sciences, 42 % (21) Business Administration, 18 % (9) Engineering and 20 % (10) the arts. It is important to note that those that studied information science were mainly employees in the Information Technology Division and not necessarily library or registry staff. Figure 4.2 depicts the areas of education.

Figure 4.2: Area of education

<table>
<thead>
<tr>
<th>Area of education</th>
<th>Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Records Management</td>
<td>1</td>
</tr>
<tr>
<td>Information Science</td>
<td>10</td>
</tr>
<tr>
<td>Business Administration</td>
<td>21</td>
</tr>
<tr>
<td>Engineering</td>
<td>8</td>
</tr>
<tr>
<td>Arts</td>
<td>10</td>
</tr>
</tbody>
</table>

Source: (Researcher, 2014)

The study further sought to relate the area of education to the level of education through a cross tabulation of data and the findings as shown on table 4.2, it was indicated that records management had been studied up to a diploma level by 2 (4%) respondents, while information science had been studied at diploma level by 1 (2%) respondent and at undergraduate degree, by 5 (10%) respondents, and another 2 (4%) who had studied it at postgraduate level. In business administration 1 (2%) respondent had a certificate, 4 (8%) had diplomas, 13 (26%) had undergraduate degrees and 3 (6%) had postgraduate degrees. As for engineering, 4 (8%) of the respondents were diploma holders, 2 (4%) had undergraduate degree and 3 (6%) were postgraduate degree holders. The arts were represented by 10 (20%) undergraduate degree holders.
Table 4.2: A cross tabulation of the areas of study and levels of education

<table>
<thead>
<tr>
<th>Highest level of education</th>
<th>Records Management</th>
<th>Information Science</th>
<th>Business Administration</th>
<th>Engineering</th>
<th>Arts</th>
</tr>
</thead>
<tbody>
<tr>
<td>Certificate</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Diploma</td>
<td>2</td>
<td>1</td>
<td>4</td>
<td>4</td>
<td>0</td>
</tr>
<tr>
<td>Undergraduate</td>
<td>0</td>
<td>5</td>
<td>13</td>
<td>2</td>
<td>10</td>
</tr>
<tr>
<td>Postgraduate</td>
<td>0</td>
<td>2</td>
<td>3</td>
<td>3</td>
<td>0</td>
</tr>
</tbody>
</table>

Source: (Researcher, 2014)

Despite the fact that the respondents seemed to have been champions of records management in the organization, only 4% (2) had relevant training in the area of records management, which in relation to the establishment of the organization is a small number.

4.2.4 Years of experience

Respondents were asked how long they had worked in their fields of specialty as presented on table 4.3, to which 40% of the respondents had 0-5 years of experience, 42% had 6-10 years, 12% had 11-15 years, 4% had 16-20 years and 2% had 21 years and more of experience. The main reason for this question, was to assess the amount of time that they had interacted with records; this would enable an understanding of the levels of importance and priority given to records as a source of evidence and transaction by the organization.

Table 4.3: Years of experience

<table>
<thead>
<tr>
<th>Years of experience</th>
<th>Frequency</th>
<th>Percent</th>
<th>Valid Percent</th>
<th>Cumulative Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>0-5 Years</td>
<td>20</td>
<td>40.0</td>
<td>40.0</td>
<td>40.0</td>
</tr>
<tr>
<td>6-10 Years</td>
<td>21</td>
<td>42.0</td>
<td>42.0</td>
<td>82.0</td>
</tr>
<tr>
<td>11-15 Years</td>
<td>6</td>
<td>12.0</td>
<td>12.0</td>
<td>94.0</td>
</tr>
<tr>
<td>16-20 Years</td>
<td>2</td>
<td>4.0</td>
<td>4.0</td>
<td>98.0</td>
</tr>
<tr>
<td>21 and more</td>
<td>1</td>
<td>2.0</td>
<td>2.0</td>
<td>100.0</td>
</tr>
<tr>
<td>Total</td>
<td>50</td>
<td>100.0</td>
<td>100.0</td>
<td></td>
</tr>
</tbody>
</table>

Source: (Researcher, 2014)
4.3 Records Management

The understanding of the term records, is usually the starting point of gauging the level of records management practice. The study posed a question on the definition of the term records, which was defined as information generated in the course of a business or a transaction by 90% (45) of the respondents and another 10% (5) defined it as any published information. The study therefore concluded that there was a general understanding of the term records by the participants as shown on table 4.4 and as defined by the International Standards Organization on Records Management (ISO 15489-1 2001) which defines records as information created, received, and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business (ISO 2001:3).

Table 4.4: Knowledge of Records

<table>
<thead>
<tr>
<th>Definition of records</th>
<th>Frequency</th>
<th>Percent</th>
<th>Valid Percent</th>
<th>Cumulative Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Information generated in the course of</td>
<td>45</td>
<td>90.0</td>
<td>90.0</td>
<td>90.0</td>
</tr>
<tr>
<td>business/transaction</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Any published information</td>
<td>5</td>
<td>10.0</td>
<td>10.0</td>
<td>100.0</td>
</tr>
<tr>
<td>Total</td>
<td>50</td>
<td>100.0</td>
<td>100.0</td>
<td></td>
</tr>
</tbody>
</table>

Source: (Researcher, 2014)

4.3.1 Availability of registry

There was a general consensus on the availability of a registry at KETRACO by 88% of the respondents and 12% indicating not. However all respondents indicated that the registry system is a decentralized one. The decentralized registry is departmental, with all the divisions managing their records as indicated by the respondents. The 12% who indicated that there was no registry seemed to only have an understanding of a registry as a centralized unit, thus negating the availability. This however does not mean that the records management practice is up to standard. The study also established that the records are mainly managed by secretaries as stated by 78% of the respondents, whereas 22% indicated that everyone managed their own records, which could be as a result of
hoarding, by those who do not want to release their records for effective classification, filing and management.

Organizations have different preferences on either adopting a centralized or a decentralized registry system, mainly due to the benefits that they derive from their choice. The study sought to know the registry system preferred by the respondents and the reasons thereof; to which 100% of the respondents preferred a centralized registry system with 82% (SD.38809) stating that a centralized system is easy to access by all, even if an official is absent from work or has resigned, while 64% (SD.48487) felt that it ensures security and safekeeping of records, on the contrary though, none felt that compliance with legislation would make them go for a centralized system and yet again 96% (SD.19795) believed that there was transparency through this system. With everyone realizing the responsibility that they bear in relations to records management, none would prefer a centralized system for the very reason that the records office is the custodian of records. Table 4.5, presents the reasons for preferring a centralized registry system by the respondents.

**Table 4.5: Reasons for preferred registry system**

<table>
<thead>
<tr>
<th>Reasons for Preferred registry system</th>
<th>N</th>
<th>Minimum</th>
<th>Maximum</th>
<th>Mean</th>
<th>Std. Deviation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Easy access by all, even if an official is absent from work or has resigned</td>
<td>50</td>
<td>1.00</td>
<td>2.00</td>
<td>1.1800</td>
<td>.38809</td>
</tr>
<tr>
<td>Security and safekeeping of records</td>
<td>50</td>
<td>1.00</td>
<td>2.00</td>
<td>1.3600</td>
<td>.48487</td>
</tr>
<tr>
<td>Compliance with legislation</td>
<td>50</td>
<td>2.00</td>
<td>2.00</td>
<td>2.0000</td>
<td>.00000</td>
</tr>
<tr>
<td>Records Office is the Custodian of Record</td>
<td>50</td>
<td>2.00</td>
<td>2.00</td>
<td>2.0000</td>
<td>.00000</td>
</tr>
<tr>
<td>Transparency Valid N (listwise)</td>
<td>50</td>
<td>1.00</td>
<td>2.00</td>
<td>1.0400</td>
<td>.19795</td>
</tr>
</tbody>
</table>

Source: *(Researcher, 2014)*
4.4 Format and subject of records

Records management is largely driven by the format and subject of records which determine issues regarding storage, filing classification, retention scheduling and even disposal. The findings therefore indicate that KETRACO receives and creates both paper and electronic records as shown by the 100% response rate. This records cover various subject areas including Finance, Personnel, Administrative, Technical and Policy all at 100% response rate.

4.5 Priority of Records Management

Records management has in many organizations been neglected and seen as an area that can be handled by anyone, until organizations fall into litigations requiring records as legal evidence, then do they see the practice as an important function for them. It was established that records management has not yet been given the attention it deserves by 84% (42) of the respondents with a paltry 16% (8) believing it has.

The respondents were further asked if they regarded records as one of the important resources that would enable KETRACO to carry out its mandate, and there was a consensus by all the 50 (100%) of them. In that regard, the study went ahead to inquire why they deemed records as an important resource and the responses included: efficient and orderly flow of information, institution memory provides a point of reference, for formulating policies, future plans and making informed decisions, for functionality because an organization cannot function without records, fast tracking service delivery due to readily available information and accurate and up to date information which ensures proper services to the public all received a 100% response rate.

4.6 Mail Management

According to Kemoni (2007:189) mail management is a key activity of registries and a mail management programme encompasses various activities such as receiving, sorting, opening, classifying, filing and delivering mail. Having established the existence of a mail management system as indicated by all the respondents, the study broke this area to include incoming and outgoing mail.
4.6.1 Incoming mail
The researcher found out that KETRACO had a mail management system that involved receipt of mail, sorting, opening, filing, delivery to action officers and control of mail movement all at 100% response rate. However, classifying of mail was an activity that 84% of the respondents were aware of, while 16% thought it does not take place at all. Regarding security grading of mail, the respondents unanimously stated that it does not occur, however, a follow-up in the interview, showed that the process may not have been understood, but it does occur, though minimally. A descriptive statistics of the mail management activity is presented in table 4.6.

A big part of KETRACO’s business is conducted through the incoming mail, ranging from correspondence with the Government of Kenya to contractors who are the main implementers of the Company’s mandate. It then follows that a water tight process be employed in the receipt of mail to include stamping with the ownership mark, registering, classifying and proper filing then distribution to the relevant action officers be implemented.

Table 4.6: Incoming mail management activities

<table>
<thead>
<tr>
<th>Activity</th>
<th>N</th>
<th>Minimum</th>
<th>Maximum</th>
<th>Mean</th>
<th>Std. Deviation</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Receiving Mail</td>
<td>50</td>
<td>1.00</td>
<td>1.00</td>
<td>1.0000</td>
<td>.00000</td>
<td>100</td>
</tr>
<tr>
<td>Sorting of Mail</td>
<td>50</td>
<td>1.00</td>
<td>1.00</td>
<td>1.0000</td>
<td>.00000</td>
<td>100</td>
</tr>
<tr>
<td>Opening Mail</td>
<td>50</td>
<td>1.00</td>
<td>1.00</td>
<td>1.0000</td>
<td>.00000</td>
<td>100</td>
</tr>
<tr>
<td>Classifying Mail</td>
<td>50</td>
<td>1.00</td>
<td>2.00</td>
<td>1.1400</td>
<td>.35051</td>
<td>84</td>
</tr>
<tr>
<td>Filing</td>
<td>50</td>
<td>1.00</td>
<td>1.00</td>
<td>1.0000</td>
<td>.00000</td>
<td>100</td>
</tr>
<tr>
<td>Delivery to action officer</td>
<td>50</td>
<td>1.00</td>
<td>1.00</td>
<td>1.0000</td>
<td>.00000</td>
<td>100</td>
</tr>
<tr>
<td>Control of movement</td>
<td>50</td>
<td>1.00</td>
<td>2.00</td>
<td>2.0000</td>
<td>.00000</td>
<td>100</td>
</tr>
<tr>
<td>Security grading of mail</td>
<td>50</td>
<td>2.00</td>
<td>2.00</td>
<td>2.0000</td>
<td>.00000</td>
<td>0</td>
</tr>
<tr>
<td>Others</td>
<td>1</td>
<td>2.00</td>
<td>2.00</td>
<td>2.0000</td>
<td>.00000</td>
<td></td>
</tr>
<tr>
<td>Valid N (listwise)</td>
<td>50</td>
<td>1</td>
<td>1</td>
<td>1.0000</td>
<td>.00000</td>
<td></td>
</tr>
</tbody>
</table>

Source: (Researcher, 2014)
4.6.2 Outgoing mail
The activities involved in relations to outgoing mail, involved printing mail on an official letterhead as indicated by 100% of the respondents; proper referencing was an activity 82% regarded, while 18% did not; giving the mail a proper subject, correctly addressing it and recording it in an outgoing mail register and a dispatch book are effectively carried out as stated by 100% of the respondents, making a copy of the mail was known to 98% of the respondents while among 2% it did not. A descriptive statistic of the same is presented in table 4.7.

The Government of Kenya’s performance contracting is mainly based on evidence that is presented in outgoing mail, that show that the activity has been effectively implemented, which can only be evidenced by stamped copies of the outgoing mail by the recipients.

**Table 4.7: Outgoing mail management activities**

<table>
<thead>
<tr>
<th>Activity</th>
<th>N</th>
<th>Minimum</th>
<th>Maximum</th>
<th>Mean</th>
<th>Std. Deviation</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mail printed on official letterhead</td>
<td>50</td>
<td>1.00</td>
<td>1.00</td>
<td>1.00</td>
<td>.00000</td>
<td>100</td>
</tr>
<tr>
<td>Proper referencing</td>
<td>50</td>
<td>1.00</td>
<td>2.00</td>
<td>1.180</td>
<td>.38809</td>
<td>82</td>
</tr>
<tr>
<td>Proper subject area</td>
<td>50</td>
<td>1.00</td>
<td>1.00</td>
<td>1.000</td>
<td>.00000</td>
<td>100</td>
</tr>
<tr>
<td>Mail correctly addressed</td>
<td>50</td>
<td>1.00</td>
<td>1.00</td>
<td>1.000</td>
<td>.00000</td>
<td>100</td>
</tr>
<tr>
<td>Mail recorded in outgoing mail register</td>
<td>50</td>
<td>1.00</td>
<td>1.00</td>
<td>1.000</td>
<td>.00000</td>
<td>100</td>
</tr>
<tr>
<td>Mail recorded in mail dispatch book</td>
<td>50</td>
<td>1.00</td>
<td>1.00</td>
<td>1.000</td>
<td>.00000</td>
<td>100</td>
</tr>
<tr>
<td>Copy of mail File</td>
<td>50</td>
<td>1.00</td>
<td>2.00</td>
<td>1.020</td>
<td>.14142</td>
<td>98</td>
</tr>
<tr>
<td>Valid N (listwise)</td>
<td>50</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Source: (Researcher, 2014)
4.7 Filing classification

Filing classification allows for records to be placed in their right places which equally facilitates ease of retrieval. Kemoni (2007:299) points out that a sound records management programme for both paper and electronic records requires the presence of a records classification scheme. Classification is essential as it helps capture records in a system, thus allowing appropriate linking, grouping, naming, security protection, user permission, retrieval and disposal (ISO 15489-1, 2001:13). Classification also enables records to be grouped together by functions and activities and to be managed as an aggregation (Reed 2005:112). United Nations Archives and Records Management Section (2012: 1) further states that developing a file classification scheme is the process of identifying the category or categories of business activities and the records they generate and grouping them, if applicable, into files to facilitate retrieval, description, control, links and determines their disposition and access status. There was a 100% response rate on the availability of a filing classification scheme at KETRACO broadly indicated as being alphanumeric by all the respondents.

When asked if the filing classification scheme is comprehensive, 48% of the respondents agreed that it was whereas 52% refuted its comprehensiveness. In an interview with the 10 records champions, there was a concern regarding other areas that are not properly covered by the scheme, as others expressed dissatisfaction due to the scattered nature of the scheme, in the sense that one subject area was covered in different departmental classification schemes. On further enquiry, it turned out that the filing classification scheme was developed by the various departments independently thus the many duplications. In order for the records classification system to be considered comprehensive it must provide a means of knowing what records exist and where they are kept in an organization and facilitate easy access to records (Ngoepe 2008:130).

The figure 4.3 shows a breakdown of the responses regarding the comprehensiveness of the scheme.
It can thus be interpreted that inadequate trained records professionals may have led to this classification scheme that has led to various items of the same subject classified differently.

4.8 Records management training

According to Ts Abedze, Mutula and Jacobs (2012:58) records management is a specialized field that requires well trained personnel to effectively handle it. This therefore prompted the study to inquire on the same, to which only 4% (2) had been trained while 96% (48) had not. On further enquiry through the interviews, it was noted that those trained were holders of a diploma in records management. This small numbers makes it difficult to ensure that all records management functions are carried out effectively due to lack of appropriate training as is also underscored by Sebina (2001:1) in a Botswana study who found out that officers appointed to the position of records management were not fully trained records managers and were therefore not prepared to professionally handle all the records management related functions. Similarly, Manyambula (2009: 145) also established that most of the records management personnel in the Tanzanian public sector were under trained. He pointed out that most records management personnel had no training in records management and for those who did, the
training they received was very little to enable them to effectively execute records management responsibilities. As a result of lack of professionalism in records management, public service delivery was affected. In his study on records management and service delivery in Kenya, Kemoni (2007:343) points out that most of the records management personnel in the public sector were under trained. The study showed that 31 (19.7%) held diploma in archives and records management and a large number of 78 (49.7%) had no training in archives and records management. The study also expressed concerns from senior ministerial officers regarding lack of training opportunities for records management personnel.

It is therefore clear, that there is a neglect in the employment of trained personnel in the area of records management, either due to the low regard of the profession or inconsideration of records as vital resources in organizations.

The figure 4.4 herein, shows the staffs that have attended training in records management.

Figure 4.4: Training on records management

![Training on records management](image)

Source: (Researcher, 2014)
4.8.1 Areas of training in records management

The 4% respondents who had been trained on records management went on to indicate that the training they had received was in the areas of mail management; file opening, filing and folioing; filing classification; electronic records management; retention scheduling and disposal.

Yusof and Chell (1998:25) indicates that education, knowledge and skill are an essential element in the continuing development of sound records management practices. In a study in Zimbabwe Chatarera (2013) acknowledges that the quality of a records management programme is directly related to the amount of training received by the personnel that operates it. Ngulube (2001) on his part reflects that education and training are the basic needs for promoting the management of records and archives. Katuu (2009) emphasizes the need for developing countries to prioritize the education and training of information management professionals to tackle the challenges of governance in the electronic age.

Lack of professionalism in records management could be the main challenge affecting registries in many organizations. Wamukoya (2000:30) emphasizes that training is an important component of modern management, records personnel at all levels require appropriate training not only to acquire knowledge and skills but also to gain confidence in what they do.

4.9 Records management policy

Mampe and Kalusopa (2012:19) acknowledge that in order for a records management programme to succeed there should be some level of awareness of the procedure, policies and standards governing the management of records. This is also expressed by Iron Mountain (2010: np) in saying that policies and procedures set standards and serve as evidence of management’s support of and investment in a compliant records management program. With this in mind the study addressed the policy issue, by seeking to know of its existence and coverage. A response of 50(100%) stated that they were not aware of the existence of a records management policy, whereas from the interviews there was an indication of a draft policy awaiting review and final approval. Lack of a policy signifies
lack of awareness of the records management standards, meaning that the staffs are not also aware of their responsibilities towards the management of the Company’s records. This is therefore likely to contribute significantly to poor performance (Mampe and Kalusopa, 2012:8). This then puts the Company in a precarious position regarding records due to lack of guidelines on classing and handling of records. Lack of a policy also shows a lack of commitment in the area, purporting neglect, where responsibilities are not clearly assigned and remain unclear. Weak institutional capacity and the absence of, for example, comprehensive records management policies have been cited as one of the main causes of archival (as well as records management) underdevelopment in Africa (Ngulube and Tafor 2006:58).

From the reactions of the existence of draft policy, the interviewees indicated that it covered among other things:- a policy statement, scope, definition of terms, applicable legislations and procedures, mail management encompassing both incoming and outgoing mail, filing classification, retention and disposal as well as a statement of responsibilities.

4.10 Funding for records management

Funds are a driving force that ensure the success of a programme. However good a plan or policy might be, without funds, the programme is bound to fail. In records management, funds are need for various activities, stationery and equipment. Filing cabinets, electronic backups, files, pens as well as space are some of the areas where funds are crucial in managing records. When asked if any funds are allocated to records management, 54% indicated that funds are allocated whereas 46% differed. The disparity may have arisen due to the lack of a centralized registry, where the funds are directly channeled. This disagreement may also be based on the departmental budget that seem to be channeled to specific departmental issues as opposed to directly covering records management as stated in the interviews. Figure 4.5 shows the responses in terms of allocation of funds.
On sufficiency of the funds, the response was 100% conclusive that they are not. The respondent also stated that the insufficiency of funds directly affects records management by impeding the purchase of equipment, leads to lack of training of personnel, insufficiency of stationery, inadequacy of space as well as staff due to non-hiring of trained and sufficient staff.

The interviewees stated that:

“Records management does not have a dedicated budget.”

“The funding for records activities is derived from the larger departmental budget.”

Mnjama and Wamukoya (2004:np), state that one of the key challenges faced by countries in the ESARBICA region in capturing and preserving both paper and electronic records was the absence of dedicated budgets for records management.

Organizations tend to suffer from ineffective implementation of records management functions due to inadequacy of funds. In most cases, funds for various activities are derived from other budgetary allocations as opposed to dedicated records management budget. Due to budgetary deficits, records management is not seen as a core function of KETRACO, leading to funds being allocated to more pressing issues, such as connecting the nation of Kenya to the national grid.
Kemoni (2007:292) emphasizes that lack of adequate funding for registries would have negative implications for public service delivery and attainment of the MDGs. Some of the records management activities with financial implications include enacting records management policies and preparing manuals, training registry personnel, developing and implementing a disaster management programme, environmental control and monitoring and appraisal and disposition programmes. The non-implementation of these recordkeeping activities, due to lack of adequate financial resources, would create an environment where records were not properly managed and not utilized by action officers as tools for public service delivery.

4.11 Records management activities

Records management is a process that involves numerous activities that range from creation to final disposal of records. From the findings it was noted that 100% of the respondents were involved in the creation of records, 14% were involved in receiving records and stamping with ownership mark, mail distribution, opening of files, filing, file distribution and tracking, closing of files while none was involved in any records survey and appraisal.

The activities that only involved 14% of the respondents are highly controlled, thus requiring authorized personnel to handle them. In many organizations, such activities are centralized, thus handled from the same spot.

The interviewee stated that:-

“Mail is received by the department to which it is addressed.”

“Records are managed by individual departments.”

“Records created by a department are managed by the same.”

“Filing is on an individual basis.”
The records management activities seem scattered, but effective implementation of the records management activities contributes to good governance, transparency and accountability.

4.12 Records tracking system

According to Ngoepe (2008:134), the purpose of tracking records is to document the movements of records so that the organization knows where its records are at any time, to monitor the use of records and to maintain an auditable trail of record keeping processes, such as access to records by users. It is in this light that the study sought to know the availability of a records tracking system and 100% responses indicated that there was a tracking system, mainly file and mail tracking register. In a study by Kemoni (2007:306) similar findings were that the file movement register was the most widely used tool to control file movement, as chosen by 107 (68.1%) respondents.

ISO 15489 (ISO 2001:15) opines that tracking of the movement and use of records within a records system is required to identify outstanding action required, enable retrieval of records, prevent loss of records, monitor usage for systems maintenance and security and maintain an auditable trail of records transactions. It further states that the movement of records should be documented to ensure that items can always be located when required. Tracking mechanisms may record the item identifier, the title, the person of unit having possession of the item and the time/date of movement. In addition Ngoepe (2008:135) says that tracking may be used to ensure that, for example, a particular record is dealt with by the person to whom it has been assigned and that action is taken by a predetermined date.

It is apparent through the interviews conducted that KETRACOs record tracking system arose with the implementation of ISO 9001:2008, implementation of a quality management system, which sets requirements for tracking of records as a fulfillment for certification. This was commended by all the interviewees who stated that there was an almost complete reduction of loss of records and files. Tracking also ensures accountability and service delivery because employees have to account for the length of
time they have stayed with a record/file without acting on it as it includes the date and time of receipt.

4.13 Challenges in accessing records

Organizations should have formal guidelines regulating who is permitted access to records and in what circumstances ISO 15489, (ISO, 2001:14). It is the responsibility of the organization to lay guidelines regarding the access to records coupled with the legislative framework of the nation relating to the same. Besides loss of records, access is one other area where many complaints are raised in the management of records, some of the challenges are purely finger pointing due to stringent measure for accessing records. The study went ahead to ask the respondents the challenges they face and the perceived ones, to which 2% believed that those in-charge of records did not understand the user needs while 98% thought they did. A 100% response indicated that users knew little about registry operations, 68% had a strong feeling that registry staff lacked training which was not the thought of 32%, retaining of files by action officers was a challenge to yet another 68% and not to 32% of the respondents. Bulkiness of the files was an issue for 46% of the respondents and not 54% of them. Being a fairly new state corporation, torn files were not experienced at all, however a mix-up of both active and inactive files was a challenge to 100% of the respondents. 1 person (2%) felt that the registry layout was a problem, sentiments that were not shared by 98% of the respondents. Table 4.8 shows the challenges in accessing records as stated by the respondents.
Table 4.8: Challenges in accessing records

<table>
<thead>
<tr>
<th>Challenges</th>
<th>N</th>
<th>Minimum</th>
<th>Maximum</th>
<th>Mean</th>
<th>Std. Deviation</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registry staff do not understand user needs</td>
<td>50</td>
<td>1.00</td>
<td>2.00</td>
<td>1.9600</td>
<td>.19795</td>
<td>2</td>
</tr>
<tr>
<td>Users know little about registry operations</td>
<td>50</td>
<td>1.00</td>
<td>1.00</td>
<td>1.0000</td>
<td>.00000</td>
<td>100</td>
</tr>
<tr>
<td>Registry staff lack training</td>
<td>50</td>
<td>1.00</td>
<td>2.00</td>
<td>1.3200</td>
<td>.47121</td>
<td>68</td>
</tr>
<tr>
<td>Action officers retaining files</td>
<td>50</td>
<td>1.00</td>
<td>2.00</td>
<td>1.3200</td>
<td>.47121</td>
<td>68</td>
</tr>
<tr>
<td>Bulky files</td>
<td>50</td>
<td>1.00</td>
<td>2.00</td>
<td>1.5400</td>
<td>.50346</td>
<td>46</td>
</tr>
<tr>
<td>Files torn and dusty</td>
<td>50</td>
<td>2.00</td>
<td>2.00</td>
<td>2.0000</td>
<td>.00000</td>
<td>0</td>
</tr>
<tr>
<td>Poor registry layout</td>
<td>50</td>
<td>1.00</td>
<td>2.00</td>
<td>1.9800</td>
<td>.14142</td>
<td>1</td>
</tr>
<tr>
<td>Mix-up of active and inactive files</td>
<td>50</td>
<td>1.00</td>
<td>1.00</td>
<td>1.0000</td>
<td>.00000</td>
<td>100</td>
</tr>
<tr>
<td>Valid N (listwise)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Source: (Researcher, 2014)

4.14 Storage of records

The storage premises for current records should be clean and tidy and should prevent damage to records. The equipment used should provide storage which was safe from unauthorized access and which met fire regulations, but which allowed maximum accessibility to the information, commensurate with its frequency of use (Kemoni, 2007:313).

The study sought to find out where records were stored and 100% of the respondents indicated that they were stored in steel and movable cabinets, 68% stated that they were stored in wooden cabinets while 32% differed. There was a general agreement that no records were stored on the floor. The storage of records at KETRACO is quite impressive because only standard cabinets were used, which plays a big role in lengthening the storage life of records as ISO 15489-1 (2001:14) requires for records storage to be stored in a media that will ensure that their authenticity, reliability and usability for as long as
required. The interviews though, seemed to bring out a different perspective, in the sense that the storage equipment is not adequate with very limited space that has led to the storage of records at departmental levels, this is replicated in many other studies, for example Mnjama (2003:94) identified the provision of inadequate storage facilities as one of the factors that contributed to the poor state of recordkeeping in Kenya. In a 2004 study he identified records storage space as one of the many problems that plagued management of records in many African and Central American countries.

It is worth noting that poor storage of records has a ripple effect to an organization; ranging from delayed decision making, service delivery and meeting the mandate of the organization due to loss or delayed retrieval of files. Inadequate storage on the other hand leads to unconventional ways of storing files such as arranging them on work stations or even putting them on the floor, which leads to accelerated deterioration of the records, especially paper because of interaction with physical, chemical and biological agents of deterioration.

4.14.1 Satisfactory records storage

The respondents were further asked areas in which they thought the storage of records had satisfactorily been employed and the responses indicated that the cabinets were inadequate at 100% response rate; in relations to lockable shelves, there seemed to be a disparity with 86% indicating they were satisfactory, while 14% felt they were unsatisfactory. There was a general consensus at 100% that the firefighting equipment was not satisfactory; 100% of the respondents felt that the level of cleanliness and tidiness was satisfactory. 64% of the respondent agreed that there was satisfactory storage facilities for different classes of records. On the contrary to the firefighting equipment, 30% of the respondents stated that in the event of fire, flood or other natural disasters, there are satisfactory procedures for safeguarding records storage areas in the building, while 70% still maintained that they are not satisfactory. Ease of retrieval was satisfactory among 52% of the respondents and unsatisfactory among 48% of them. In terms of appropriate numbering of the shelves, there seemed to be an agreement that it is not satisfactory.
4.15 Legislation and regulatory framework governing records management

Records management in Kenya, operates under the framework and guidance of the Kenya National Archives and Documentation Services – KNADS which is supported by the Public Archives and Documentation Services Act, Cap 19. Besides the Cap 19, of 1965 of the Laws of Kenya. There are also various legislations that support the management of records in Kenya.

60% of the respondents indicated that the records management programme complied with the Public Archives and Documentation Services Act, Cap 19 of 1965 of the Laws of Kenya and 40% disagreed. Concerning the Public Procurement and Disposal Act, 2005 of the Laws of Kenya, there was a 100% response in favor of its compliance, this however is mainly observed from the procurement department’s activities as opposed to its relationship with records management, mainly stipulating the amount of time that procurement records should be retained. The figure 4.6 show responses in relations to the Public Archives and Documentation Services Act, Cap 19, of 1965 of the Laws of Kenya.

**Figure 4.6: Compliance to the Public Archives and Documentation Services Act**

![Pie Chart showing 60% compliance and 40% non-compliance.]

Source: (Researcher, 2014)

The Records Disposal Act, Cap 14, 1972 of the Laws of Kenya was not complied with as indicated by all the respondents, this Law is mainly used for the disposal of court records and rarely applies to other entities. This Act makes provision for the disposal of public
records in the custody of the High Court and the Registrar-General. In respect of the High Court, the Chief Justice may, subject to consultations with the Chief Archivist and in accordance with the Public Archives Act, make rules for the destruction of the records of the High Court or the subordinate courts which he considers to be of no further use or worthy of being permanently preserved. The Chief Justice is given the same powers with regard to the records in the custody of the Registrar-General. However, the Act does not authorize the destruction of any document which is required to be preserved by any law. The Chief Justice has made subsidiary legislation, the Records Disposal (Court Rules), governing the destruction of court records (Murungi, 2007:1).

The departmental records classification and retention schedules was fully complied with as per 100% of the respondents, unfortunately, it was noted through the interviews that the filing classification scheme did not include the retention periods.

Regarding the Ministry of State for Public Service (DPM) Circular on personnel records reference number DPM. 12/6A Vol I (71) of 12th March, 2008, there seemed to be no understanding of the same because none of the respondents indicated compliance of the KETRACOs records management programme to it.

The Records Management Procedure Manual for the Public Service, May 2010 was issued as a guide to records management practice among the Government of Kenya bodies. The Manual was prepared by the Ministry of State for Public Service in consultation with the Kenya National Archives and Documentation Services to provide guidelines and procedures to be followed in the day to day management of records in the public service. It is meant to be used alongside existing laws and legislation governing records management in the service. This manual has been partly adopted by KETRACO in its records management programme as indicated by 20% of the respondents but disputed by 80% as shown on figure 4.7. The 80% response was mainly due to the fact that the manual has not been fully implemented. The effective utilization of the manual as stated by the Ministry is to contribute towards the Government's quest to achieve good governance, transparency and accountability in the Public Service. Adherence to the Manual is also meant to streamline records management practice leading to effectiveness and efficiency in service delivery.
Source: *(Researcher, 2014)*

The Government Financial Regulations and Procedures, chapter 23, section 4:2-5 gives guidelines on the retention period for financial records. The records management programme’s compliance to this procedure was a reality amongst 74% of the respondents and it appeared not to 26% of the respondents shown in figure 4.8.

**Figure 4.8: Compliance with the Government Financial Regulations and Procedures**
The Procurement Manual’s application in the management of records at KETRACO was known to 86% of the respondents and not to 14% of them as depicted in figure 4.9. This can again be attributed to the procurement processes in the Company and may not necessarily relate to records.

**Figure 4.9: Compliance with the Procurement manual**

![Compliance Graph](image)

Source: (Researcher, 2014)

Regarding ISO processes and procedures, there was a 100% response rate to the records management programme’s compliance. The explanation behind this is that KETRACO being an ISO 9001:2008 certified organization, must have meet all the requirements for certification and thus the general assumption of the standards applicability.

### 4.16 Records appraisal

Appraisal is the basis for retention scheduling (Penn, Pennix and Coulson 1994:107). It is the process of evaluating business activities to determine which records need to be captured and how long the records need to be kept to meet business needs, the requirements of organizational accountability and community expectations (Williams 2006:37).
Man (2005:22) states that appraisal seeks to embody the following concepts: analysis of the organization's aims and activities; determination of which records need to be created and captured; and determination of how long records should be kept to meet both internal and external needs. Appraisal decisions must take account of the organization’s requirements for records for business use and accountability. Decisions about retention may also acknowledge cultural interests, or the interests of external users to ensure the preservation of corporate or societal memory (Shepherd and Yeo 2003:147).

The researcher asked if the respondents had an idea of what records appraisal is, to which only 4% had an understanding of what appraisal is, the remaining 96% did not know what appraisal is or what it involves. It was apparent that the 4% (2) are the same ones who have diplomas in records and archives management. The study went further to inquire from those that were aware of what the purpose of the appraisal is and they indicated that it involved creating retention schedules, determining the value of records, ensuring easy access to records, proper preservation of records as well as meeting legislative requirements. Cook (2010:73) emphasizes this fact by stating that accountability is seen as the main principle in the appraisal of public records. Figure 4.10 depicts the knowledge of the respondents of records appraisal.

**Figure 4.10: Knowledge of records appraisal**

Source: *(Researcher, 2014)*
It was necessary to know if the appraisal process is conducted at KETRACO and the frequency of the appraisal. It was clear that no appraisal has been conducted and therefore the frequency becomes null.

One of the most difficult decisions to make in appraisal regards what records to let go because all records have some conceivable value. Williams (2006:38) noted that whether archivists or records managers are appraising for current operational or archival research purposes they are involved in making a judgment about what should be retained and in the long term defining the future research resource and contributing to molding the historical research.

4.17 Records retention and disposal

According to Ndenje-Sichalwe (2010:80) a records retention schedule is a list of records for which predetermined destruction dates have been established. Such schedules are often referred to as records schedules, disposition schedules, and even retention and disposition schedules (Penn, Pennix and Coulson 1994:116). A records retention programme specifies the length of time that business records must be retained. The retention programme is based upon the concept that information has a life cycle. It should be possible for retention and disposition of records to be made at any time in the existence of records, including during the design stage of records systems.

The findings of the study indicated that the Company did not have any documented retention schedules. This same scenario appears in most government agencies as stated by Kemoni (2007:320) that most ministries did not have retention schedules, perhaps explaining why most ministries did not dispose of their records. The absence of retention and disposal schedules in most government departments reflects a poor management of current records.

The interviewees did not seem to have an understanding of retention schedules, but from the explanation given by the researcher, they argued that, the Company is still too young to dispose any records, however, from deeper interrogation, it emerged that there are records that should have been disposed after three years, but continued to occupy office
space. One of the most unfortunate things that happen is the hoarding of records that should have been disposed, making retrieval very difficult, coupled with financial burden for space and equipment. It also emerges that lack of disposal hinders effective service delivery by the organization.

The interviewees stated that no appraisal exercise has ever been conducted stating that the records in the Company are still to "young" and few to warrant any appraisal and disposal. In reference to the nature of the appraisal and retention scheduling, there was a general consensus amongst the interviewees that there was need to confirm the value of records before destruction, develop a records retention schedule in consultation with the Kenya National Archives and Documentation Services – KNAD, prepare a list of records that are due for destruction and eventually transfer the records to a records center, archives or destroy.

According to Ndenje-Sichalwe (2010:80) records retention and disposal schedules are critical to every records management programme. It is therefore essential for government departments’ records management systems to be able to develop and implement decisions on the retention and disposal of records. Mnjama (2006:50) however observed that the traditional methods, which involve records surveys, compilation of retention schedules, sorting, appraisal, arrangement and listing, might not work effectively. He stated that these processes cannot be undertaken with limited resources and with a records manager working alone or with a small staff of inexperienced clerks to gain control over records accumulated over long periods. He further argued that if the backlog accumulation is to be processed and registries decongested, new approaches to managing backlog accumulations need to be developed.

4.18 Records management and ICT

The world is evolving into a global village, mainly through the ICT interconnections. The findings revealed that ICT is applied in records management in the Company at a 100% response rate. The main areas of application were in mail management, creating of records and storage of electronic records as indicated by all (100%) the respondents.
The advantages of using ICT in the management of records include enhanced retrieval, inventorying, saving of space, minimizing loss of records, creating and storing backups, enhance sharing, tracking and keeping an audit trail and facilitating easy appraisal and disposal as stated by 100% of the respondents for the respective advantages.

The interviewees indicated that computers are the main form of ICT used in the management of records.

When asked to state how the ICTs are used they said:

“Computers are used in word processing, especially in the typing of reports and letters”

“We also use them in the production of cadastral map”

“The records office uses them to record incoming and outgoing mail”

“The filing classification scheme is also captured in the computer”.

ICT is one of the most essential tools in the management of records because they are important especially in digitization, tracking, as well as retrieval of records and therefore form one of the most important requirements in records management.

4.19 Records management challenges

The interview sought to know the challenges that are experienced in the management of records, and the responses are as indicated below:

“Records management is not allocated sufficient funds”

“The secretaries managing records at the departmental level are not trained in the management of records.”

“The records unit is highly understaffed.”

“The decentralized systems does not seem to offers proper management of records.”

“A lot of time is wasted in accessing records because they are scattered in all departments and if one is not sure where the record they need is housed it is a challenge.”
“The security of records is questionable due to the housing which is mainly within the offices.”

“There seems to be a lack of understanding especially in the management of electronic records.”

“The Company does not have a clear way of handling semi-current records and there seems to be unnecessary hoarding of records which should be disposed.

Challenges in any activity within an organization are inevitable and the only way to deal with them is by reducing the extent to which they affect the activities of an organization so as not to impede service delivery.

4.20 Records management future priorities

In assessing the future of records management at KETRACO, the study needed to know the various areas that would be prioritized in enhancing the practice. Setting up of a records centre and an archive was a priority among 100% of the respondents. Addressing problems related to computer generated records received a nod from 100% of the respondents, employing more records personnel, adequate training for the records personnel, policing records as a major asset in the organization and conducting a records inventory were a priority for 100% of the respondents. Establishing a records committee was only acceptable among 24% (SD.43142) of the respondents, but not to 76% of them. Going paperless was popular among 58% (SD.49857) of the respondents and not to 42% of them. Table 4.9, gives an analysis of the priorities for records management in the organization.
Table 4.9: Priorities for records management

<table>
<thead>
<tr>
<th>Priority</th>
<th>N</th>
<th>Minimum</th>
<th>Maximum</th>
<th>Mean</th>
<th>Std. Deviation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Records Committee</td>
<td>50</td>
<td>1.00</td>
<td>2.00</td>
<td>1.7600</td>
<td>.43142</td>
</tr>
<tr>
<td>Setting up Records Centre Archives</td>
<td>50</td>
<td>1.00</td>
<td>1.00</td>
<td>1.0000</td>
<td>.00000</td>
</tr>
<tr>
<td>Addressing Problems of Electronic Records</td>
<td>50</td>
<td>1.00</td>
<td>1.00</td>
<td>1.0000</td>
<td>.00000</td>
</tr>
<tr>
<td>Going Paperless</td>
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<td>1.00</td>
<td>2.00</td>
<td>1.4200</td>
<td>.49857</td>
</tr>
<tr>
<td>Employing more RM Personnel</td>
<td>50</td>
<td>1.00</td>
<td>1.00</td>
<td>1.0000</td>
<td>.00000</td>
</tr>
<tr>
<td>Adequate Training of Personnel</td>
<td>50</td>
<td>1.00</td>
<td>1.00</td>
<td>1.0000</td>
<td>.00000</td>
</tr>
<tr>
<td>Policing Records as Major Assets</td>
<td>50</td>
<td>1.00</td>
<td>1.00</td>
<td>1.0000</td>
<td>.00000</td>
</tr>
<tr>
<td>Conducting Records Inventory</td>
<td>50</td>
<td>1.00</td>
<td>1.00</td>
<td>1.0000</td>
<td>.00000</td>
</tr>
</tbody>
</table>

Source: (Researcher, 2014)

4.21 Summary

The findings of the study reveal that though a semblance of a records management programme exists in the Company, there is need to include all the major aspects of records management for realization of better results in supporting the mandate of the organization and effective service delivery. It was apparent that major activities such as retention scheduling and disposal were openly missing and had never been conducted at all. This process seems to also undermine accountability, because without an effective programme, then trailing becomes impossible. Weaknesses of the system were apparent especially regarding staffing, equipment as well as compliance with the various legislations that govern records management. A summary of the major findings, conclusion and recommendations are detailed in the next chapter.
CHAPTER FIVE

SUMMARY OF FINDINGS, CONCLUSION AND RECOMMENDATIONS

5.1 Introduction

The aim of this chapter is to provide a summary, conclusion and recommendations based on set objectives and findings and opinions from the respondents. The study used questionnaires, interviews and literature as sources of the findings. The aim of the study was to determine the effective implementation of a records management programme at KETRACO.

The objectives of the study were:

(i) To identify the types of records created and received by KETRACO and a functional policy that guides their management.

(ii) To find out if there is an existing filing classification scheme, a records survey, appraisal and retention practice, while assessing the legislative framework governing the same.

(iii) To assess the contributions of adopting ICT in the management of records.

(iv) To investigate the challenges faced in records management and recommend the best practice.

The study was further based on the assumption that lack of a records management programme at KETRACO has led to poor management of records that has significantly affected effective service delivery. On the flipside, an effective records management programme will significantly improve service delivery and the realization of the core business of KETRACO.

The organizational culture coupled with staff attitude towards records management at KETRACO will influence the success or failure of the records management programme.
5.2. Summary of the findings

The summary of findings for this study are divided into demographics details of respondents,

5.2.1 Demographic information of respondents

The study found out that 46% of the respondents were male while 54% of them were female. The findings further indicated that 2% of the respondents were certificate holders, 22% Diploma holders, 60% Undergraduates and 16% Postgraduate degree holders.

Regarding the areas of education of the respondents, 4% studied records management, 16% studied the wider information sciences, 42% business administration, 18% engineering and 20% the arts. It is important to note that those that studied information science were mainly employees in the Information Technology Department and not necessarily Library or registry staff. 4% of the respondents had studied records management up to a diploma level, while information science had been studied at diploma level by 2% of the respondent and at undergraduate degree by 10% of the respondents, and another 4% at postgraduate level. In business administration 2% of the respondent had a certificate, 8% had diplomas, 26% had undergraduate degrees and 6% had postgraduate degrees. As for engineering 8% of the respondents were diploma holders, 4% had undergraduate degrees and 6% were postgraduate degree holders. The arts were represented by 20% undergraduate degree holders.

Respondents were asked how long they had worked in their fields of specialty and 40% of the respondents had 0-5 years of experience, 42% had 6-10 years, 12% had 11-15 years, 4% had 16-20 years and 2% had 21 years and more of experience.

5.2.2 Records Management

The study posed a question on the definition of the term records, which was defined as information generated in the course of a business or a transaction by 90% of the respondents and another 10% defined it as any published information. There was a general consensus on the availability of a registry at KETRACO by 88% of the respondents, with a 100% response that it is a decentralized registry at departmental levels. The study further established that the records were mainly managed by secretaries.
as stated by 78% of the respondents, whereas 22% indicated that everyone managed their
records, which could be as a result of hoarding, by those who do not want to release their
records for effective classification, filing and management. The study sought to know the
registry system preferred by the respondents and the reasons thereof; to which 100% of
the respondents preferred a centralized registry system with 82% stating that a centralized
system is easy to access by all, even if an official is absent from work or has resigned,
64% felt that it ensure security and safekeeping of records, yet again 96% believed that
there was transparency through this system.

The findings therefore indicated that KETRACO receives and creates both paper and
electronic records as shown by the 100% response rate. This records cover various
subject areas including Finance, Personnel, Administrative, Technical and Policy.

It was established that records management has not yet been given the attention it
deserves by 84% of the respondents with a paltry 16% believing it has.

100% of the respondents regarded records as one of the important resources that would
enable KETRACO to carry out its mandate. In that regard, the study went ahead to
inquire why they deemed records as an important resource and the responses included:
Efficient and orderly flow of information, institution memory providing a point of
reference, for formulating policies, future plans and making informed decisions, for
functionality because an organization cannot function without records, fast tracking
service delivery due to readily available information and accurate and up to date
information which ensures proper services to the public all received a 100% response
rate.

5.2.3 Mail Management
The study found out that KETRACO had a mail management system from all the
respondents that involved receipt of mail, sorting, opening, filing, delivery to action
officers and control of mail movement, all relating to incoming mail.
The activities involved in relations to outgoing mail, involved printing mail on an official letterhead, proper referencing, giving the mail a proper subject, correctly addressing it and recording it in an outgoing mail register and a dispatch book as well as making a copy of the mail.

5.2.4 Filing classification

There was a 100% response rate on the availability of a filing classification scheme at KETRACO broadly indicated as being alphanumeric by all the respondents. 48% of the respondents agreed that that the filing classification system was comprehensive, but this was refuted by 52% of the respondents. In an interview with the 10 records champions, there was a concern regarding other areas that are not properly covered by the scheme, as others expressed dissatisfaction due to the scattered nature of the scheme, in the sense that one subject area was covered in various departmental classification schemes.

5.2.5 Records management training

From the findings, only 4% of the respondents had been trained in records management while 96% had not. On further enquiry through the interviews, it was noted that those trained were holders of a diploma in records management. The 4% respondents who had been trained on records management went on to indicate that the training they had received were in the areas of mail management; file opening, filing and folioing; filing classification; electronic records management; retention scheduling and disposal.

5.2.6 Records management policy

The respondents at 100% rate, stated that they were not aware of a records management policy, whereas from the interviews there was an indication of a draft policy awaiting review and final approval. From the reactions of a draft policy to be reviewed, the interviewees indicated that it covered among other things:- a policy statement, scope, definition of terms, applicable legislations and procedures, mail management encompassing both incoming and outgoing mail, filing classification, retention and disposal as well as a statement of responsibilities.
5.2.7 Funding for records management

Filing cabinets, electronic backups, files, pens as well as space are some of the areas where funds are crucial in managing records. 54% indicated that funds are allocated for records management, whereas 46% differed. The disparity may have arisen due to the lack of a centralized registry, where the funds should be directly channeled. On sufficiency of the funds, the response was 100% conclusive that they are not. The respondent also stated that the insufficiency of funds directly affects records management by impeding the purchase of equipment, leads to lack of training of personnel, insufficiency of stationery, inadequacy of space as well as staff due to non-hiring of trained and sufficient staff.

5.2.8 Records management activities

It was noted that 100% of the respondents were involved in the creation of records, 14% were involved in receiving records and stamping with ownership mark, mail distribution, opening of files, filing, file distribution and tracking, closing of files while none was involved in any records survey and appraisal. These activities involving 14% of the respondents are highly controlled, thus requiring authorized personnel to handle them.

5.2.9 Records tracking system

The study got a 100% responses rate indicating that there was a tracking system, mainly file and mail tracking register. ISO 15489 (ISO 2001:15) opines that tracking of the movement and use of records within a records system is required to identify outstanding action required, enable retrieval of record, prevent loss of records, monitor usage for systems maintenance and security and maintain an auditable trail of records transactions.

It is apparent through the interviews conducted that KETRACOs record tracking system arose with the implementation of ISO 9001:2008, implementation of a quality management system, which sets requirements for tracking of records as a fulfillment for certification. This was commended by all the interviewees who stated that there was an almost complete reduction of loss of records and files. Tracking also ensures accountability and service delivery because employees have to account for the length of time they have stayed with a record/file without acting on it as it includes the date and time of receipt.
5.2.10 Challenges in accessing records

The study went ahead to ask the respondents the challenges they face and the perceived ones, to which 2% believed that those in-charge of records did not understand the user needs while 98% thought they did. A 100% response indicated that users knew little about registry operations, 68% had a strong feeling that registry staff lacked training which was not the thought of 32%, retaining of files by action officers was a challenge to yet another 68% and not to 32% of the respondents. Bulkiness of the files was an issue for 46% of the respondents and not 54% of them. Being a fairly new state corporation, torn files were not experienced at all, however a mix-up of both active and inactive files was a challenge to 100% of the respondents. 1 person (2%) felt that the registry layout was a problem, sentiments that were not shared by 98% of the respondents.

5.2.11 Storage of records

From the findings of the study, 100% of the respondents indicated that records were stored in steel and movable cabinets, 68% stated that they were stored in wooden cabinets while 32% differed. There was a general agreement that no records were stored on the floor. It is worth noting that poor storage of records has a ripple effect to an organization; ranging from delayed decision making, service delivery and meeting the mandate of the organization due to loss or delayed retrieval of files. Inadequate storage on the other hand leads to unconventional ways storing files such as arranging them on work stations or even putting them on the floor, which leads to accelerated deterioration of the records, especially paper because of interaction with physical, chemical and biological agents of deterioration.

The study also found out that the cabinets were inadequate at 100% response rate; in relations to lockable shelves, there seemed to be a disparity with 86% indicating they were satisfactory, while 14% felt they were unsatisfactory. There was a general consensus at 100% that the firefighting equipment was not satisfactory; 100% of the respondents felt that the level of cleanliness and tidiness was satisfactory. 64% of the
respondent agreed that there was satisfactory storage facilities for different classes of records. On the contrary to the firefighting equipment, 30% of the respondents stated that in the event of fire, flood or other natural disasters, there are satisfactory procedures for safeguarding records storage areas in the building, while 70% still maintained that they are not satisfactory. Ease of retrieval was satisfactory among 52% of the respondents and unsatisfactory among 48% of them. In terms of appropriate numbering of the shelves, there seemed to be an agreement that it is not satisfactory.

5.2.12 Legislation and regulatory framework governing records management

60% of the respondents indicated that the records management programme complied with the Public Archives and Documentation Services Act, Cap 19 of 1965 of the Laws of Kenya and 40% disagreed. Concerning the Public Procurement and Disposal Act, 2005 of the Laws of Kenya, there was a 100% response in favor of its compliance. The Records Disposal Act, Cap 14, 1972 of the Laws of Kenya was not complied with as indicated by all the respondents, this Law is mainly used for the disposal of court records and rarely applies to other entities. The departmental records classification and retention schedules was fully complied with as per 100% of the respondents, unfortunately, it was noted through the interviews that the filing classification scheme did not include the retention periods. Regarding the Ministry of State for Public Service (DPM) Circular on personnel records reference number DPM. 12/6A Vol I (71) of 12th March, 2008, there seemed to be no understanding of the same because none of the respondents indicated compliance of the KETRACOs records management programme to it. The Records Management Procedure Manual for the Public Service, May 2010 was issued as a guide to records management practice among the Government of Kenya bodies. This manual has been partly adopted by KETRACO in its records management programme as indicated by 20% of the respondents but disputed by 80%. Regarding the Government Financial Regulations and Procedures, chapter 23, section 4:2-5, the records management programme’s compliance to this procedure was a reality amongst 74% of the respondents and it appeared not to 26% of the respondents. The Procurement Manual’s application in the management of records at KETRACO was known to 86% of the respondents and not to 14%. Regarding ISO processes and procedures, there was a 100% response rate to the
records management programme’s compliance, mainly attributed to the Company being ISO certified.

5.2.13 Records appraisal

The researcher asked if the respondents had an idea of what records appraisal is, to which only 4% had an understanding of what appraisal is, the remaining 96% did not know what appraisal is or what it involves. It was apparent that the 4% are the same ones who have diplomas in records and archives management. The study found out that that appraisal involved creating retention schedules, determining the value of records, ensuring easy access to records, proper preservation of records as well as meeting legislative requirements as stated by the respondents. It was clear that no appraisal has been conducted and therefore the frequency becomes null.

5.2.14 Records retention and disposal

The findings of the study indicated that the Company did not have any documented retention schedules. The absence of retention and disposal schedules in most government departments reflects a poor management of current records. The interviewees argued that the company is still too young to dispose any records, however, from deeper interrogation, it emerged that there are records that should have been disposed after three years, but continued to occupy office space. In reference to the nature of the appraisal and retention scheduling, there was a general consensus amongst the 10 (100%) interviewees that there was need to confirm the value of records before destruction, develop a records retention schedule in consultation with the Kenya National Archives and Documentation Services – KNAD, prepare a list of records that are due for destruction and eventually transfer the records to a records center, archives or destroy.

5.2.15 Records management and ICT

The findings revealed that ICT is applied in records management in the Company at a 100% response rate. The main areas of application were in mail management, creating of records and storage of electronic records as indicated by all (100%) the respondents. The advantages of using ICT in the management of records include enhanced retrieval, inventorying, saving of space, minimizing loss of records, creating and storing backups,
enhance sharing, tracking and keeping an audit trail and facilitating easy appraisal and disposal as stated by 100% of the respondents for the respective advantages.

5.2.16 Records management future priorities
Setting up of a records centre and an archive was a priority among 100% of the respondents. Addressing problems related to computer generated records received a nod from 100% of the respondents, employing more records personnel, adequate training for the records personnel, policing records as a major asset in the organization and conducting a records inventory were a priority for 100% of the respondents. Establishing a records committee was only acceptable among 24% of the respondents, but not to 76% of them. Going paperless was popular among 58% of the respondents and not to 42% of them.

5.3. Conclusion
This study provides an insight into the records situation in many government organizations in Kenya. Though an important area, a lot of neglect is evidenced from the priority given to it. It is apparent that records are the foundation of any organization’s programmes, policies and activities to facilitate sound decisions and actions. Records are very important resources for an organization’s transactions.

Through primary and secondary data, the study was able to conceptualize the records management practice at KETRACO and can conclusively reveal that it is average. The findings reveal that a records management programme has not been fully implemented at KETRACO and that there are only bits of it in place; such as mail management through to filing, yet there are many records management functions including appraisal, retention scheduling and disposal that still need to be enhanced for the organization to derive full benefits of the practice.

The study found out that most of the respondents recognized the importance of records management in realizing the Company’s mandate, but did not seem aware of the role that they should play in achieving the same with regards to records - they seem important when needed.
In line with the findings, the greatest motivator for implementing fully functional records management programme, is service delivery and decision making. Ease of access through enhanced retrieval, proper storage for posterity as well as policing records as valuable resources, allocation of funds through a dedicated budget, are some of the drivers towards an effective records management programme in any organization. The value of information and the power of the records held by KETRACO greatly affects the business and activities of the Company. Consistent decision making, efficient and effective service delivery, execution of the Company’s mandate as well as issues of transparency, accountability and good governance are pegged on proper records management practices.

An improved records management programme will therefore increase efficiency by reducing vulnerability to litigation or financial loss and promote efficiency in terms of human capital, equipment and space resources through greater co-ordination of the use, maintenance and control of records and the information therein.

5.4 Recommendations

Taking into consideration the findings of the study, records management systems need to be improved to ensure that efficient and effective services are rendered to their customers, basically service delivery. Effective records management systems need to be implemented to ensure timely retrieval of records for speedy decision making with regards to the company’s mandate. The study therefore makes the following recommendations:

5.4.1 Records survey

The first and most critical step in achieving a proper records management programme is to conduct a records survey that will involve assessing the functional areas of the organization, the types of records created/ received by the company and the availability of any records activities in existence. In a study on records survey in Zimbabwe by Chaterera (2010:34) records management activities influenced by records survey include but are not limited to carrying out records appraisals, developing retention and disposal schedules, creating records management procedures, preparing a disaster recovery and vital records plan.
In Chaterera (2010:1) Cox, Helen and Samuels (1988:28) states that the key step in developing a sound basis for proper records management practices is to inspect, monitor and examine all records created and kept by an office through conducting records and information management surveys amongst other records management activities. Records surveys are therefore a corner stone in nurturing proper records management practices and improving service delivery.

5.4.2 Separate management of different categories of record

The records lifecycle states that records have a life similar to living organisms, from the time they are created until their final disposal. The study recommends that these records (both active and semi active) be given the same priority in managing them, these will ensure that inactive records of enduring value are not erroneously destroyed or misplaced. According to Chinyemba and Ngulube (2005: np) the management of the records after their creation is just as important as ensuring that the right records have been captured. If the basic premise of records management, which is to 'manage organizational information so that it is timely, accurate, complete, cost-effective, accessible and usable' (Robek et al. 1995:7), is to be realized, then proper controls must be applied to records during the different stages they pass through from creation to disposal. This ensures that records maintain their value as authentic evidence of activity throughout their life cycle.

5.4.3 Records management policy

The study recommends that the Company fast tracks the records management policy to act as a guide that will capture the records management activities within KETRACO. As stated by Chinyemba and Ngulube (2005: np) records management programmes operate within the framework of policies, rules and procedures that give guidance to the practice. The purpose of these is to provide an environment conducive to proper records management. Policy is also essential to provide broad guidelines in which procedures may be developed. A records management policy document will define policy on records management and the objective of the policy should be the creation and management of
authentic, reliable and usable records, capable of supporting business functions and activities for as long as they are needed (ISO 15489-2001). It will be necessary to ensure that the policy also covers the relevant legislations such as the Public Archives and Documentation Services Act, Cap 19, of 1965 of the Laws of Kenya, among others. An effective records management programme therefore must begin with a records survey, supported by well-defined policies and procedures, a team of well qualified and competent staff and support from top management (Mnjama 2004:9).

In addition to policies Chinyemba and Ngulube (2005:np) say that there is a need to have standards in place that identify best practices and benchmarks in order to achieve uniformity in practice. There is also a need for mechanisms to check compliance with policies, rules and procedures. One such mechanism would be the conducting of record management system audits. Ricks, Swafford and Gow (1992:457) in Chinyemba and Ngulube (2005: np) describe a records management system audit as regularly scheduled examination and verification of a specific activity to enforce compliance with established policies by making individuals and departments accountable.

5.4.4 Filing classification system

The alphanumeric records classification system should be revised in collaboration with the KNADS to ensure that the scattered subject areas are consolidated and it captures all the functions of KETRACO. This will ensure that the Company has a functional filing classification system based on both the primary and secondary functions. This can then be used to establish a central registry ensuring arrangement and ease of retrieval.

Garaba (2010:236-240) states that records classification provides a way of having intellectual control over the records of an agency, it provides a means of knowing what records exist and where they are kept. It creates order in understanding what an organization does and how it does it. Therefore the essence behind classification is to facilitate the location of records when needed and this classification is essentially based on the principle of provenance and it shows the records' logical relationships with each other. The classification of records by function traces the origins of records back to an
organization’s history and to the broad purposes for which it was established. Through this, functional classification thus classifies records according to the specific reasons for which they were created, within those broad purposes. Generally, function/activity based filing systems provide the most meaningful and most easily understood arrangement of records. In a nutshell, functional classification as the term suggests involves organizing materials on the basis of the function, activity or task performed by an organization to fulfill its mandate, instead of by department, name or subject.

**5.4.5 Records retention schedule, appraisal and disposal**

Based on the lifecycle of records that sees them live through to the point of disposal, there is need for a records retention schedule tied to the filing classification system that will ensure that records are kept for the amount of time that they should and are eventually disposed appropriately. According to Ngulube (2007:122) records management advice given to public registries facilitates effective management of recorded information throughout its life cycle. At the end of the active life of records, together with the KNADS official, records are disposed-off while the valuable ones are kept for posterity. The implications of not having a records retention schedule is that records whose activity has ceased are still kept, while those that are of value may have been inadvertently destroyed, thus the urgent need to have one that is practically used, because there is a tendency amongst organizations that have excellent retention schedules that are not used.

The company should consider carrying out an intensive appraisal process for all its inactive records and based on the value of each, the authority of KNADS should be sought in ensuring that only records that are deemed useless are destroyed as shall be advised.

**5.4.6 Establishment of a central registry**

One of the best ways by which the company can ensure that all the records management activities are centrally controlled, is through the establishment of a central registry. It is apparent that the organization may not be in a position of having adequate staff to
manage the decentralized system and therefore, a central registry comes in as a panacea to this problem. The registry will be involved in mail management, classification and filing of records as well as storing and retrieval of these files on request. Adequate space must therefore be made available as well as other storage facilities besides the necessary stationery and equipment such as photocopiers, scanners, printing paper, file folders, felt pens, staplers, staples and paper punches.

5.4.7 Additional records professionals and training

It is important that the Company engages more qualified records personnel who will be key in implementing the recommendations of this study besides offering the much needed additional hands in the management of records. This records professional should be trained at different levels including, diploma and bachelors as well as postgraduate studies, this should be topped up with continuous short course perpetually. Ngulube (2001:156) emphasized that the proper management of records hinges on records managers with the necessary skills and knowledge to deal with the records at every stage of their use by society. In the process of training, standards and guidelines would have to be looked at to ensure that registry personnel received training according to the set standards. Having received training according to the standards and guidelines set would help to ensure that procedures and products of the training programme met certain requirements and remained consistent (Ngulube 2001:159). This would ensure that records are effectively managed, thus fostering accountability in reforming the records practice at KETRACO.

5.4.8 Enhanced ICT in the management of records

The traditional records management system should be integrated with ICT to ensure that records personnel are spending the least time possible in storage and retrieval of records for as a way of improving the decision making process and service delivery. There is a need for an effective records management program to upgrade the records keeping system for easy and timely retrieval of information, improved office efficiency and productivity (Robek, Brown and Stephens 1995). ICT or electronic records management systems need to be used to ensure easy, fast access/retrieval of information or records (Ojo 2009:95). In implementing electronic records management systems, the Company
should consider the latest versions of software, hardware as well as the networking requirements. Of importance are issues of compatibility, instability and obsolescence of ICT facilities. Metadata must thus be created to assist in access and the responsibilities in terms of rights be clearly assigned as well as the necessary training to the staffs directly involved.

5.4.9 Records as a strategic resource

From the findings of the study, it is clear that records are not managed like resources such as finances, it is imperative then, that if records are going to be a priority then they should be classified as a strategic resource. Ngoepe (2008: 49-50 states that the greatest need in government departments or any other organization is to develop strategies for managing records as a strategic resource for competitive advantage. As with any other business activity, it is important to devise a strategy for the introduction of records management into a government department. It must be seen as a means of furthering the aims and objectives of the department and as making a direct contribution to the critical success of business.

5.4.10 Disaster management

The study may not have inquired on the availability of a disaster management programme for the records, but this is an area that cannot be neglected because it is the one sure way of protecting and securing records against agents of destruction that range from human to natural. Disasters are inevitable and the Company should always be prepared to deal with them as a means of either averting or minimizing the effects with proper recovery measures attainable in the shortest time possible. Ngulube (2005:15) says that disaster planning facilitates efficient and quick response to an emergency and is fundamental to ensuring access to, and preservation of, documentary materials into the future. Chachage and Ngulube (2006: np) add that disaster planning is generally regarded as an essential part of any records management programme. Disaster planning ensures that institutions are prepared to respond quickly to emergencies. Disaster mitigation, or the ability to identify risks and prevent some emergencies from happening, should always play a key role in an institution's emergency preparedness and planning efforts.
5.4.11 Dedicated records management budget

Finances are the foundation upon which an effective records management programme is founded and sustained, ranging from equipment to staffing. It is therefore important that a budget fully dedicated to records management is drawn every financial year as commitment to the programme.

5.5 Proposed records management activities

- Creation / mail management
- Classification of records
- Send records to the MD/ HOD for appropriate marking to action officers
- Record all records in a mail register for distribution to appropriate officers
- Filing
- Retrieval of files on demand from the cabinet
- Record the file in a file register and release to requesting officer
- When files are returned, mark out from the register and insert in the appropriate location in the cabinet
- Carry out regular records appraisal based on the retention schedule
- Disposal of records appropriately

5.6 Suggested areas for further research

The study recommends a research on the records management professionals and their positions in the present organization. Though an important area in an organization, the function is highly misplaced with many regarding it a human resource and administration function while others have placed it in the legal department. The career growth for the profession also seems stagnant with no significant growth.

There is need to also study the training of records personnel in Kenya; for a long time, records management has been viewed as a function that can be conducted by anyone, which is far from the truth as has been evidenced in the levels of corruption and
misplacement of records in the public sector therefore hindering effective and efficient service delivery.

Of great significance as well will be a study on the adoption of the ISO 15489:2001 in the management of records by organizations in Kenya. This is a comprehensive standard whose adoption and implementation is likely to offer major solution to records management and thus certification is necessary, through benchmarking between the best practice and the current state of records management.

As Kenya edges into the year 2030, an assessment of the extent to which records management has impacted or contributed to the Vision 2030 is inevitable. This should also be tied to the Millennium Development Goals—MDGs.
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APPENDICES

APPENDIX I: INTRODUCTION LETTER

Nashon Stephen Dwoya,
P.O. Box 28707-00200,
Nairobi
July 8, 2014

Dear Sir/Madam,

RE: RESEARCH INFORMATION FOR A MASTERS PROJECT

I am a postgraduate student undertaking a Master of Library and Information Science at the University of Nairobi. As a partial fulfillment of the requirements for the award of the master’s degree, I am conducting a study on “implementation of a records management programme at Kenya Electricity Transmission Company Limited (KETRACO)”, which can only succeed with the help of staff members of the aforementioned company. You are one of them and I would like to kindly request for information regarding records management in your organization.

The information you provide in this study will not be used for any other purpose apart from its intended academic use. I hereby undertake not to make any reference to your name in any presentation or report hitherto the study.

I am aware that filling the questionnaire is time consuming and I will greatly appreciate your assistance. Any additional information in form of suggestions and comments that you deem necessary to make my research findings more conclusive, relevant and reflective of the study area will be highly appreciated.

Thank you in advance.

Yours faithfully,

Nashon Stephen Dwoya
Masters Student
NOTE: The information provided here is for academic purposes only and will be treated with maximum confidentiality.
APPENDIX II: QUESTIONNAIRE

SECTION A: PERSONAL INFORMATION

1. Please indicate your gender.

<table>
<thead>
<tr>
<th>Gender</th>
</tr>
</thead>
<tbody>
<tr>
<td>MALE</td>
</tr>
<tr>
<td>FEMALE</td>
</tr>
</tbody>
</table>

2. a) Highest level of education attained

<table>
<thead>
<tr>
<th>Education Level</th>
</tr>
</thead>
<tbody>
<tr>
<td>Secondary</td>
</tr>
<tr>
<td>Certificate</td>
</tr>
<tr>
<td>Diploma</td>
</tr>
<tr>
<td>Undergraduate</td>
</tr>
<tr>
<td>Masters/postgraduate</td>
</tr>
</tbody>
</table>

b) Area of education

<table>
<thead>
<tr>
<th>Area of Education</th>
</tr>
</thead>
<tbody>
<tr>
<td>Records Management</td>
</tr>
<tr>
<td>Information Science</td>
</tr>
<tr>
<td>Knowledge Management</td>
</tr>
<tr>
<td>Business Management/commerce</td>
</tr>
<tr>
<td>Engineering</td>
</tr>
<tr>
<td>Arts</td>
</tr>
<tr>
<td>Others</td>
</tr>
</tbody>
</table>

Please indicate ____________________________

3. Years of experience

<table>
<thead>
<tr>
<th>Years of Experience</th>
</tr>
</thead>
<tbody>
<tr>
<td>0-5 Years</td>
</tr>
<tr>
<td>6-10 Years</td>
</tr>
<tr>
<td>11-15 Years</td>
</tr>
<tr>
<td>16-20 Years</td>
</tr>
<tr>
<td>21 and more</td>
</tr>
</tbody>
</table>
**SECTION B: GENERAL INFORMATION ON RECORDS MANAGEMENT**

4. Are you aware of what records are?

<table>
<thead>
<tr>
<th>Information that is generated in the course business/transaction</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Any published information</td>
<td></td>
</tr>
<tr>
<td>Other</td>
<td></td>
</tr>
</tbody>
</table>

5. Do you have a registry?

<table>
<thead>
<tr>
<th>YES</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>NO</td>
<td></td>
</tr>
</tbody>
</table>

b. If Yes, what registry system do you have?

<table>
<thead>
<tr>
<th>Centralized</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Decentralized (in people’s Offices)</td>
<td></td>
</tr>
</tbody>
</table>

c. Which one would you prefer and why?

<table>
<thead>
<tr>
<th>Easy access by all, even if an official is absent from work or has resigned</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Ensuring security and safekeeping of records</td>
<td></td>
</tr>
<tr>
<td>Ensuring compliance with legislation</td>
<td></td>
</tr>
<tr>
<td>Records Office is the custodian of records</td>
<td></td>
</tr>
<tr>
<td>For transparency.</td>
<td></td>
</tr>
</tbody>
</table>

d. If No, how are records managed

<table>
<thead>
<tr>
<th>By secretaries</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Everyone manages their records</td>
<td></td>
</tr>
<tr>
<td>Any others</td>
<td></td>
</tr>
</tbody>
</table>

6. What subject areas of records are created in your organization?

<table>
<thead>
<tr>
<th>Finance</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Personnel</td>
<td></td>
</tr>
<tr>
<td>Administrative</td>
<td></td>
</tr>
</tbody>
</table>
7. In what formats are these records created?

- Paper
- Electronic

8. In your opinion, is records management given the attention that it deserves?

YES
NO

9. In that case, do you regard records as one of the important resources that would enable KETRACO to carry out its mandate effectively?

YES
NO

b. If yes, why?

- Efficient and orderly flow of information
- Institution memory provides a point of reference
- Formulating policies, future plans and making informed decisions
- Organization cannot function without records
- Fast tracking service delivery due to readily available information
- Accurate and up to date information ensures proper services to the public
- Other, specify

10. a. Do you have a mail management programme?

YES
NO
b. if Yes, what does the programme entail

<table>
<thead>
<tr>
<th>Activity</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Receiving mail</td>
<td></td>
</tr>
<tr>
<td>Sorting of mail</td>
<td></td>
</tr>
<tr>
<td>Opening mail</td>
<td></td>
</tr>
<tr>
<td>Classifying mail</td>
<td></td>
</tr>
<tr>
<td>Filing mail</td>
<td></td>
</tr>
<tr>
<td>Delivery of mail to action officers</td>
<td></td>
</tr>
<tr>
<td>Control of mail movement</td>
<td></td>
</tr>
<tr>
<td>Security grading of mail</td>
<td></td>
</tr>
<tr>
<td>Other, please specify</td>
<td></td>
</tr>
</tbody>
</table>

c. What are some of the activities that involve outgoing mail?

<table>
<thead>
<tr>
<th>Activity</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Printed on official letterhead</td>
<td></td>
</tr>
<tr>
<td>Entails proper referencing (<em>our ref</em>)</td>
<td></td>
</tr>
<tr>
<td>Proper subject area</td>
<td></td>
</tr>
<tr>
<td>Correctly addressed</td>
<td></td>
</tr>
<tr>
<td>Recorded in the outgoing mail register</td>
<td></td>
</tr>
<tr>
<td>Record in mail dispatch book</td>
<td></td>
</tr>
<tr>
<td>Copy of mail file</td>
<td></td>
</tr>
</tbody>
</table>

11. a. Is there a written filing classification system?

<table>
<thead>
<tr>
<th>YES</th>
<th>NO</th>
</tr>
</thead>
</table>

b. If Yes, what type of a filing classification scheme do you have?

<table>
<thead>
<tr>
<th>Type</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Alphabetical</td>
<td></td>
</tr>
<tr>
<td>Numerical</td>
<td></td>
</tr>
<tr>
<td>Chronological</td>
<td></td>
</tr>
<tr>
<td>Alphanumeric</td>
<td></td>
</tr>
</tbody>
</table>
c. And would you consider it comprehensive.

<table>
<thead>
<tr>
<th>YES</th>
<th>NO</th>
</tr>
</thead>
</table>


d. If No, how are records classified and organized?


12. Have you ever attended any formal records management training?

<table>
<thead>
<tr>
<th>YES</th>
<th>NO</th>
</tr>
</thead>
</table>

13. What areas of records management did the training introduce you to?

<table>
<thead>
<tr>
<th>Mail management</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Filing opening, filing and folioing</td>
<td></td>
</tr>
<tr>
<td>Filing classification</td>
<td></td>
</tr>
<tr>
<td>Electronic records management</td>
<td></td>
</tr>
<tr>
<td>Retention scheduling</td>
<td></td>
</tr>
<tr>
<td>Disposal</td>
<td></td>
</tr>
</tbody>
</table>

14. Does your organization have a written records management policy

<table>
<thead>
<tr>
<th>YES</th>
<th>NO</th>
</tr>
</thead>
</table>

b. What aspects are covered in this policy?

<table>
<thead>
<tr>
<th>Policy statement</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Scope</td>
<td></td>
</tr>
<tr>
<td>Definition of terms</td>
<td></td>
</tr>
</tbody>
</table>
### Applicable Acts and other legislations

<table>
<thead>
<tr>
<th>Mail management (incoming and outgoing mail)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Filing classification system</td>
</tr>
<tr>
<td>Records retention and disposal</td>
</tr>
<tr>
<td>Statement of responsibilities</td>
</tr>
</tbody>
</table>

15. a. Is records management allocated any funds?

<table>
<thead>
<tr>
<th>YES</th>
<th>NO</th>
</tr>
</thead>
</table>

b. Would you consider the funds sufficient?

<table>
<thead>
<tr>
<th>YES</th>
<th>NO</th>
</tr>
</thead>
</table>

c. In your opinion, does the sufficiency of funds affect records management and in what ways

<table>
<thead>
<tr>
<th>Impedes the purchasing of equipment</th>
</tr>
</thead>
<tbody>
<tr>
<td>No training for personnel</td>
</tr>
<tr>
<td>Stationery is lacking e.g. files</td>
</tr>
<tr>
<td>Inadequacy of space</td>
</tr>
<tr>
<td>Hiring of professional in sufficient numbers is affected</td>
</tr>
</tbody>
</table>

16. What are some of the activities you are involved in in relations to records

<table>
<thead>
<tr>
<th>Creation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Receiving and stamping records with ownership mark</td>
</tr>
<tr>
<td>Mail distribution</td>
</tr>
<tr>
<td>Opening of files</td>
</tr>
<tr>
<td>Filing</td>
</tr>
<tr>
<td>File distribution and tracking</td>
</tr>
<tr>
<td>Closing of files</td>
</tr>
<tr>
<td>Records survey</td>
</tr>
</tbody>
</table>
17. Do you have a records tracking system?

<table>
<thead>
<tr>
<th>YES</th>
<th>NO</th>
</tr>
</thead>
</table>

18. What tools are used in tracking files/records

<table>
<thead>
<tr>
<th>File tracking card</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>File tracking register</td>
<td></td>
</tr>
<tr>
<td>Computerized system</td>
<td></td>
</tr>
<tr>
<td>Memory</td>
<td></td>
</tr>
<tr>
<td>Physical checking of files on shelves</td>
<td></td>
</tr>
<tr>
<td>Subject index</td>
<td></td>
</tr>
<tr>
<td>Other, please specify</td>
<td></td>
</tr>
</tbody>
</table>

19. Which are some of the challenges you face in providing access to records?

| Registry staff do not understand users' needs |  |
| users know little about record operations |  |
| Registry staff lack training |  |
| Action officers retaining files |  |
| Files being bulky |  |
| Files torn and dusty |  |
| Poor registry layout |  |
| Mix-up of active and inactive files |  |
| other, please specify |  |

20. How are records stored?

| Steel cabinets |  |
| Movable cabinets |  |
| Wooden shelves |  |
| Floor |  |
21. Indicate among the areas below, where you feel records storage is satisfactory.

<table>
<thead>
<tr>
<th>Area</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Adequate cabinets</td>
<td></td>
</tr>
<tr>
<td>Lockable shelves</td>
<td></td>
</tr>
<tr>
<td>Firefighting equipment</td>
<td></td>
</tr>
<tr>
<td>Clean and tidy</td>
<td></td>
</tr>
<tr>
<td>Storage facilities for different classes i.e. archives, semi active records</td>
<td></td>
</tr>
<tr>
<td>In the event of fire, floods, or other natural disasters, there are procedures for safeguarding records storage areas in the building.</td>
<td></td>
</tr>
<tr>
<td>Records are easily retrievable</td>
<td></td>
</tr>
<tr>
<td>Shelves are appropriately numbered</td>
<td></td>
</tr>
</tbody>
</table>

22. Indicate the legislations and other regulatory frameworks that the records management programme complies with.

<table>
<thead>
<tr>
<th>Legislation</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Public Archives and Documentation Service Act, Cap. 19</td>
<td></td>
</tr>
<tr>
<td>Public Procurement and Disposal Act, 2005</td>
<td></td>
</tr>
<tr>
<td>Records Disposal Act, Cap 14</td>
<td></td>
</tr>
<tr>
<td>Departmental Records Classification and Retention Schedules</td>
<td></td>
</tr>
<tr>
<td>Government Financial Regulations and Procedures, Chapter 23, section 4:2-5</td>
<td></td>
</tr>
<tr>
<td>ISO processes and procedures on Records Management e.g. ISO 15489; 9001:2008</td>
<td></td>
</tr>
</tbody>
</table>

23. a. What do you understand by the term records appraisal?
b. What is the purpose of the appraisal?

<table>
<thead>
<tr>
<th>Purpose</th>
</tr>
</thead>
<tbody>
<tr>
<td>Creating retention schedules</td>
</tr>
<tr>
<td>Determining the value of records</td>
</tr>
<tr>
<td>Ensure easy access to records</td>
</tr>
<tr>
<td>Ensure proper preservation of records</td>
</tr>
<tr>
<td>To meet the legislative requirements</td>
</tr>
</tbody>
</table>

c. Is the appraisal process conducted regularly?

<table>
<thead>
<tr>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>YES</td>
</tr>
<tr>
<td>NO</td>
</tr>
</tbody>
</table>

24. What retention schedules are used?

<table>
<thead>
<tr>
<th>Schedule</th>
</tr>
</thead>
<tbody>
<tr>
<td>Based on legislation</td>
</tr>
<tr>
<td>Departmental retention schedule</td>
</tr>
<tr>
<td>Others, specify</td>
</tr>
</tbody>
</table>

25. Which of the following statements indicates the nature of appraisal and retention scheduling in your organization?

<table>
<thead>
<tr>
<th>Statement</th>
</tr>
</thead>
<tbody>
<tr>
<td>confirms the value of records before their destruction</td>
</tr>
<tr>
<td>develops record retention schedules in consultation with the Kenya National Archives and Documentation Service</td>
</tr>
<tr>
<td>prepares a list of records that are due for destruction</td>
</tr>
<tr>
<td>transfers records with value to the Kenya National Archives and Documentation Service</td>
</tr>
<tr>
<td>other, please specify</td>
</tr>
</tbody>
</table>

26. What entails the disposal of records
<table>
<thead>
<tr>
<th>Transfer to the archives</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Transfer to records centre</td>
<td></td>
</tr>
<tr>
<td>Destruction</td>
<td></td>
</tr>
<tr>
<td>Other, specify</td>
<td></td>
</tr>
</tbody>
</table>

27. Are ICTs used in the management of records?

<table>
<thead>
<tr>
<th>YES</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>NO</td>
<td></td>
</tr>
</tbody>
</table>

b. If Yes, in what ways are they used?

<table>
<thead>
<tr>
<th>Mail register</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Creating of records</td>
<td></td>
</tr>
<tr>
<td>Storage of electronic records</td>
<td></td>
</tr>
</tbody>
</table>

28. What would you consider to be the advantages of using ICT in records management?

<table>
<thead>
<tr>
<th>Enhanced retrieval</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Keeping of an inventory</td>
<td></td>
</tr>
<tr>
<td>Saves on space</td>
<td></td>
</tr>
<tr>
<td>Minimizes loss</td>
<td></td>
</tr>
<tr>
<td>Backups</td>
<td></td>
</tr>
<tr>
<td>Enhanced sharing</td>
<td></td>
</tr>
<tr>
<td>File/records tracking and keeping an audit trail</td>
<td></td>
</tr>
<tr>
<td>Facilitates easy appraisal and disposal of records</td>
<td></td>
</tr>
</tbody>
</table>

29. What are the likely future priorities of records management in your company?

<table>
<thead>
<tr>
<th>Establishing a records committee</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Setting up a records centre and an archive</td>
<td></td>
</tr>
<tr>
<td>Addressing problems related to computer generated records (electronic records)</td>
<td></td>
</tr>
<tr>
<td>Going paperless</td>
<td></td>
</tr>
<tr>
<td>Employing more records personnel</td>
<td></td>
</tr>
<tr>
<td>Adequate training for the records personnel</td>
<td></td>
</tr>
<tr>
<td>------------------------------------------</td>
<td></td>
</tr>
<tr>
<td>Policing records as a major assets in the organization</td>
<td></td>
</tr>
<tr>
<td>Conducting a records inventory</td>
<td></td>
</tr>
<tr>
<td>Other, specify</td>
<td></td>
</tr>
</tbody>
</table>

THANK YOU VERY MUCH FOR YOUR SUPPORT AND CONTRIBUTION
APPENDIX II: INTERVIEW SCHEDULE

1. What types of records do you produce and are also tasked to handle?

2. Do you have a policy or a guide on the management of records? What aspects of records management does it cover?

3. How is records management conducted in your organization?

4. How do you classify the records in your organization?

5. Is there a budget for records management? What areas does it cover?

6. What methods are used in determining how long records should be kept?

7. What measures are put in place to ensure the security of records?

8. What ICTs are used in the records management practice in your organization and how?

9. What are the challenges faced in managing the records under your custody?