AN ASSESSMENT OF THE PERFORMANCE OF PUBLIC RECORD CENTRES IN FACILITATING PROPER RECORDS MANAGEMENT PRACTICES IN PUBLIC OFFICES IN KENYA

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SEPTEMBER 2017
DECLARATION

I declare that this thesis is my original work and has not been presented for certification in any other university. The thesis has been complemented by duly acknowledged referenced works. Where text, data, graphics, pictures or tables were borrowed from other works, including the internet, they have been specifically accredited and referencing cited in accordance with APA system and anti-plagiarism regulations.

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DEDICATION

This work is dedicated, first and foremost, to the Almighty God through whom all things are possible, my dear parents, the late Merioth Wangechi and Eustace Gathinji who gave and sustained in me the spirit of hard work and resilience so vital in the accomplishment of a feat like this. Dad, I am very glad to have fulfilled the promise I made to you as I was growing up that the sky would be the limit. To my husband Geoffrey and the children; Charles, Diana and Michael; this work is also dedicated to you all for feeling with me.
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ABREVIATIONS AND ACRONYMS

A.R.M.A.  Association of Record Managers and Administrators
C.o.K.  Constitution of Kenya
C.R.C.  County Record Centre
G.D.A  General Disposal Act
I.R.C  Intermediate Record Centres
I.R.M.T  International Records Management Trust
I.R.M.A.  International Records Management and Administration
I.S.O  International Standards Organization
K.N.A.& DS.  Kenya National Archives and Documentation Service
N.A.R.S.  National Archives and Records Service
P R.C.  Public Record Centres/ Provincial Record Centre
R.D.S.  Records Disposal Schedule
R.M.  Records Management
R.C.  Record Centre
R.M.D.  Records Management Division
R.M.P.  Records Management Programme
R.R.M.S.  Regional Records Management Service
U.S.B.E.  United States Bureau of Efficiency
ABSTRACT

Public record centres in Kenya are charged with ensuring proper record management practices by advising public offices on records creation, maintenance, use, appraisal and disposal, in order to achieve efficient, transparent and accountable governance in the public sector. The study was motivated by public outcry in the mass media about delays in information provision and ‘loss’ of records in some public offices in Kenya. A delay in record retrieval can negatively impact on decision making on the part of the organization, frustrations on the part of clients and violation of the provisions of the “Right to Information Act” in the Bill of Rights, Chapter Four of the Constitution of Kenya, 2010, which includes the right of access to information. The study objectives were to: find out the extent to which the policies and procedures in public record centres help in the achievement of public record centres’ goals; assess the effectiveness of the Public Archives (Amendment) Act,(1990) on the mandate of the public record centres, examine the levels of facilitations in relation to equipment, funds and personnel and their effect on service delivery, find out how far awareness creation with their clients could be a factor in the achievement of public record centre goals and, finally determine the constraints that could be hindering public record centres from fulfilling their mandate and suggest solutions. The Theory of Constraints by Eliyahu (1984) and Information Society Theory were used in the study. The research design was descriptive survey design, found suitable for the collection of both quantitative and qualitative data as was on the ground. The target population of the study was the staff and management of the public record centres in Kenya and the Director, Kenya National Archives and Documentation Service (KNA&DS). The study used the whole targeted population because it was small and therefore manageable. The tools of research were questionnaires for the record centre staff, interviews for the record Centre management staff and the KNA&DS Director and an observation schedule. The tools were piloted at Nairobi record centre, selected through simple random sampling using raffle papers. The data collected was analyzed using Microsoft Excel (2013) and Google Drive Spreadsheet software. Quantitative data were interpreted, discussed and presented using tables, graphs and percentages while qualitative data was presented using textual narratives and voices. The key findings were that, public record centres did not have an official National Records management policy, operated under an outdated and incomprehensive legislation and was poorly facilitated in respect to staff, funds, equipment and other facilities. Awareness creation was, also, inadequate due to low levels of funding and staff. The main conclusion was that none of the public centres could adequately perform well enough to fulfill their mandate due to poor facilitation especially in staffing. Main recommendations were that the draft records management policy be officially ratified for proper implementation, the amended Archives legislation Act (1990) be updated to incorporate omissions and emerging issues and also, funding be improved in order to adequately meet the requirements for the expected performance of the public record centres. Included also, is a ‘Performance Improvement Model for Public Record Centres’ and recommendations for further research.
CHAPTER ONE

INTRODUCTION AND BACKGROUND TO THE STUDY

1.1 Introduction

This chapter traces the concept and historical background of both records management and public record centres from a world perspective and Kenya in particular so that the role of public record centres can be put into proper perspective. Also constituting background to this study is the concept of performance assessment in relation to organizations in general and public record centres in particular. This is discussed so that the context of this study may be brought into focus. The chapter also features the statement to the problem, purpose of the study, specific objectives, research questions, scope, limitations, delimitations, theoretical and conceptual framework as well as operational definition of key terms.

1.2 Background to the Study

1.2.1 Background to records management

Records Management (RM), also known as Records and Information Management (RIM) is the professional practice of managing the records of an organization throughout their life cycle from the time they are created to their eventual disposal, (Shepherd & Yeo, 2003).

A record on the other hand, is variously defined but the most comprehensive definitions for the purpose of this study are provided in the International Records Management Standards (ISO 15489, 2001) and International Records Management Trust (IRMT 2013) which define a record as ‘recorded information, regardless of medium or characteristics, made or received by an organization in pursuance of, or in compliance with legal obligations or in the transaction of business.’
International Records Management Trust, (IRMT) is a non-profit making organization created in 1989 in the United Kingdom to strengthen record systems by offering practical solutions to record issues in the management of public sector records based on international good practices. The organization emphasizes that records management is a necessary undertaking in government because, professionally managed records provide the clearest, most durable evidence of any government policies, operations, decisions and activities which are essential for protecting people’s rights and interests and holding officials accountable for their actions, (IRMT, 2015) as retrieved from www.irmt.org.

The benefits of proper records management as outlined by Kimari & Safari (2014) in their study entitled ”Challenges in Managing Public Records in Tanzania”, included space saving, reduction of expenditure in filing equipment, increased efficiency in information retrieval, compliance with legal requirements and control over creation of new records among others. 

Shepherd & Yeo 2003), however lamented that, although governments and businesses have been creating records, organizing them and finally disposing them off for a long time, records management as a programme is a relatively new concept. The writers added that records management was a professional discipline involving application of systematic and scientific control of all the organization’s records during the various stages of their lifecycle, from their creation through processing, distribution, maintenance and use. This is meant to promote economy and efficiency in record keeping by ensuring that useless records are systematically destroyed while valuable information is protected and maintained in a manner that facilitates its access and use.

1.2.2 The origin of records management concept

A concept is ‘an abstract or generic idea generalized from a particular instance.’(https://www.vocabulary.com/dictionary concept); retrieved on 23 Dec 2015). It
is also, understood to be an idea of what something is or how it works. (Merriam-Webster’s Learner’s dictionary (2016) as viewed at www.merriam-webster.com, on 19 Aug. 2015.

According to Unesco (2015) records management is a relatively new concept whose beginnings can be traced to the early years of the twentieth century and only firmly established itself in the post Second World War period even though generation and handling of records themselves have been in existence since ancient times when records started to be created.(http://www.unesco.org/webworld/)

The Federal Government of United States of America (USA) came up with the records management concept and also conceived and implemented many of its core concepts. The programme was soon emulated by the private sector and other public bodies before spreading to the rest of the world. (Robek, Mary, Brown, Gerald, Stephens, David (1997), as quoted by Shepherd and Yeo (2003) who also add that, records management went through some substantial changes during the twentieth century, some of which were reactions to changing requirements in technology and equipment. However, according to Shepherd and Yeo, the take-off did not happen immediately as no company had, as yet, a fully automated filing system that could select individual file folders and deliver them to the work station. This meant that, automation in records management had not fully developed yet.

1.2.3 The origin of national archives concept

The concept of National archive to safeguard and protect vital records of a nation can be traced back to the early formative years of French history after the French revolution of 1789. According to Unesco (2013), as retrieved from www.unesco.org/webworld and www.google.com/url, the archives concept did not come to fruition until June 1934 when the president of France; President Franklin Delano Roosevelt, signed the necessary legislation to create the National archives as an independent agency. Soon after, the
national archives concept spread to other parts of the world, Kenya included, in recognition of the need to preserve their history and information for posterity.

Archival development in Kenya was delayed by historical injustices meted by the colonial government which did not recognize the necessity of proper records management practices and preservation of archival records probably because of fear of reprisals after possible independence. It is on record that, by 1962, the situation in Kenya, in regard to archives was that the colonial government, though conscious of the need to take all steps necessary to preserve and classify materials, was not regarded as a service which should take precedence in the budget over more important and urgent services as viewed at www.emeralsight.com, and (informationscienceblog.blogspot.com>p...).

1.2.4 The development of the archival concept in Kenya

In recognition of the importance of the proper public records management, the government of Kenya established the institution of Kenya National Archives (KNA) in 1965 through an act of parliament; the Public Archives Act (1965) which constituted Chapter 19 of the laws of Kenya. The law began its operations on 25th January 1966. The Act was later revised in 1990 to become the Public Archives (Ammendment) Act (1990) which created the office of Director as well as the National Documentation Service section with the institution’s name consequently changing from Public archives Service to the Kenya National Archives and Documentation service, (KNA&DS),(Gisesa, 2008) as viewed at www.goethe.de.pro.lag.kenya-gisesa (June 9th 2017).

More relevant to this study, however was one of the KNA&DS objectives which was to assist public institutions in the whole country in matters pertaining to good records management through one of the sections called Records Management Division (RMD). The hallmark of this service was in the carrying out of record surveys in government ministries,
departments, parastatals and local authorities. The service also included the selection of records with archival value to be transferred to the National Archives for permanent preservation and access to researchers and members of the public. The RMD department was also supposed to hold seminars and workshops for officers handling public records. All these services were supposed to be coordinated through the extention offices of RMD--provincial record centres, also known as Public Record Centres (Gesesa, 2008) as viewed at www.goethe.de.pro.lag.kenya-gisesa, June 2017.

1.2.5 The origin and development of the record centre concept

Shepherd & Yeo (2003) and Mnjama (2003) defined a records centre (rc), as a temporary storage place for both semi current and non-current records of an organization, supposed to provide low cost, secure storage for records that must be retained but are no longer used frequently enough to justify expensive office storage. This is a comprehensive definition because it reflects the role of record centres as explained by the International Records Management Trust (IRMT), (2013), as a building or part of a building, designed or adapted for the low cost storage, maintenance and dissemination of semi-current records pending their ultimate disposal. However, IRMT’s (2013) definition excludes non-current records also called dormant records as part of records maintained in record centres, essentially because, that is the function of the archives institution. Consequently, the function of record centres according to IRMT(2013) is “to hold semi-current records and make them available for use until the date of their disposal”.

For the purpose of clarification of terminologies, a public record centre and a National archive are two different institutions in relation to purpose in that the former is a low-cost offsite storage facility for state agencies’ semi-current records and has only physical custody of the same while a state archive, also called national archives keeps archive designated
records for appraisal and possible historical preservation and public research while retaining full custody of the same. (Washington State Archives: Isabella Bush Record Centre (2015) as retrieved from www.d>shred.com>record centre. In terms of perception, the two institutions are at separate locations with the record centre perceived to lie between the record creating agencies and the archives institution thus the commonly used term, ‘intermediate record centre’. The illustration below explains the record centre perception in relation to the archives with the arrows indicating the direction of record movement from the creating agencies to the archives through the record centre.

![Record Centre Perception](image)

**Figure 1.1: Record Centre Perception in Relation to the Archive Institution**

*Source: Researcher, 2014*

The record centre concept itself, was first conceived in the United States of America (USA) between 1939 and 1945, as a result of pressure of records created during the Second World War (1939-1945), which caused many changes in society and the economies of the world. The Federal government of the USA, together with the rest of the developed world, recognized the need for controlling the volume of records created both during and after the Second World War. During this period, public office registries experienced serious space problems never before witnessed due to this sudden proliferation of records numbers.

In 1947 and 1955, the first and the second Hoover commissions respectively, were set up in America to study the policies and record needs of the government. The two Hoover commissions resulted in the establishment of a body called “General Service Administration (GSA) to improve government practices and controls in records management as well as oversee reduction of paperwork in each government agency. (en.wikipedia.org / Hoover commission) and Shepherd & Yeo (2003). It was notable from the said sources that these
efforts were widely acclaimed by industry, businesses and lower levels of government who felt the need for setting up programmes for the management of their records.

The Federal Records Act of 1950 established the framework of records management among Federal agencies. At the same time, the National Archives and Record Service of America (NARS), the equivalent of Kenya National Archives, established a series of federal record centres in order to house the records generated during the two World Wars. (NARS 2015). It was from this early development in America that saw the concept of record centre spread rapidly to the rest of the world as need arose.

In Tanzania, the concept of record centre emerged in the 1920s when one British officer discovered, hidden among a mass of German rat and ant eaten documents, secret instructions issued in 1916 by the last German governor that the most valuable government files should be buried in Tabora and other places so as to prevent them from falling into the hands of the British. The discovery of so many government records resulted into the need for an archive institution but, it was not realized until June, 1963 when the independent government of the then, Tanganyika appointed a professional archivist to take over the responsibility of the establishment of a National archive which later established record centres (zonal) in the rest of the country. (GoT, 2015) as retrieved from www.utumishi.gov.tz/archives).

1.2.6 Development of record centre concept in Kenya

In Kenya, the first proposal to embrace the concept of record centres was made by Ian MacLean, a consultant on a UNESCO funded Records Management Mission to Kenya in 1978. After examining the problems faced by government offices in Nairobi and in the outlying provinces regarding the poor storage conditions prevalent, and the inappropriateness of the then “Archives” at Jogoo House basement to meet the demands of additional space, Maclean proposed the establishment of provincial records centres (prcs)
countrywide, also referred to as public record centres, (KNA&DS, 2013) as retrieved from www.kna.go.ke)

Maclean, also recommended the inclusion of “depots” in the new administrative centres being built in all provinces in Kenya and some district headquarters for the storage of records which were being threatened by climatic conditions and attacks by paper-destroying insects though none of those have not yet been established, (KNA&DS, 2015). In addition, Maclean went on to recommend that all the record centre sections be well staffed after outlining the operations and professional services to be offered. (www.kna.go.ke). Thus, in pursuit of Maclean’s recommendations, the following five public record centres were established in Kenya;

- Nairobi Record Centre in 1980 to cater for the then, Nairobi, Eastern and North Eastern Provinces.
- Mombasa Record centre in 1980 as well, to cater for the then Coast province.
- Kakamega Record centre in 1981 to cater for the former Western province.
- Nakuru Record centre in 1983 to cater for the vast former Rift Valley province.
- Kisumu Record centre in 1990, to cater for the then Nyanza province.

Thus, within a decade, (1980 to 1990) five public record centres were established by the government reflecting the need to effectively manage public records in the whole republic as Maclean had proposed in 1978. The provinces mentioned above have since been subdivided into counties after the promulgation of the Kenya constitution in August, 2010, (CoK, 2010).

According to KNA&DS(2015), no other public record centre had been established until 2013 when Nyeri public record centre was established to serve the then Central province which currently constitutes Nyeri, Murang’a, Kiambu, Kirinyaga and Nyandarwa counties (CoK,
2010), previously under the jurisdiction of Nairobi record centre. This implies that the number of public record centres in Kenya is currently six which are still far below the number that Ian Maclean had recommended in 1978.

It is important to note that the Government of Kenya’s new constitution has a devolved government based on the current constitution (CoK, 2010) which created 47 administrative units called counties to replace the former eight provinces. (CoK, 2010). The establishment of the five public record centres in the 1980s and another one in 2013, was meant to take public record management services closer to the people but in the words of the Deputy director KNA&DS, it would be a while before establishing a public record centre in every county due to certain constraints.

1.2.7 Powers of the Director, KNA&DS

The powers given to the Director, KNA&DS according to sections 4 (a) and (b) in the Public Archives (Amendment), Act, (1990) in regard to the records management function of KNA&DS, and thus relevant to this study, were to:

i) Examine any public records, and advice on the care, preservation, custody and control thereof.

ii) Transfer to his custody any public records, which he considers, should be housed in the national archives.

These functions specified in sections 4 (a) and (b) above are supposed to be carried out through the strategies of records survey and appraisal supposed to be laid out in public record centres.
Other types of record centres include those owned by creating agencies themselves, (in-house and off-site record centres), sometimes referred to as store-rooms, strong-rooms or in some cases, archives. There are also commercial record centres which are business premises established by individuals or groups to provide records management services to the private sector, (Shepherd & Yeo, (2003). These types are found in various countries of the world, including Kenya.

All types of record centres are, however, supposed to cater for records at the 2nd and 3rd stages in the life cycle of records called semi-current and non-current stages which are reached when information and records decline in value or become inactive and are then removed from prime office space to a less expensive storage (record centre). (Records and National Archives Division. President’s Office, Public Service Management (2011).

Besides storing semi current and dormant public records, public record centres are mandated to advise public offices in proper record management practices (NARS, 2014b). Proper records management is largely what Cook (1999:5) calls “good records care” which begins with the establishment of policies, procedures and priorities before records are even created. Cook continues to point out that Prcs should alleviate the problem of storage of semi-current and non-current records in public offices because it is expensive and difficult to manage them within the offices of creation.

This is because after a period of time, virtually all records cease to be current within government but some of them cannot be destroyed for legal or other reasons. With time such records become very bulky and hinder proper management of current records thus, interfering with day-to-day running of the business of the organization. This can interfere with service delivery to an organization’s clients.
Shepherd and Yeo (2003:146) also pointed out that ‘good records management practices aim at ensuring that appraisal and disposal decisions are made rationally to protect an organization against legal action because they are able to show that any destruction of records was done as part of normal business practice.

The International Records Management Trust (IRMT 2014) lays great emphasis on the importance of proper records management practices because they help in the protection of civil and human rights, reduction of poverty, control of corruption strengthening of democracy, improvement of services, demonstration of accountability and promotion of economic and social reform. This view is supported by the International Standards for Records Management; ISO: 15489, 2001. (ISO, 2014.)

Among the KNA&DS objectives was to assist public institutions in the whole country in matters pertaining to good records management through one of the sections called Records Management Division (RMD). The hallmark of this service is in the carrying out of record surveys in government ministries, departments, parastatals and local authorities. The service also included the selection of records with archival value to be transferred to the National Archives for permanent preservation and access to researchers and members of the public. The RMD department is also supposed to hold seminars and workshops for officers handling public records. All these services are supposed to be coordinated through the public record centres which are commonly known as Public Record Centres (Kenya National Archives & Documentation Service, 2014).

UNESCO (2013) emphasized the importance of record centres by saying that, the record centre concept is a self justified one because office accommodation generally outstrips the ability of offices, registries and store rooms to store records and yet the records are required
for varying periods of time and need to be retained for some time. In these instances it becomes necessary to provide a record centre. (www.unesco.org/webworld/)

Unesco reiterated that no government can function without records. If the records exist and they are not well managed it is equally difficult to achieve efficiency. This forms the basis for the mandate of the public records centres which is to advise public office registries on records management issues by ensuring proper creation, maintenance, use, and disposal of records to achieve efficient, transparent and accountable governance with the help of a sound organizational records management programme under the organizational management policy. This theme is supported by the International Records Management standards; ISO 15489:2001; (Retrieved, 16 Dec, 2013). Which require that organizations operate under official Records Management policies and guidelines.

At the same time, record centres provide space for the storage and care of semi current records if creating agencies cannot accommodate them for lack of space. Without the record centres, creating agencies would experience retrieval problems because of mixing active records with semi active ones. Public record centres are also supposed to help creating agencies to appraise dormant records first so that their value can be established. The national archives are supposed to take only those records with research value which is barely one tenth of what the public offices create. (Shepherd & Yeo, 2003)

Destroying the dormant records before they are appraised would mean destroying the history and heritage of the country. The records with research value need to be preserved for future generations. The other options for the creating agencies are to store all the records they have forever. This is not practicable because the cost would be enormous if not impossible.

Mnjama (2003) hassinged out the main purposes of the record centres as to advise public office registries on proper record management practices through helping them to develop file
classification scheme, create file retention and disposal schedules, create relevant records, acquire proper records storage equipment, adopt proper appraisal and disposal procedures, follow the appropriate record-transfer and reference procedures, survey, appraisal and transfer of semi current and dormant records to the record centres as well as training of registry personnel among other functions. This is also indicated under ‘services offered by KNA&DS’ in its website, (KNA&DS 2014).

Public record centres cannot carry out the above functions unless they are adequately facilitated by the parent institution (KNA&DS) and by extension the parent organisation which is currently, the Ministry of sports, Culture and the Arts by giving them the required number of staff, sufficient facilities and equipment, the necessary funds, proper accommodation for both staff and records among other necessary requirements. Several studies, for example, Mnjama, (2003), Kemoni (1988) Wamukoya, (1996) and Cook, (1999, have revealed that record creators in Public offices in Kenya have continued to experience record management problems emanating from inability to organize the registry functions efficiently.

Mnjama (2003) has correctly intimated that the record centre is a branch of the archival facility of a given country and therefore an essential element in the records and archives institution as well as a principal component of a government and therefore, should operate efficiently. The writer continues to state that for this to happen, the record centre policies should be clear and appropriate in order to be able to properly carry out all the activities expected of a record centre institution. This assertion confirms the necessity for a records management policy.

Other requirements of a record centre are that during the planning stage, decisions have to be made on issues that include: location, staffing, accommodation, authority, service levels,
finances and communication technology among others as stipulated in a study programme titled ‘Managing records in a record centre: Record Centre Concept presented under the auspices of International Council of Archives and International Records Management Trust. (IRMT 2015) as viewed at www.irmt.org>IRMT-Recordcentres. This is a reference to the importance of proper facilitation of record centres as well as ensuring that the record centres are purpose-built for proper performance.

Full facilitation of record centres by way of adequate finances and full staff establishment levels are identified in the ramp study as essential components of a record centre in order to efficiently carry out the required activities which include liaising with creating agencies, receiving records from creating agencies, retrieving records on demand, retrieving records for transfer to the archives or disposal, communication and technology. To ensure that public record centres effectively carry out their activities, there is need to have their performance assessed which leads to another dimension of this study; the concept of organization performance which is explored below.

1.2.8 History of performance measurement

Performance measurement is an old concept dating back to 1943 when the International City Management Association published an article on measuring the performance of Municipal activities in the United States of America. Performance measurement however became a common practice in the 1970s with the introduction of new social programs in the U.S.A. that needed to be assessed. (Needy & Adams, 2002).

In the 1990s, the process gained momentum due to the demands for holding governments accountable to the public interest. Governments in U.S.A were urged to set goals and measure their performance. As a result of this demand for accountability, the Federal Government passed the ‘Government Performance and Results Act in 1993 requiring their
agencies to become involved in strategic planning, goal setting and performance measurement. (Neely, Adams, and Keenerly, (2002).

1.2.9 Organizational performance

Organizational performance is a measure of how effective an organization is achieving the outcomes it intends to achieve. It is also called outcome accountability which is the extent to which an organization achieves specified levels of progress towards its own goals (Mitchell, (2012). The writer continues to say that organizational performance comprises the actual output or results of an organization against its intended output, goals or objectives. It is viewed as an area of interest to strategic planners operations, finance, legal and organizational development.

1.2.10 Performance measurement

Moulin, (2007) and Ben, (2003) have defined Performance Measurement as a process involving collection, analyzing and reporting information regarding the performance. It can involve studying processes or strategies within an organization to see whether outputs are in line with what was intended or should have been achieved. On the other hand, performance assessment or evaluation is a way of helping to find out how good or bad service provision is; it relates performance to objectives. (Morgan, 1995). Morgan continues to say that performance assessment may be based on either the organization itself or other similar organizations. Performance can also be assessed against preset norms or standards (as was applicable in this study) which however, should be updated from time to time to take account of changing circumstances.
1.2.11 Purpose of performance measurement

According to Moulin, (2007) and Ben, (2003) Performance should be measured to find out whether an organization is under performing so that performance can be improved. The authors explain performance improvement as a measure of the output of a particular business process or procedure which is then modified to improve output, increase efficiency and effectiveness of a process or procedure. The authors add that the primary goals of organizational improvement are to improve organization effectiveness and efficiency and also improve the ability of an organization to deliver goods and services.

Performance measurement, assessment and evaluation are terms that can be interchangeably used because they mean the same thing. Mathews, (2006) says that the terms refer to the systematic process aimed at measuring the efficiency and effectiveness of a certain activity and offer a value judgment in terms of some criteria such as goals and objectives. The author also adds that assessment is more of a United Kingdom term whereas ‘evaluation is American. Both terms involve a practical activity.

The following is a simplified System Model of Performance Assessment that can be used to explain the concept of performance as was explored in the study. According to this model, the output determines the performance of the organisation.

![Figure 1.2: A Simplified System Model of Performance Assessment](source)

*Source: Researcher (Adopted from Mathews, 2006)*
The preceding sections have looked into the concept of organizational performance from a general perspective. What follows is a background to the study problem, which is the performance of public record centres.

1.2.12 Performance of Public Record Centres
The sole purpose for establishing public record centres, which go by different terms depending on the country where they are found, is to ensure proper records management practices in the respective government offices. This is because, according to the International Records Management Trust, no government can function without properly managed records as this can affect both the efficiency and effectiveness of their services, (IRMT, 2014). Public record centres have therefore, a very important mandate of ensuring that public office registries put in place the right infrastructure for best record management practices in the creation, maintenance, use and disposal of their records. This can only happen where the public record centres are performing as required.

Kemoni’s findings were similar to those of other studies which included Shepherd and Yeo, (2003), Mnjama, (2003), Githaka, (1997) and Cook, (1996), all of which revealed poor records management practices in public offices in Kenya. Cook, (1999) had, himself pointed out that record creators in government offices continued to experience record management problems ranging from disorganised registry systems to disposal of ephemeral records. Much later, studies done by Githaka, (2006) and Mnjama, (2003) confirmed the same sentiments saying that even though KNA&DS had made major strides in developing record services by opening regional record centres (public record centres), problems were still prevalent in the management of public records. This was a clear indicator of poorly performing public record centres.

In Tanzania, Kimari and Said (2014), in their study entitled, ‘Challenges in Managing Public Records in Tanzania’ decried the same poor state of records management which also implied that thezonal record centres, the equivalent of public centres in Kenya, were not fulfilling their mandate. Apparently, public record centres worldwide seemed not to be carrying out their mandate as expected because several studies hosted by IRMT and other organisations, reveal the same findings of poorly managed public records. For example, Government Record Service, (2011) as viewed at www.grs.gov.hk>engimages>grmp-e, International Records Management Trust (2016) as viewed at www.irmt.org-IRMT-Recordcentresand http://www.irmt.org, have emphasized the dire need to properly manage public records saying that records management is an important function in an organisation and that proper record keeping is evidence of a well governed organisation and that it should be seen as an integral part, rather than incidental to the business in terms of strengthening corporate governance and promoting management practices.
1.3 Statement of the Problem

The Kenya Bill of Rights (Chapter 4, section 35 subsections (a) and (b) of Constitution of Kenya (CoK) (2010) stipulate that every citizen has the right of access to information held by the state as well as that held by other persons and required for the exercise or protection of any right or fundamental freedoms. Public record centres are mandated to ensure that the State, through its various offices, creates relevant, accurate and reliable information which is then managed properly to be provided to the citizens of the country on demand. Timely and reliable provision of information to the public provides the foundation for accountability in the public service and is the basis for good governance and development as provided for in the Kenya Bill of Rights, Chapter four, section 2 which states: “Every person shall enjoy the rights and fundamental freedoms in the Bill of Rights to the greatest extent consistent with the nature of the rights of fundamental freedoms.” (GoK, 2010).

Furthermore, information is power and indeed, a factor of production without which development will be affected. This information is stored in records which, should be made easily available to individuals and organizations when and where it is required and in the form it is required.

Public record centres have a significant role to play in the management of public and even private sector records because they are charged with ensuring that public offices manage the records properly. In this respect, record centres should be functional because without functioning record centres, it would be difficult to carry out record surveys and record appraisals in the public offices countrywide. These two activities are at the centre of proper records management practices.

The need to improve records management practices in the public sector cannot be over emphasized because, only when public records are properly managed can they be
readily available, maintained for future use, controlled, appraised and disposed of in the right manner. In this way Public bodies can be accountable to the taxpayers because the latter are able to access the information they need.

Studies cited earlier, which include Kemoni, 1988, Wamukoya 1996 and Githaka 1997 revealed that public offices in Kenya are not managing their records properly. The reason given for this state of affairs was the inability of public record centres to carry out their mandate of providing advisory services in records management.

The above observation was supported by Mnjama (2003) who regreted that, even though Kenya National Archives and Documentation Service institution had made major strides in developing records services by opening regional centres (read public record centres), major aspects of managing public sector records remained chaotic. The writer continued to lament that regulations governing the management and disposal of public records were being flouted by many civil servants, bringing to the fore, a clear indicator that public record centres were facing certain constraints which required to be investigated.

The current study was also motivated by a report that appeared in one of the Kenya Media Houses to the effect that, Police were poor in the keeping of records and did not properly preserve exhibits in an article entitled, ‘“Top cop reveals rot in police stations,”’ (Mukinda, (2014); Daily Nation, Thursday March 2014):8. This statement was attributed to an anonymous senior officer from Kenya Criminal Investigation Department, Inspection section who could not retrieve required records from one of the police registries reportedly because of lack of proper arrangement of records. There had also, been a public outcry over poor registry services at the Lands and Physical Planning office at Ardhi House, Nairobi as reported in an article entitled ‘Seeking sanity at Ardhi House.’ This outcry prompted the then Lands, Housing and Urban Planning cabinet secretary, Charity Ngilu to close the offices
for ten days to re-organize the filing system. The same article contained a World Bank report that indicated that, “it took more than seventy days for one to do land searches and acquire a title deed in Kenya.” According to the cabinet secretary, that should take less than six days (Merab 2014:2). All these problems could be attributed to poor records management practices in those government offices and the same cannot be ruled out in other public offices.

1.3.1 Purpose of the Study

The current study sought to assess the performance of public record centres, (the Records Management Division of KNA&DS) in the facilitation of proper record management practices in public offices in Kenya, with a view to finding out the level of that facilitation and the constraints public record centres might be facing and come up with appropriate recommendations which, if implemented, would lead to effective and efficient delivery of services in respect to public access to information. This would lead to promotion of democracy and accountability in the government as provided for under the Bill of Rights, Chapter Four of the Constitution of Kenya (CoK 2010).

1.4 Objectives of the Study

The objectives of this study were to:

1. Establish the extent to which the policies, regulations and guidelines used in the public record centres help in the achievement of their goals.


3. Find out the extent to which public record centres in Kenya are facilitated by government in order to fulfill their mandate.
4. Explore the extent to which awareness creation with the public centre clients could be a factor in the performance of public record centres.

5. Establish the factors that negatively impact on the performance of the public record centres.


1.5 Research Questions

1. Are the policies and guidelines used in the public record centres effective in meeting their goals?

2. Does the current archival legislation provide the public record centres with their requirements for good performance?

3. To what extent does the level of facilitation by government influence the performance of the public record centres?

4. To what extent is awareness creation with the public record centre clients a factor in the accomplishment of record centre goals?

5. What challenges are likely to affect the performance of the public record centres?

6. In what ways can the challenges affecting the performance of the public record centres be resolved?
1.6 Assumptions of the Study

The assumptions of the study were as follows:

1. That public record centres were operating on the basis of the necessary national policy, regulations and guidelines.
2. That the record centre operations were anchored on an adequate legislation framework.
3. That the public record centres were not well facilitated in terms of equipment, staff and funds.
4. That awareness creation for services available in public record centres was insufficiently done.
5. There were challenges affecting the performance of public record centres which should be resolved.

1.7 Significance of the Study

The study was intended to bring into focus the constraints that public record centres might be facing in the execution of their mandate of helping public offices manage their records properly, thus affecting their performance. The outcome and recommendations of the study may prompt the government to provide public record centres with the necessary facilitation in order for them to carry out their functions effectively and improve their performance. The report can also serve as a feedback to the Department of Kenya National Archives & Documentation Service (KNA & DS) management and its parent ministry on the reasons for underperformance in the public record centres.

In addition, the findings of this study could create awareness of the public sector record managers who might not know about the existence and purposes of the public record centres. From the experience of the researcher, some government registries are run by non -
professionals with little understanding regarding the records management procedures. Finally, the findings of this study would definitely, provide study materials for students undertaking Records management courses in universities and other learning institutions as well as provide a reference for future researchers.

1.8 Scope of the Study

It was the intention of the researcher to carry out a comprehensive survey of all the five Public record centres, (Nairobi, Mombasa, Nakuru, Kisumu, and Kakamega). This was because, in the researcher’s view, each record centre might have unique challenges related to geographical jurisdiction and location because these were different for each public record centre. For instance, Nairobi and Nakuru public record centres serve very large areas compared to Kisumu and Kakamega public record centres. As such, a case study would not be appropriate because the findings cannot be generalized. This was proved to be true through the data collected from each record centre.

Kenya National Archives and Documentation Services was included in the study because the Director was required to provide information on policy, regulations and guidelines, legal framework, staffing and other forms of facilitation as well as performance evaluation data since the Director was the one in-charge of Public record centres.

1.9 Limitations of the Study

Orodho (2010) states that limitations are an aspect of the study likely to adversely affect the results or their generalization but over which the researcher has no direct control. They can also be referred to as shortcomings, conditions or influences that cannot be controlled by the researcher although they are likely to place restrictions on the methodology and/or conclusions. This study had the following limitations:
Possible staff absence and lack of cooperation can at times negatively impact on response rate in data collection. The geographical dispersion of the public record centres under study would have taken a substantial amount of time and money to cover in the time available.

Both limitations did not affect this study because the staff turned out to be very cooperative after the researcher explained the purpose of the study to them which apparently was something they wished could be done probably because of the constraints they were going through. The limitation of geographical dispersion was circumvented through use of the Kenya Posts and Telecommunication registered parcel services in sending staff questionnaires earlier and the willingness of the managers in each record centre to receive the questionnaires and distribute them among the staff for the researcher to collect after two weeks. This was due to the letter of introduction provided by the Deputy Director, KNA&DS. (Appendix 8).

1.10 Delimitations

Delimitations are choices made by the researcher to describe the boundaries that the researcher has set for the study and they define the parameters of a given study or the boundaries that will be set by the researcher for a given reason or reasons. (www.phdstudent.com>stating –the-obvious…). The basis of the delimitation for this study was the fact that there are different types of record centres but the current study focused on public record centres and not other types of record centres, such as commercial/private, in-house/offsite which were not relevant to the study because they are not involved in the management of public records.

The study did not, also, include public office registries because it was on performance of public record centres not public office registries. The latter are recipients of the services from public record centres and their performance has also been revealed in many studies which
include Kemoni (2007), (Mnjama, 2003) and Ngulupe & Tafor (2006) which actually, motivated this researcher to do the current study.

1.11 Theoretical and Conceptual Frameworks

1.11.1 Theoretical Framework

i) Theory of Constraints (TOC)

A constraint is anything that prevents the organization from making progress towards its goal. (VorneIndustriesInc2011-2016) viewed at (www.leanproduction.com). A constraint can also prevent an organization from recording a good performance. According to Wikipedia (2016) viewed at http://en.m.wikipedia>wiki>theory-of-constraints, the Theory of Constraints (TOC) is a management paradigm that views any manageable system as being limited in achieving its goals by a very small number of constraints. The theory of constraints is also understood to be a methodology for identifying the most important limiting factor or constraint that stands in the way of achieving a goal and then systematically improving that constraint until it is no longer the limiting factor. It works on the premise referred to as ‘the big idea’ which is that ‘Every process has a constraint (bottleneck) and focusing improvement efforts on that constraint is the fastest and most effective path to improved profitability’.

The theory of Constraints was introduced by Dr Eliyahu M. Goldratt in his 1984 best-selling novel titled “the Goal” that was geared towards helping organizations continually achieve their goals. Since then, TOC has continued to evolve and develop and today, it is a significant factor within the world of management best practices.(Vorne Industries Inc 2011-2016) viewed at (www.leanproduction.com).
TOC advocates that before the goals can be met, necessary conditions must first be met. These include, safety, quality, legal obligations among others. The theory is based on the premise that the rate of goal achievement by a goal oriented system is limited by at least one constraint. To deal with the constraint, TOC advocates that ongoing improvement efforts be centred on the organisation’s constraints. A common approach in categorizing constraints according to TOC involves categorizing them under physical constraints which include not only equipment but also other tangible items such as material shortages, lack of people or lack of space.

The other category of constraints is policy, meaning required or recommended ways of working, for example, company procedures government regulations et cetera. Surprisingly, in many organizations, policy is the most common form of constraint. Policy constraints are addressed through the three questions in the thinking processes, that is: What needs to be changed? What should it be changed to? and What actions will cause the change? The thinking processes are designed to effectively work through these questions and resolve conflicts that may arise from changing existing policies.

In relation to equipment, the theory of constraints focuses on the way the organisation’s equipment is currently being used which may limit the ability of the system to produce more goods or services. Where people are concerned, the theory focuses on whether they are skilled enough because lack of skilled people limits the organisation’s ability to achieve its goals. In regard to policy whether written or unwritten, the theory of constraints stipulates that it may limit the organization in production of goods or services thus, hindering the achievement of its goals.

The theory of constraints provides a specific methodology for identifying and eliminating constraints referred to as ‘The five Focusing Steps’ and says that the systems constraint
should be identified in order to decide how to exploit it. After that, everything else should be subordinated in pursuit of the decision taken. The next step would be to elevate the system constraint or constraints. The methodology adopts a cyclic process as illustrated below;

![Diagram of the Five Focusing Steps Used in Eliminating Constraints](www.leanproduction.com)

**Figure 1.3: The Five Focusing Steps Used in Eliminating Constraints**

Source: Vorne Industries Inc 2011-2016; retrieved from www.leanproduction.com

Figure 1.3 illustrates how TOC seeks to provide precise and sustained focus on improving on the current constraint until it no longer limits throughput (Throughput is a measure of how many units of information a system can process in a given amount of time), at which point the focus moves to the next constraint. Its power lies in its ability to generate a tremendously strong focus towards a single goal and to removing the principal impediment—the constraint—to achieve more of that goal. The five focusing steps can further be identified as the identity step, the exploit step, the subordinate step and the repeat step. (www.leanproduction.com)

It is crucial that focus is created on one constraint at a time, and once the constraint is resolved, the next constraint should immediately be addressed. (Vern Industries Inc; 2011-2016; www.leanproduct.com). According to TOC, performance in an organization can be
elevated at step four where substantive changes are made to break the constraint. These changes may necessitate an investment of time and/or money in order to add equipment or hire staff.

Dr. Goldratt has been criticized for lack of openness in his theory with some writers accusing him of not being scientific enough by not putting all the tools he used in the public domain. Gupta and Snyder (2009) have argued that, despite the theory being recognized as a genuine management philosophy nowadays, TOC has reportedly failed to demonstrate its effectiveness in the academic literature and cannot qualify to be called a widely recognized theory. Another limitation leveled at TOC by Nave (2002) is that, it does not take employees into account and fails to empower them in the production process. Nave also accuses the theory for not addressing unsuccessful policies as constraints.

However, the various criticisms have been watered down by Mukherjee and Chatterjee (2007) who argue that much of it has been on lack of rigour in Goldratt’s work but not the bottleneck approach saying that the two are very different. The theory of constraints was relevant to the Study given that it was on the assessment of the performance of public record centres which are organizations in their own right. The theory brings out the fact that the performance of any organization may be affected by the constraint(s) it might be experiencing.

Secondly, the theory addresses the issue of constraints that can affect organization performance and lead to failure in achieving an organization’s goal which is the focus of this study. The theory goes on to identify what the main constraints are likely to be and how they can be addressed for the purpose of the achievement of an organization’s goal. The theory, therefore, helped the researcher in coming up with some of the recommendations for this research. In addition to TOC, the researcher incorporated Information Society Theory (IST)
to complement TOC because the latter theory had some relevance to this study as expounded below.

**ii) Information Society Theory (IST)**

Information society theory (IST) formed the basis for this study because of its emphasis on the importance of information and its timely access by the users. This emphasis validates the need for proper creation, organization and storage of public records through the activities supposed to be carried out by public record centres.

IST was developed and popularized by Daniel Bell, a Harvard University American sociologist in his work entitled: “The Coming of Post Industrial Society: A Venture in Social Focusting” in 1973 and 1999, as quoted by authors who include Kalantizis (2015), Laszlo (2007), Yollanda & Williams (2001) among others.

Information Society theory is variously defined, but three definitions by Laszlo (2007) standout because of their direct relevance to information as contained in records. The said writer defined information society as a social structure based on the free creation, distribution, access and use of information and knowledge. The author goes further to clarify that an Information society is one where creation, distribution, use, integration and manipulation of information are a significant economic, political and cultural activity and also that, it is a social structure based on the free creation, distribution, access and use of information and knowledge. The concept can also be understood to refer to “a new type of society where the possession of information rather than material wealth is the driving force behind its transformation and development and where human intellectual creativity flourishes,” (Kalantizsis, 2016) as retrieved from www.newlearningonline.com.
According to Laszlo, (2007), information society theory as currently used emerged in Japan social sciences in the 1960s and was used to refer to an emerging social economic entity, namely, Post Industrial Society and white collar revolution, whose infrastructure as described by Bell (1999) and quoted by Laszlo (2007), was communication while that of industrial society was transportation.

According to Kalantzis (2015), the phrase ‘post-industrial society’ is now used widely to describe the extra-ordinary range of changes that run through the social structure of the emerging post industrial world which represents new principles of innovation, new modes of social organization and new classes in society.

From the above definitions, Information Society theory is about the importance of information in society and the shift that occurred in the United States of America—from an industrial to an information society. According to Bell (1999) the number of employees producing services and information is an indicator of the informational character of a society and that a post-industrial society is based on services. The writer went on to add that, what counts is not raw muscle power, or energy, but information. Bell also added that a post industrial society is one in which the majority of those employed are not involved in the production of tangible goods, thus there is a movement from manufacturing of goods to service economy comprising theoretical knowledge, technology and information as the commodities.

Daniel Bell’s theory reflected the observation of Robeck et al (1996:14) who had intimated that the transformation from industrial society to post-industrial society, also called information society, was “as profound as that from an agricultural society to an industrial one”. The authors went on to add a significant part of their argument by saying that all that is required for this transformation to information society is proper information
management—the administration of information, its use and transmission and the application of theories and techniques of information handling systems. The argument above brings into focus the relationship between Daniel Bell’s Information Society Theory and the need for proper records management practices wherever the records may be, which includes public offices.

The relevance of Information Society Theory to this study is that the twenty first century is a post industrial society period where possession of both information and knowledge is power. Government bodies have a responsibility to provide this information to further democratic process in the country. Making information accessible to the public is not an option for government offices because they have an obligation to adhere to the provisions of the Constitution of Kenya (2010), clause 35 in regard to Freedom of Information Act. For this to happen, the records with the needed information should be properly managed for information to be accessible whenever and however it is required (Kegoro, 2014).

Information Society Theory is, therefore, relevant to this study because it lays emphasis on the importance of knowledge and information. Knowledge and information can only be obtained through proper records management made possible through the intervention of public record centres. Such public record centres can do so only if they are empowered through the provision of sufficient funds, facilities, equipment, well qualified and sufficient staff as well as relevant legislation. This study is about Assessment of the performance of public record centres in the facilitation of proper record management practices in Public offices in Kenya. It is about finding out the constraints that could be preventing public record centres from facilitating proper record management practices in public offices in Kenya given the poor performance of the latter so that information can be readily provided to those who need it, not as a privilege but a right as provided for in the 2010 constitution Bill of Rights.
Information age requires managers of information and records to properly organize, preserve and secure information so that it can be readily available to those who need it to make the necessary decisions both as organizations and individuals. The essence of this study is to find out why, given the instances cited earlier, public record centres are falling short of their mandate. Thus the relevance of Information Society Theory to this study.

1.11.2 Conceptual Framework

Orodho (2010) states that a conceptual framework is a model of presentation where a researcher illustrates the relationship between the various variables in the study to be undertaken. It is also called an abstract representation connected to the research project’s goals that directs the collection and analysis of data. This makes conceptual framework a hypothesized model identifying the various concepts under study and how they are supposed to interrelate for the intended objectives to be achieved. (Mehta, 2010).

The conceptual framework for this study was based on the requirements for the facilitation of the public record centres to enable them to carry out their mandate of providing records management services to government ministries, departments, local authorities and parastatals leading to proper record management practices in public offices. (NASA, 2014). This would lead to public access to information which is the recognized in the Constitution of Kenya, (2010).

The independent variables for this study were the inputs for the facilitation of public record centres which included policy guidelines, the necessary legislation and review, human resource, funds, facilities and equipment as well as awareness creation. Proper facilitation would ensure that public record centres carry out their functions as per the policy leading to good performance in their work, all other things being equal.
The dependent variable was ‘good performance’ by public record centres and the subsequent proper records management practices in public offices in Kenya. However, this dependent variable would not be realized unless the intervening variables are avoided. Intervening variables tend to disrupt the expected influence of independent variables on the dependent variable as explained by Tolman (2014) viewed at www.statisticsshow.com/pdf/2013/July.

The intervening variables in this study included outdated and/or inadequate policies, regulations and guidelines, non-currency and/or incomprehensive legal framework. Unprofessional and/or insufficient staff, delayed and/or insufficient funding, unsuitable and/or insufficient facilities and equipment, and absence of/or inappropriate methods of awareness creation. The stakeholders who were the expected providers of the various inputs (independent variables) in this whole scenario included the following:

The Kenya National Archives, Records Management Division, through the various public record centres is mandated to carry out the necessary records surveys to obtain details about how public offices manage their records and provide advisory services on the same. This would lead to proper records management practices (dependent variable) which in turn would mean good performance of public record centres because this was what they were mandated to do in public offices. The facilitation will promote efficient, accountable and transparent governance through proper management and care of public records and the consequent efficient delivery of the necessary services to the public.

Public record centres are the extension of Records Management Division of KNA&DS management and their role is to help public office registries manage public record properly through creation of the tools necessary for the appraisal and disposal of semi-current records. Such records would then be transferred to the record centres to create storage space for the
current records while still being accessible to their creators. Eventually the records would be appraised and disposed of accordingly as advised in KNA&DS guidelines (2014).

The Ministry of Sports, Culture & the Arts as the parent organisation for KNA&DS would facilitate public record centre activities by providing the necessary funding for purchase of equipment and other facilities as well as sufficient and qualified manpower to the record centres so that they can efficiently play their advisory role on record management practices in government offices.

The Kenya government’s role would be the provision of the necessary legislation through parliament to enable KNA&DS and by extension, the public record centres obtain the legal authority required to facilitate the necessary record management practices in the public offices. Legislation is an important aspect in proper functioning of a record centre because it forms the legal framework for formulation of policies and guidelines as well as determination of sources of funding. The law should be as comprehensive as possible, thus should be reviewed regularly as changes occur.

Policy regulations and guidelines would help public record centres to make proper decisions so as to achieve rational outcomes. Policies provide a uniform way of doing things in an organization. Comprehensive and updated policies ensure that all function and other emerging issues are catered for. The policy should be written for consistent application irrespective of who is in charge.

Finances would help in the training of record centre staff to be able to carry out their mandate. This staff would in turn train public office staff in proper record management practices through seminars and workshops. The same finances would cater for the purchasing of stationery, accommodation and sustenance during record survey activities. Sufficient facilities and equipment would be necessary in record centres to cater for
storage and movement of records within the record centre, preservation and security of records as well as office requirements.

Human resource is also an essential requirement in record centres. This should include both management and workers in a record centre. There are international standards set by recognized bodies that provide the guidelines in relation to numbers of staff and their qualifications for proper functioning of the record centre. The outcome of a concerted effort by all stakeholders in the provision of the necessary inputs would be well facilitated public record centres capable of good performance in ensuring proper records management practices in public offices in Kenya and the consequent adherence to the provisions of the Kenya constitution 2010 as far as public access to information is concerned. The interaction among the various variables is illustrated in the conceptual framework, (Figure 1.4).
Figure 1.4: Conceptual Framework

Source: Researcher, 2015
1.12 Operational Definition of Terms

The following terms are explained in the context of their use in the study and are alphabetically arranged. Their various references are included.

**Archive institution**: A building set aside for the management of records with archival value after their appraisal in the public record centres.

**Director**: The person in charge of the institution of Kenya national archives and documentation services for the control and preservation of all public archives and public records.

**Performance**: The level of accomplishment by public record centre against given pre-set, known standards in policy documents.

**Performance assessment**: A process of finding out how good or bad services of public record centres are by relating performance to objectives.

**Public Archives**: All public records and other records which are housed or preserved in the national archives or which are deemed to be part of the public archives.

**Public records**: All records, regardless of format, characteristic or means of transmission (papers, letters, maps, books, tapes, photographs, films, sound recording and data processing software produced or received by any state agency or its officers or employees in connection with transactions of public business. State and local government records that are created in accordance with state law or in connection with public business transactions by officers or agents of the state counties, cities, towns or any other public authority or political entities. (Kimario, Martin & Said, Jafari 2014), State of Florida Statutes, section 119.011 (12), F. S. http://dlis.dos.state.fl.us/Recordsmanagers
Public Record centre: A building specially designed or adapted for the low cost storage and maintenance of semi-current records from public offices, pending their ultimate destruction or transfer to an archive repository. (www.publicrecordcentre.com)

Records: All recorded information regardless of medium or characteristics made or received by, and used in the operations of an organization in pursuance of, or compliance with legal obligations or in the transaction of business. /something that represents proof of existence and that can be used to recreate or prove state of existence regardless of medium or characteristics. (sos.mt.gov>record)/ www.archives.gov/research/a..

Records Management (RM): The field of management responsible for the efficient and systematic control of the creation, receipt maintenance, use and disposition of records./The process of planning, organizing, staffing directing and controlling all the steps involved in the life of a record from the time the record is created until its final destruction or permanent storage. (United States Department of Defense Standards (2007 ISO 15489-1:2001).

Throughput: A measure of how many units of information a system can process in a given amount of time
CHAPTER TWO

REVIEW OF RELATED LITERATURE

2.1 Introduction

A literature review is said to be a critical and in-depth evaluation of previous research and explains how the previous research integrates into the proposed research study. It is also said to be a survey of books, scholarly articles and any other sources relevant to a particular issue. (Labaree, 2009) as viewed at libguides.asc.ed>writingguide>literat.

Mugenda and Mugenda (2003) have correctly said that the purpose of literature review is to determine what has been done already that is related to the research problem with a view to providing a framework within which the research findings will be interpreted. The literature review also indicates the gap in each case which the current research wished to address. This was based on the specific objectives of the study, namely; policy guidelines, effectiveness of the current Archives Legislation framework, adequacy of current human resource, equipment and facilities, extent of awareness creation by public record centres and finally possible challenges so that the same will be used to compare with the findings of the study and thereafter make the necessary conclusions and recommendations.

2.2 Policy Guidelines for Public Records Centres

A policy is a broad written statement outlining the purpose, objectives and conditions that define the scope of an organization’s activities, the authority under which it operates and the goods or services it is created to offer (Dawson, 2015) as viewed at http://archives.alaska.gov/recordsmanagement.html. Dawson continues to say that the purpose of a policy is to establish principles, accountabilities and obligations relating to records and information.
management that would ensure that records are managed in a way that supports the efficient and effective functioning of a state.

A policy document is the most basic of an organization’s tools because it clearly indicates the role, purpose and objectives of a given organization. Thus, it is a statement about an intended action meant to guide stake holders on how it should be carried out and it should be formulated as soon as possible after the decision to establish an organization is reached. Using the policy as a base, the archivist can design specific services and develop procedures and forms for accomplishing the work.

The purpose of a policy framework is to facilitate standardization in the application of procedures and practices in the management of records and it takes cognizance of established laws, regulations and internationally accepted records management standards. It sets out the broad philosophies and limits of the programme and establishes the administrative machinery to operate it (Dawson 2015). Going by this content, it is clear that in the absence of such policy guidelines, there are likely to be inconsistencies, omissions and commission errors which can lead to serious repercussions in records management.

Cook (1999) asserts that good record care begins with establishing policies, procedures and priorities before records are even created. Makotsi (2004) confirms the above by indicating that a policy is about where, when, for whom and by whom in relation to a given undertaking. He continues to say that a policy should be comprehensive and workable to avoid gaps and inconsistencies that might affect the intended outcomes or results.

Policies can be either written or unwritten but according to Ngulube (2003), any of these can work as long as the rules of flexibility and dynamism are observed. However, when policies are written, they can be a reference tool for evaluation, staff training and other relevant functions in an organization.
Public record centres, being organizations in their own right require policy guidelines which should be provided by the government and interpreted by the Parent organization; Kenya National Archives and Documentation Service (KNA&DS). Towards this end, the Ministry of Sports, Culture and the Arts under which KNA &DS falls stated that the principle legal instrument for the management of public records and archives is the Archives and Documentation Service Act (Cap. 19) and other related Acts, subsidiary rules, regulations and circulars which shall be implemented in line with the Archives Act Cap. 19.

There are certain areas that should be covered under the policy of a given organization to provide guidance in the management of records for the purpose of ensuring that accurate and reliable records are created, used, maintained and disposed as a continuum of care. To this end, all public organizations are supposed to design systems and procedures to ensure that accurate and reliable records are created and maintained with the help of public record centres. In public record centres, The Director KNA &DS is expected to implement the policy guidelines by identifying the functions, requirements, staff establishment, location, accommodation and storage, security of records and management of public record centres. These aspects constitute the core of this study in that, if the same are inadequately provided for, record centres cannot fully accomplish their mission.

2.3 Legal and Regulatory Framework for Records Management

2.3.1 Introduction

A legal framework is a reference to the laws and regulations that provide or outline the legal requirements to be met and are usually complemented by policies, standards, directives and guidelines as indicated at the website blog, [https://coolmax.blogspot.co.ke](https://coolmax.blogspot.co.ke). In relation to public record centres, a legal and regulatory framework may be said to be the authority required by public record centres to facilitate the necessary record management functions in
public offices in Kenya. It does so by helping in the formulation of policies and guidelines as well as determination of sources of funding among other things. To be able to meet these requirements, the legal framework should be both comprehensive and current.

2.3.2. Content of a legal framework

According to the Association of Commonwealth Archivists and Record Managers (ACA&RM) formed in 1984 to promote professional development in the field of archives and records management, a legal framework is the law that emanates from a country’s constitution to guide National Archives and Documentation Service in regulating the records management practices of all government bodies. The Association further states that the elements of a sound records management programme should include a Records Management policy which addresses all aspects of identification, security, safe custody, disposal and retrieval of records. A sound records management programme should also contain record management procedures to back up the records management policy and should be formulated within the broad records management principles established by the Act.

Archival legislation affects the development of archival institutions and their ability to act as the national memory of the countries in which they are established as exemplified by Olunkade & Adebayo, (2003), in their research study entitled “A historical Outline of Archival Legislation and Records Management in the West African Sub region”. The authors have hastened to add that there was scanty literature on the role of archival laws on archival development especially in developing countries. However, the National Archives and Record Service of South Africa Act 1996 stipulates that each government body should implement and maintain certain record keeping systems like the file plan, schedule for records other than correspondence files, schedule for paper based records other than correspondence systems, schedule for electronic record system, schedule for microfilm
records and schedule for audio visual records. There should also be record control mechanisms which include register of files opened, register of disposal authorities destructive register, disposal programmed, and training, (www.national.archives.gov.za).

The legal framework that governs the activities of the Kenya National Archives and by extension the public record centres was enacted in 1965 as the Public Archives Act Cap 19 of 1965. It was amended in 1990 under The Public archives (amendment Act No. 2 to become the Public archives and Documentation Service Act. The legal framework was cited as the act of parliament “to establish the Kenya National Archives and Documentation Service and to provide for the preservation of public archives and public records and for connected purposes. The amended law addressed two main issues according to Kemoni and Ngulube (2007) namely; the change of the head of services from Chief Archivist to Director. A new section, National Documentation Service was also introduced. (Sanya, 2015) as viewed at http://www.networkbooks.co.ke and Gisesa (2008) as viewed at www.goethe.de>pro>lag>kenya-gisesa.

The law gave the director of KNA&DS the power to do all such things as may be necessary or expedient for the exercise of his duties and performance of his functions. (ibid).

In relation to record management, Subsection 4(2) of the said law stated that, it shall be the duty of every person responsible for, or having custody of any public records to afford to the Director or any other officer authorized by him reasonable access to such public records and appropriate facilities for the examination and selection thereof and comply without any undue delay with any lawful directions concerning assemblage, safe keeping and preservation of public records or the transfer of such public records to the national archives to form part of the national archives collection.
As far as offences in relation to public records are concerned, section 7 of the law states that any person, who willfully destroys or otherwise disposes off, defaces, mutilates or damages any public archives shall be guilty of an offence and shall be liable to imprisonment for a term not exceeding six months or to a fine not exceeding 5,000 shillings or to both imprisonment and fine. (Gisesa, 2008). These offences are directly related to the managers of public records.

2.3.3 Placement of archival institutions

Olunkade & Adebayo (2003) have emphasized that, attachment of an archival institution is crucial in the provision of services. The same writers have continued to give examples of the countries whose legal frameworks are specific on where the archival institution should be attached as follows:

In Cameroon, Gabon, Rwanda and Lebanon, archival institutions are attached to the Office of the President. In USSR, the archival institution is under the Council of Ministers, while in Tanzania, the institution is under the Office of the Second Vice President. To quote other examples, in Israel and Japan, the archive institution is under the Prime Minister’s Office. In the United States of America, it is under the General Services Administrator, while in the United Kingdom, the Archival institution, (referred to as the Record Office) is in the Office of the Lord Chancellor. It is clear that, all the above placement offices are highly influential in the various governments and thus, can give prominence to the archival institution.

The same study by Olunkade and Adebayo (2003) revealed that, in most African countries especially former colonies, the legislation does not specify the particular government authority under which the National Archives institution should be. According to the writers,
this has resulted in the flirtation of archives with a number of ministries with varied interests and experiences.

Documentary sources on the “Historical Development of Archives in Kenya” indicated that National Archives in Kenya has been attached to different government ministries since its establishment in 1965. These included the then Office of the Vice President, Ministry of Culture and Natural Resources, and Constitutional Affairs among others. Currently, the archival Institution is under the Ministry of Sports, Culture and the Arts. This is what Olunkade and Adebayo refer to as ‘flirtation’ with various government offices which might make the organisation lack stability as decried by the Director.

2.3.4 Archival legislation and modern technology

Kemoni and Ngulube, (2007) in their study entitled “Records and Archives Legislation in Kenya and Management of Public Sector Records: A SWOT Analysis Approach”, have highlighted lack of information technology skills as one of the challenges affecting records and archives management in Kenya. Other studies have, also indicated that there are new concerns about the problem of information storage and retrieval post by non-paper records especially machine readable magnetic media generated by computers and word processors(Adelaide and Adebayo (2003). The same paper has called for revision of archival legislation in countries where the necessary clauses of management of electronic records has not been done. Indeed, it is notable that introduction of technology has been quoted as one of the challenges in modern day records management practices.
2.3.5 Funding of archival institutions

The responsibility of funding archival institutions should also be in the legal documents as well as provision of facilities and equipment (Adelaide and Adebayo (2003). These writers’ views are supported by Sanya (2015) who intimated that though the records management division may not be that financially intensive as other departments in an organisation or government, it does not mean that they can do with any amount of money. It too, like other departments, require adequate funding to enable it to efficiently carry out its operations and purchase equipment, chemicals et cetera.

Given all the above observations on inadequacy of the legal framework on records and archives management, it was no wonder that a report prepared by Miller for both UNESCO and ICA in 2004 recommended that the two bodies should continue to consolidate guidelines and tools on legislation and policies, including giving concrete and practical examples after noting that the existing law governing records in the ESARBICA region was not comprehensive in certain instances. Such a strong legal backing would provide the archives institution with the necessary authenticity and powers as well the sources of funding in order to promote confidence in the minds of the public and the professionals themselves. (Sanya, 2015).

2.3.6 Research gap

This study was to find out whether there was a satisfactory legal framework from which sound policies, regulations and guidelines for records management may be based and whether they are comprehensive enough, and if not, investigate whether the situation could be affecting the accomplishment of the public record centres’mandate and thus, their performance. The literature has reviewed that the amended archival legislation still requires to be further reviewed to correct the inadequacies that still persist.
2.4 The purpose of public record centres

A record centre is a facility for orderly transfer, storage and systematic disposal of inactive records whose main purpose is to provide low cost offsite storage for semi current and non-current records. They provide low-cost, secure storage for records that must be retained for audit, legal, fiscal or administrative needs but are no longer used frequently enough to justify expensive office storage while the creators still retain their legal ownership. The record centre only takes up physical custody of the records as it plays its role of storing, maintaining and offering reference services to the creators of the records. When records have met agency retention requirements and are designated ‘archival’, agencies transfer legal custody of the records to the State Archives for historical preservation and public research. (Enesco, 2015). Record centres, thus, provide a saving in money and equipment in that they release office registries from spending money, purchasing expensive equipment for records that are not either required or only required rarely—the dormant and semi current records (Robek et al 1997).

The authors continue to state that, the location of record centres away from urban areas also makes them cheaper than registries which are usually in expensive localities with the parent organizations. According to these writers, the economy of space and equipment cannot be acquired by microfilming records because the expenditure could be more, not to mention that some dormant records might end up being useless after the final appraisal has been done.

Shepherd & Yeo (2003) support the above by stating that, building a record centre is a viable alternative, for without them, a records manager can experience storage problems that might result to destruction of dormant records before they are sorted out and/or slowness in discharging records for use to the decision-making officers in the organization. This is the main reason for keeping records in an organization.
The research gap in regard to the purpose of public record centres is the need to establish whether or not public record centres in Kenya are meeting the purpose for which they were established by ensuring that there is economy and efficiency in the management of government records.

2.5 Functions of public record centres

For the purpose of this study, the term function is understood to be the intended purpose of a person or thing in a specific role that is shaped by the various activities carried out. (Collins English verb Tables, 2011). A group of related activities in an organization can be referred to as function. Based on the above definition, the functions of a record centre include records survey, arranging for transfer of semi-current and non-current records from creating offices, preparation of accession reports, and preliminary appraisal of retention value in consultation with the office of origin and carrying out authorized disposal among others.(Shepherd & Yeo, 2003). The specific functions of record centres include the following:

- Receiving and making available all semi-current records that have any continuing utility regardless of their bulk or form. What this means is that record centres keep the semi-current records and also disseminate the same to the creating agencies whenever the need arises.

- Storage and preservation as well conservation of semi-current records for as long as they remain with them. This implies that record centres have to cater for the well being of the records they receive from the creating agencies so that they do not deteriorate.

- Appraisal of the semi-current as well as dormant records under their care at the stipulated periods as per the appraisal tools accompanying the records. This is crucial
in that with the passage of time semi current records may lose the primary value as a result of which they become dormant records. Treatment of the records has to change because they are now dormant records whose storage evaluation will be determined by the rules and regulations governing public records.

- Provision of reference service based upon the records to either the record creators or other authorized agencies or people. This requires the availability of a purpose-built reference room in terms of enough space, good lighting fresh air and silence (Robek et al 1997).

- Preservation of dormant records until the archive institution is ready to receive them on the basis of their permanent. Sometimes the national archives may not have space for storing a fresh consignment of records which requires that public record centres continue accommodating them.

- Security of the records under their care. The record centre is responsible for protecting the records from unauthorized access, damage and deterioration. Both legal control and control of access to the records are controlled by the agency until the records are either transferred to the archives or destroyed. This implies that the record centre management should ensure that records under their care still belong to the creating agencies and thus no other people should access them. If a private citizen or another organization asks for access to such records, the creating agency should be consulted first for permission. (Washington Secretary of State, 2015).

- Planning, coordinating or conducting records management programmers in public offices. This involves holding record management seminars or workshops for heads of departments and record management staff in public offices.
This study sought to establish the existence or otherwise of such functions and activities in the county record centres which would mean foster attainment of their mandate of managing public office records.

2.6 Facilities and Equipment for Record Centres

According to the International Records Management Trust (IRMT) Best Practices, a record centre should be purpose-built. This means that it should be planned in such a way that it will accommodate all the expected functions and have all the necessary facilities and equipment. A purpose-built record centre should also meet environmental and access standards required by the National Archives. (Herefordshire Government, U.K, 2015).

2.6.1 Facilities for record centres

For a record centre to be purpose built and thus, satisfactorily carry out its functions to raise performance levels, certain facilities have been suggested by various writers as follows:

i) Loading dock: According to Government Records Service (2011) and Records Management Best Practices (2015), record centres deal with truckloads of records either requiring to be loaded or offloaded for storage or destruction/transfer to the archives respectfully. Thus, adequate loading dock facilities are necessary. Where record centres are above ground level, a freight elevator will also be a requirement.

ii) Parking space: The same writers propose that there be enough parking space for off-loading and loading tracks as well as vehicles for employees of the centre. Extra space for visitors’ car park is also necessary because as disseminating facility, users need to be accommodated at the parking area.
iii) Stack area/staging area: This is where records from the creating agencies are received before they accessioned. Enough room is needed but to make sure that all incoming records are accommodated, prior notice on transfer should be given and confirmed. The staff adequacy is of essence so that records are accessioned in time before others arrive. The planning stage should have catered adequately for this facility which is second in size to the repository. Requirements need not be elaborate or costly but care should be taken to ensure that the records are not damaged as they await processing. Thus, shelves can be availed but to cut down on cost an empty floor area can also do as long as the waiting period is not long.

iv) Processing area: This is the facility for working on the records which should be very near to the stack area to cut down on movement. The purpose of the processing area, also referred to as ‘make-ready room’ is sorting of records. It should be equipped with sorting tracks and shelves. Its doorways and isles should be wide enough to allow for the passage of freight handling equipment to pass through easily.

v) Reference area: The record centre also disseminates information either to ordinary researchers or record creators. For this reason enough space should be availed for this purpose. The necessary equipment includes comfortable chairs and tables, printers, microfiche/film readers, copying and fax machines. The reference area should also be air-conditioned to ensure comfort for the readers. The lighting should also be comfortable for all. Adequacy of reading space for the researchers is paramount and should be planned for at an earlier stage depending on the expected patronage. The doorway and the isles should be wide enough to allow for easy passage of carrying equipment like forklifts and pulleys. Absence of a staging area can hamper proper scheduling of accessioning activities and handling of personnel.
vii) Disposal area: This area is for accommodating those records awaiting disposal after all the requirements have been fulfilled. It should be located away from the staging area to avoid confusion that may result to disposing records that have just been received and vice versa. Records due for disposal accumulate over time and thus the disposal area should be large enough to allow for this. Buyers of such records prefer many records to economically carry them away and thus the need for a large room. The record centre should also have provisions for destroying confidential records. Thus shredding machine is necessary equipment in the disposal area.

viii) Administration area: This is the area in the record centre set aside for administration purposes. The manager does his work of control and direction here. Its size is determined by the administrative staff available and the necessary equipment for the office. Comfort for the employees is achieved through proper air-conditioning facilities, furniture and office equipment. The office space for each employee should be adequate to allow for territoriality. The manager and supervisors should also be properly accommodated to reflect their seniority. Without such facilities the county record centres cannot adequately carry out what is expected of them and this study will establish whether the county record centres in Kenya have the facilities as outlined. It is necessary that a public record centres has the above facilities to be able to carry out its mandate and this study seeks to find out if this is the case with the country’s public record centres.

2.6.2 Equipment for record centres

Like any other information centre, a record centre requires equipment. Equipment refers to the set of things needed for a certain activity to be accomplished or the provision of whatever is necessary to do something (Longman dictionary of contemporary English, 1987). However, given that record centres’ purpose is to save in costs of storing infrequently used records and
dormant records. their equipment should not be expensive, (Shepherd & Yeo, 2003). The following types of equipment are necessary in record centres:

i) Storage equipment: Open-steel shelves and cardboard containers are considered efficient and economical for the following reasons, according to (Robek et al, 1997):

- They are relatively inexpensive.
- They allow for excellent use of space.
- They allow for easy disposal.
- They can be extended upwards to increase storage space.
- Their record visibility is easy from a distance.
- They allow for use of the standard record centre carton.

However, Robek et al (1997) warn that care should be taken to cut down on cost of storage because the shelf space should not be wasted. Where a shelf space can accommodate two cartons, this should be done. Designs of these cartons vary and some designs are more expensive than others. Some cartons are designed so that they can be assembled automatically with one pull motion. Other less expensive types are assembled by interlocking the flaps and require no tapes or staples. The shoe box lid affords good protection from overhead water damage but requires slightly more shelf space. Other cartons have a form printed on it to give uniformity in labelling while in other cases, a typed label is attached to the carton to serve the same purpose of labelling. All these variations call upon the management to be very cautious in choosing a particular box format that will not add to the overall cost of storage unnecessarily.

Robek et al, (1997) also adds that record centres require a special type of shelf known as 'standard record centre shelving. Each shelf unit consists of four, 13 gauge round edge right-
angled upright posts, drilled with holes at every inch so that they can be fastened to the shelves at selective intervals. These shelves of each unit measure 30 inches in depth and 42 inches in length and can accommodate six standard size cartons. They should be arranged back to back in the stack area to save space. The height of each shelf can rise up to about 14 feet and this height can easily be reached with a ladder. Higher shelves would require use of catwalks and this is an added expense. The shelf used should be enough to accommodate the standard record centre cartons without waste of floor space.

ii) Security equipment: In matters to do with records security, fire extinguishers, fire and smoke sensors, sprinklers, hose pipes et cetera are necessary pieces of equipment in record centres. Fire extinguishers are necessary equipment in a record centre. They should be available at each alarm-striking station and at reasonable intervals throughout the stack and staging area. Interior hose stations should be provided so that a stream of water can reach all parts of a stack area.

iii) Peripheral Equipment: This is a reference to the equipment that is not central or major in a record centre. The items include ladders, hydraulic lifts, three sided stock trucks, carts, sort racks and motor track vehicles among others. Ladders solve the problem of height which is inevitable if space has to be saved. The safest one is the platform ladder. It is designed like a movable stairway with handrails and a platform at the top to hold the carton of materials. The spring wheels stabilize the ladder when in use. Each record centre clerk should have a ladder for work efficiency. Mobile hydraulic lifts are powered and normally required in centres that have very high shelves to store cartons. They also limit the carrying of cartons by the staff, thus saving in the time taken.

Three-sided stock trucks are needed to push loads of loaded cartons from one part of the record centre to another. Each can carry up to 40 standard size record centre cartons. To cut
costs only one is necessary. Motor vehicles are necessary if the record centre is far away from the offices it serves. Motor vehicles are useful for picking up deliveries. For safety purposes from rain and dust they should be covered.

2.7 Research Gap

The preceding literature review has brought into focus the results of the researches that are related to the current study. It is against this background that the researcher conducted the study with a view to finding out whether Kenya’s public record centres are playing their rightful role of ensuring there are proper record management practices in the public registries. These facilities are a necessity for record centres to be functional as purpose-built and their availability in the public record centres or otherwise, was to be established in this study.

2.8 Staffing In Public Record Centres

2.8.1 Introduction

Staff in any organisation is a crucial aspect in the delivery of goods and services and public record centres are not an exception. Being information centres, their staff act as the link to information services. According to the IRMT (2014), the number of personnel depends on the nature of the institution itself.

2.8.2 Background to staffing in public record centres

Sanya (2015) in his work entitled “Problems faced in Archives and Records Management in Kenya” intimated that the archive institution has all along been affected by high staff turnover as a result of poaching by the more lucrative private sector with opportunities for higher salaries. This has resulted into poor staffing in the archive itself and by extension, public record centres.
On their part, Sanya (2015) and Mnjama, (2003) while commenting on the quality of staff stated that, the early practitioners in the field of archives and record management in Kenya did not have any basic skills pertaining to archives preservation. Their practice was done through trial and error. The writers continued to say that the situation was aggravated by the absence of training institutions in the region. Later, Makerere University in Uganda and overseas colleges provided skilled manpower, but as earlier observed, the few trained personnel for archives were quickly taken away by the more dynamic private sector leaving records management in the archives to the junior untrained clerks.

In a paper entitled ‘Managing Records in Record Centres: staffing in Record Centres, Mnjama (2003) pointed out that Moi university eased the personnel problem a little when she was established in 1985 as well as other training institutions which have also come into the scene but the problem of staffing persists to date due, also, to freezing of employment by the government in the 90s. The writer underscored the importance of staffing by reiterating that, establishing a well-built, conveniently located and efficiently arranged record centre is only a part of a record management service. The facility must also be professionally managed.

Mnjama (2003) has, also pointed out that, there seems to be a misconception that Record centres do not require qualified staff because they cater for old records. The author has hastened to add that, it is an unfair thinking because records could still have value after creating agencies have finished with them. He continues to say that, the record cycle is not yet complete, and the next phase is just as important because records are also created for historical reasons. After all, no system can be better than the people who administer it. This in effect means that professional staff is a prerequisite to good performance in public record centres.
2.8.3 Public record centre staff establishment

According to Mnjama (2003), a record centre should have at least four sections (Fig. 2.1) with four members of staff each, excluding the manager and this number should be increased continuously as the centre establishes more sections. The International Records Management Trust (IRMT, 2003) as viewed at www.irmt-record-centres has also reiterated that, in order to provide high quality service, a record centre should be adequately staffed; that is, have enough people to do the work efficiently in a cost effective way. IRMT went on to emphasize that, this situation is necessary because the record centre manager requires well qualified employees to cope with the responsibility for the use of records, adding that, the staff should accurately retrieve records from storage for use and return them to client offices in a timely manner, upon request.

Adequate staffing levels had also been proposed in 1978 by Ian Maclean in a Unesco aided report entitled, “Kenya: Development of Information Infrastructure: Records Management”, where he also proposed a minimum of four qualified staff for each section which should rise as more services are required. Thus, there is total agreement with the necessity for enough staff in public record centres even though no specific number is mentioned by any of these authors.

2.8.4 Management staff in public record centres

Management has often been defined as getting things done through people (Ginn (2002)). Their duties include staffing, planning, organising, directing, controlling, budgeting among others. Ginn (2002) went on to add that public record centres require to be well managed so that the policies, goals and activities can be successfully achieved. The manager, who is the necessary link between the record centre and the National Archives interprets the policies so that the rest of the staff can implement them correctly. According to the International
Records Management Trust guidelines, each record centre should be headed by a sufficiently qualified person preferably at the level of Principal Senior Archivist (PSA) who is third in rank in the KNA&DS administration. Professional qualification for a manager should be job group ‘M’ with experience of not less than fifteen (15) years and with the ability to conduct trainings and advise ministries on efficient running of record offices, (Office of the President 2006).

Figure 2.1 illustrates the organisation chart for a public record centre as proposed by Maclean (1978), supported by Mnjama (2003) and endorsed by IRMT (2003) which should enlarge as new services are introduced.

Figure 2.1: Organization Structure of a Record Centre

This study sought to establish whether the staff establishment for each public record centre meets its current staff requirements in both number and qualifications because both can affect their performance.

2.9 Purpose-Built Public Record Centre

2.9.1 Introduction

According to the provisions of the International Standards for Records Management; (ISO 15489, 2001), the purpose of a record centre is to provide low-cost storage for records and provides basic guidelines that include site selection, structure building layout and security. The Standards emphasized that, a purpose- built record centre should avoid areas of high pollution, proximity to chemical factories, utility plants and pest infestation while ensuring accessibility. Wamukoya, (1996)), Robek et al (1997) and Kemoni (1988) had all pointed out that records should be housed in purpose- built buildings in reference to its suitability for records and archives, in terms of location, space availability, equipment, preservation and security.

2.9.2 Records preservation

In relation to preservation of the records, the above writers have indicated that temperatures in the record centre stack area should range between sixty two (62) and eighty two(82) degrees Fahrenheit. This averages to seventy two(72) degrees Fahrenheit. The writers also add that humidity, which is the amount of moisture in the air should average at 50% and range between 45% and 55%. Air conditioning becomes a serious issue in areas with extreme temperature like the temperate lands, away from the Equator. In hot and humid areas, air conditioning is a requirement for all information centres. Wamukoya, (1996), Robek et al, (1997) and Kemoni, (1988) among others, emphasized that special consideration should be
given to materials that will be stored for longer in the record centre. To cut down on the cost of such materials likely to be kept for long, there can be a separate room where they can be catered for less expensively.

2.9.3 Building materials and security

According to Robeck et al among other writers, building materials should be fire resistant—stones and metal. They continue to add that, a working disaster management programme should be in place in case there is a fire outbreak or any other disaster. Classified records should be kept under lock and key. The building itself, should, also be kept under lock and key. All the members of staff should be identified clearly with identity cards with personal photographs. Visitors to the premises should wear temporary identification card supplied at the door. Clear signs barring unauthorized persons should also be clearly displayed. All external doors should be locked and manned by security staff of the record centre. There should be automatic alarm systems to supplement staff security and the alarms should be connected to the police and other security as well as fire services in the locality. All keys should be in the custody of the record centre manager.

Unauthorized access to the records in the record centres can further be prevented by ensuring that records are issued only to people under direct authority of the offices that transferred the records to the record centre. All doubtful requests should be cross-checked with the creating agencies records manager. (Robek, et.al. 1997).

None of these studies has, however, comprehensively delved into the reasons why record centres are unable to carry out their mandate and the current research study was expected to provide the necessary information to close the gap in relation to purpose built record centres.
2.10 Location and Accessibility of a Public Record Centre

2.10.1 Introduction

Location refers to where a service is to be found and accessibility refers to ease of approach to those services in terms of availability of a road or any other physical means. Accessibility can also be a reflection of telecommunication facilities connecting the provider of the service and the potential users (www.freedictionary.com>accessible).

2.10.2 Importance of proper location

Proper location can determine security and cost of a facility as advocated by Robek et al, (1997) who have emphasized that proper location of a record centre is the first requirement because it matters in respect to cost of the facility as well as security which are key variables in the concept of the record centres. This information is similar to the standards set out by ISO 15489-1 (2001) on records management standards.

Hugh, (2004) in a Seminar paper presented in ARMA International Long Beach California underlined the importance of accessibility and security for record centres saying that integrating immediate access for users while ensuring long term protections of the records is a challenge that should be addressed in the early stages of the design of the record centre

In summary, therefore, the area selected should be of low cost—away from the central business area—but still safe from various insecurities and well connected with transport and communication lines. The selected area should also be free from biological hazards like termites rodents et cetera.
The classic model record centre is a free-standing building situated not far away from the main record creating agency but in an area that allows for minimum capital and recurrent cost and convenient location. (Shepherd & Yeo, 2003). The writers have also emphasized that interaction between the creating office and the record centre is of essence. Thus, whereas low cost is a factor, the record centre should still be accessible by ensuring that the distance between the creating agency and the record centre is not so long as to be unreachable because both should be in constant interaction. This study provided an opportunity to assess the suitability of the location of each county record centre in relation to its users.

2.10.3 Accommodation in public record centres

Accommodation is discussed here in relation to space availability in a public record centre as it is a major requirement given that a record centre caters for records from many creating agencies which require to be accommodated comfortably.

In a manual entitled, ‘Public Storage Guidelines for Record Centres and Archives’ by the Department of State; Division of Library and Information Science, Florida (1996), space requirement should be considered right at the planning stage to provide for enough area to accommodate staff and equipment, administrative offices, loading bay and working area where received records are cleaned and checked before accessioning and transfer to the stack area. Space for researchers should also be available within the record centre. By way of closing the research gap, the study looked at the available accommodation in each of the record centre in this study to find out whether it met all the requirements.
2.11 Awareness Creation in Public Record Centres

2.11.1 Introduction

The Longman Dictionary of Contemporary English (1987:61) defines the word ‘‘aware’’ as ‘‘having knowledge or understanding.’’ The term is similar in meaning to marketing or advertising which mean to make something known to the public. Awareness creation is a recognized function by the International Standards on Records Management: ISO 15489 (2001), the International Records Management Trust (IRMT)) and The International Council of Archives (ICA).

The activity is also recognized as a function in the National Archives and Record Service of South Africa (www.nationalarchives.gov.za) as ‘‘to promote awareness of archives and records management and encourage archival and records management activities’’ as per the requirements in South Africa Promotion of Access to Information Act No 2 of 2000. Awareness creation was also listed as a records centre activity in the KNA&DS Records and Archives Management Standards (2010) as ‘‘Records Management sensitization’’. In spite of the listing, however, it was necessary to confirm through this study, whether it was actually done and which methods were in use.

2.11.2 Target consumers of the services

The targeted consumers of record centre services are the public offices and it is necessary for record centres to avail this information to them because some of the record management staff in public offices might not know whether the service exists. This unawareness was actually witnessed by the researcher during assessment of students on attachment in public office registries. Archival legislation of various countries for example Kenya (KNA&DS 2010) and
South Africa (sabinet.co.za>journal;archival) have the awareness-creation clause falling under the responsibilities of the Chief archivist.

KNA&DS website has listed the services she offers and among them is records management service. KNA&DS is supposed to provide records management advisory services to public offices and institutions in the whole country. The hallmark of this is the conduct of record surveys in government departments, ministries, parastatals and local authorities and advising them on records management. These include classification, indexing security, storage, retrieval, intellectual control and legal disposal for ephemeral records. The service also involves selection of records of archival value which are transferred to the National Archives for permanent preservation and also access by researchers and members of the general public.

Record management seminars and workshops are also for officers handling records in the public sector on request. However, the situation prevailing in public offices does not reflect knowledge of such services. This study would establish if the awareness creation efforts were adequate or even existent and the necessary recommendations be made.

2.12 Possible Constraints in Public Record Centres

2.12.1 Introduction

A constraint is anything that prevents a system from achieving its goal. It may, also be understood to be a factor that works as a bottleneck in that it restricts an entity, project or system from reaching its potential or higher levels of output www.businessdictionary.com>definition. According to the Theory of Constraints as created by Goldratt (1984) and viewed at www.en.m.wikipedia.org, constraints are seen as limiting factors that may prevent a system or organization from achieving its goals. Further, such constraints may be internal or external to the system. An internal constraint is evidenced by the market demands being
more than the system can deliver. If this is the case the solution lies in discovering that constraint and removing it. External constraints exist when a system produces more that the market can bear. In a case like this, the system or organization should focus on mechanisms to create more demand for its products or services. (https://en.m.wikipedia.org

### 2.12.2 Types of Constraints

The theory of constraints as coined by Eliyahu (1984) and adopted as the theoretical framework for this study identified two categories of constraints; physical constraints and policy constraints. The physical constraints include equipment and other tangible material shortages, lack of staff and lack of space. Policy, which refers to recommended ways of working as provided for in company procedures, government regulations et cetera was identified as the other category of constraints. On their part, Sonya (2015), Mnjama, (2003) and Kemoni (1988) mentioned possible challenges/ constraints that Kenya National Archives was probably encountering. Their studies did not, however, focus on the performance of public record centres.

Munjama (2003) and Kemoni (1988) continued to say that even though KNA&DS had made certain progress in that she is a very strong records and archives facility recognized all over Central and East Africa, many issues were still posing challenges to the practice of archives and records management and unless they were addressed by the government of Kenya and the archive institution itself, the provision and preservation of information would remain inadequate.

Available information from the mass media as contained in the background to this study and the problem statement reveal that records management problems in public offices continue to be experienced and thus, the purpose of this study was to unearth the constraints that could
still be affecting the performance of public record centres and have them looked into to improve their operations.

2.13 Performance of Public Record Centres

This study was on the assessment of performance of public record centres and the review would be incomplete without looking into what has been done in respect to performance of public Record centres. According to Gavrea, Ilies and Stegerean (2011), as viewed at www.management.market.ro>articole, continuous performance is the objective of any organisation because only through performance, are organisations able to grow and progress. The writers continue to state that knowing the determinants of organisational performance is important, especially in the context of the current economic crises because it leads to the identification of those factors that should be treated with utmost care in order to improve organisational performance.

The essence of this study was to accomplish exactly that, given the revelations of various researchers to the effect that public record centres could be performing poorly, going by the poor state of records management in public offices, resulting to loss/misplacement and delayed retrieval of public records. This can inevitably, lead to lack of accountability on the part of government.

The studies done so far, which include, Githaka, (2006), Mnjama, (2003),Wamukoya (1996) and Musonye,(1994), among others, focused mainly on the management of records in public office registries without including the role of public record centres in that regard.Some studies,however, have alluded to public record centres themselves regarding their performance. These include: Kemoni (2007) and Kemoni (2008) in his studies entitled; “Records Management Practices and Public Service Delivery in Kenya” and “The Impact of
Record Centres in the Management of the Public Sector Records in Kenya” respectively, in which the writer did associate the poor records management practices in public office registries with the lack of guidance from the records management division of KNA&DS—public record centres.

Kemoni, also alluded to the areas of concern in the public record centres, namely: inadequate equipment and facilities, poor staffing, outdated legislation and apathy and went on to recommend that more research work be done to investigate these and other challenges that could be facing public record centres in all aspects. Githaka, (2006), in an Esarbica Journal article (volume 10, pp 7-16) entitled, “Constraints in the Development of Records Management in Kenyan Public Offices”, also brought into the fore, poor performance of public record centres as the reason for poor records management in public offices.

In addition, Ramp Studies done under the auspices of the International Records Management Trust, (IRMT), which included “Records Management and Good Governance” available at (http://www.irmt.org), “Managing Records as the Basis for Effective Service Delivery and Public Accountability in Development” (http://Worldbank>sightsources>Resources) and “Managing Records in Records Centres”, (www.irmt.org>IRMT-Recordcentres among others, have further, highlighted the importance of performing public record centres in ensuring proper records management in the public sector while admitting that their performance was not up to expected standards.

In view of the above observations, this researcher felt that there was need to carry out a comprehensive study which would assess the current performance of public record centres with a view to coming up with findings that could lead to recommendations for the improvement of the performance of public record centres. This would ensure that there are
proper record management practices in public office registries in Kenya because this is the mandate of public record centres.

2.14 Chapter Summary

The foregoing literature review has covered aspects of record centres which form the basis of this research study and which, if done accordingly, would enable public record centres to carry out their mandate satisfactorily. The review has vividly brought out the importance of providing a public record centre with all the necessary resources both human and material (purpose built) as well as recognizing the role played by public record centres in ensuring that best practices are enjoined in the management of public records. The review has also revealed that, though several studies have been done on the state of records management in public offices, very few have actually focussed on the reasons for the poor state of records management there.—the non-performance of public record centres. Thus the gap for this study.
CHAPTER THREE
RESEARCH DESIGN AND METHODOLOGY

3.1 Introduction

This chapter contains information on the research design for this study, locale, target population, sample size, sampling techniques, research instruments, data collection procedures, piloting of instruments, methods of data analysis and ethical considerations during the study.

3.2 Research Design

Orodho (2010) explains a research design as the arrangement of the conditions for collection and analysis of data in a manner that aims to combine relevance to the research purpose with economy in the procedure. Simply put, a research design is a plan for conducting a study (Creswell, 2007), and therefore explains the structure of the research to be undertaken, that is, the conceptual structure within which a research is conducted. It aims to answer the questions, what, where, when, how much and what in regard to the research problem.

Descriptive survey design/technique was used in this study because it was best suited for the collection of detailed information on the views of the target population in form of both quantitative and qualitative data as was on the ground. Qualitative data is data in form of text, materials or photographs as opposed to quantitative data, usually in numerical form. (Mugenda & Mugenda, 2003).

Leedy & Omrod (2001) explained that a descriptive research technique involves asking questions to a sample of individuals who are representatives of a group or groups being studied. The writers continue to say that, the need to explore, explain, describe and
illustrate behaviour and interactions to better understand them and uncover poorly understood variables, require a qualitative research. Qualitative research aims to investigate a question without attempting to quantifiably measure variables or look for potential relationships among variables. Croswell, (2007:44) added that, qualitative research involves ‘studying things in their natural settings, attempting to make sense of, or interpret phenomena in terms of the meanings people bring to them.’ Thus, the situation on the ground was explored through use of questionnaires, interviews and observation methods. This was on the basis of the objectives of this study which aimed at assessing the performance of public record centres in facilitating proper records management practices in public offices in Kenya.

3.2.1 Study variables

This study included three variables namely, independent, dependent and intervening variables. According to Kombo and Tromp (2005), independent variables explain variations in the dependent variables and are the factors that were studied in order to measure the influence they had on the dependent variable, (Leedy, 2001). In this study, the independent variables were the factors that may contribute to good performance of public record centres and consequently lead to the achievement of their goal. Those independent variables included policy guidelines, legal framework, equipment and facilities, human resource/staff, funding, and awareness creation.

A dependent variable refers to a measurable characteristic that assumes different values among the subjects. In other words, a dependent variable is that which is measured in the study. Dependent variables are also known as outcome variables, according to Mugenda & Mugenda (2003).
The dependent variable in this study was ‘good performance’ in the public record centres leading to proper records management practices in public offices and the resultant fulfilment of the mandate of public record centres.

Intervening variables, also known as mediating or intermediary variables are those factors that come between independent and dependent variables and usually have an effect on the proposed relationship between them to the extent that the expected causality is not apparent, thus, interfering or mediating between the independent and dependent variables and affecting the outcome. (Tolman, (2014) www.statisticshowto.com/inter...), In essence, the intervening variables in this study denoted instances where the independent variables were not provided as expected and thus, negatively impacting on the outcome variable as illustrated in figure 1.4.

3.3 Location of the Study

This study was carried out in four out of the five public record centres in Kenya, namely, Mombasa, Nakuru, Kisumu and Kakamega. Nairobi Record Centre was used for piloting the data collection instruments. The rationale for doing the study in all the public record centres was that each of them served jurisdictions of different sizes in different parts of Kenya and was likely to experience unique constraints. This researcher believed that each of these public record centres was unique though their mandate was the same.

3.4 Target Population

This is the complete set of individuals, events or objects under consideration in a given study (Orodho, 2010). The population of a given study can also refer to all constituents of any clearly described groups of people, events or objects who, for research purposes, are designated as being the focus of an investigation.
The target population for this study was thirteen (13) which comprised eight records management staff distributed as follows: Mombasa (three), Nakuru (two), Kisumu (two) and Kakamega (one), four record centre managers and the Director of the Kenya National Archives and Documentation Service (KNA&DS). The staff figures had been provided to the researcher by the Director, KNA&DS. The target population, though small, was considered sufficient for the study because there were no other staff members directly involved in records management activities in the record centres. The subordinate staff (cleaners and drivers) were considered unnecessary for the purpose of the study because they were not directly involved in records management activities. The target population was accessible during the study.

3.5 Sampling Technique and Sample Size

3.5.1 Sampling technique

Sampling technique design or procedure is a definite plan for obtaining a sample from a given population (Kothari, 2004). The main types of sampling techniques are random, systematic and stratified (Mugenda & Mugenda, 2003).

Stratified purposive sampling technique was used because the target population was heterogeneous with three sub-groups as follows; records centre staff, record centre management, and the management of the KNA&DS. These were sub-sets of known sizes and were meant to ensure that results were proportional and representative of the whole as advocated in the research done by Royal Geographical Society (2015) which was viewed at www.rgs.org/ourWork/school. Earlier, Mugenda and Mugenda (2003) had come up with the same argument for stratified purpose sampling where the target population is heterogeneous, saying that it allows for comparisons to be made among the subsets. which was necessary in this study.
3.5.2 Sample size

A sample is a group of people or members who take part in an investigation, also known as participants (Macleod, 2014). A sample is also referred to as a representative number of the target population of the study supposed to provide reliable information for the whole population.

Mugenda & Mugenda (2003) and Kothari (1999) stated that when field studies are undertaken, consideration of time and cost almost invariably lead to a selection of respondents referred to as the population sample. They continued to say that the size of this sample should be optimum that is, one which fulfills the requirements of efficiency, representativeness, reliability and flexibility.

The target population of this study was thirteen and therefore, did not require sampling. The researcher adopted a census technique whereby, the whole population participated in the study. A census technique is referred to as complete enumeration or complete count as exemplified in a study called, Census vs sampling – National Oceanic and Administration as viewed at www.st.nnfs.noaa.gov>census – vs – sampl…). Mugenda & Mugenda (2003), argues that using the whole population, where the target population is small, can result to more reliable data as happened in this study. The distribution of the target population is displayed in Table 3.1.
Table 3.1: Distribution of the Study Population

<table>
<thead>
<tr>
<th>Record Centre</th>
<th>Target Population</th>
<th>Study Population</th>
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<tbody>
<tr>
<td>Nakuru record centre staff</td>
<td>2 chief archivists</td>
<td>2 (100%)</td>
</tr>
<tr>
<td>Kisumu record centre staff</td>
<td>2 Chief Records Management officers</td>
<td>2 (100%)</td>
</tr>
<tr>
<td>Kakamega record centre staff</td>
<td>1 Archivist</td>
<td>1 (100%)</td>
</tr>
<tr>
<td>Mombasa record centre staff</td>
<td>3 (one Senior Records Management officer and two archivists.)</td>
<td>3 (100%)</td>
</tr>
<tr>
<td>Total</td>
<td>8 records centre staff</td>
<td>8 (100%)</td>
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</table>

**RECORD CENTRE MANAGEMENT STAFF**

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<tbody>
<tr>
<td>Mombasa</td>
<td>1 (National Archivist)</td>
<td>1 (100%)</td>
</tr>
<tr>
<td>Nakuru</td>
<td>1 (Chief archivist)</td>
<td>1 (100%)</td>
</tr>
<tr>
<td>Kisumu</td>
<td>1 (Chief Records Management officer)</td>
<td>1 (100%)</td>
</tr>
<tr>
<td>Kakamega</td>
<td>1 (National archivist)</td>
<td>1 (100%)</td>
</tr>
<tr>
<td>Total</td>
<td>4</td>
<td>4 (100%)</td>
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**KENYA NATIONAL ARCHIVES & DOCUMENTATION SERVICE**

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<tbody>
<tr>
<td>Director</td>
<td>1</td>
<td>1 (100%)</td>
</tr>
<tr>
<td>Overall Total</td>
<td>13</td>
<td>13 (100%)</td>
</tr>
</tbody>
</table>

**Source:** (Director KNA&DS (2015))

3.6 Research Instruments

Research instruments, also called data collection tools, refer to devices used to collect research data, (U.S Census Bureau, 2010). The data collection tools were questionnaires, interview schedules and observation checklist which were suitable for the collection of both qualitative and quantitative data. (Mugenda and Mugenda, 2003). As earlier stated, these tools enabled the researcher to collect data as was on the ground which is the essence of a descriptive survey research. The Triangulation approach used enabled the researcher to verify the accuracy of some of the collected data by comparing responses from different data sources.
collecting tools from different respondents. It also increased data reliability when it came to
drawing conclusions from the findings.

Triangulation refers to the use of more than one data collecting method on the same topic and
is recognized as a highly desirable technique in research as it can effectively complement
other approaches and thus enhance the quality of other evidence available to the researcher
despite its being time consuming and resource intensive, (Denzig 2006).

3.6.1 Questionnaire

A questionnaire was considered to be ideal for a descriptive survey research because it has
the ability to collect a large amount of data in a reasonably short period of time and high level
of confidentiality, (Orodho, 2010). However, the response rate can be very low unless certain
strategies are taken. The strategy adopted to raise response rate was sending the
questionnaires by registered post two weeks earlier to give the respondents enough time to
respond to them. The public record centre management staff were the research assistants.
This strategy proved ideal for this study because it produced a hundred percent (100%)
response rate. It also ensured that the geographical dispersion of the public record centres
limitation did not affect data collection efficiency.

A structured questionnaire with both closed and open ended questions was administered to the
staff of the public record centres. Though the numbers were small, a questionnaire was
considered appropriate for the staff because it provided the necessary confidentiality and
flexibility, with the latter being crucial because the staff could only attend to the
questionnaires after office hours due to lack of enough time. This had been noted during the
piloting stage of the instrument at Nairobi Record Centre whereby, all staff members could
be out their station till late afternoon with hardly any time to spare for an interview.
Content validity, ambiguity, simplicity of language among other considerations had been ensured earlier after piloting the instrument, in order to raise the response rate as Orodho, (2010) stipulated. The necessary arrangements had already been made with the Deputy Director, KNA&DS to facilitate data collection through the support of the respective record centre managers. Completed questionnaires were then collected by the researcher after the two weeks for the purpose of data analysis.

3.6.2 The interview schedules

This is a data collecting method based on one-on-one encounter either through a telephone or face-to-face. It can be either structured or unstructured with both open and close-ended questions. (Orodho, 2009).

This researcher used face to face, largely structured interview schedules with the managers of each record centre and the deputy director of KNA & DS. The Director had delegated the interview to his Deputy as he would not be available due to unavoidable circumstances. Prodding questions also featured occasionally to seek clarifications on some responses and any emerging issues. A tape recorder was used with consent from the respondents to capture the responses more effectively. They were, however, free to disengage the tape recorder whenever necessary which happened occasionally when the managers wished to receive telephone calls.

The interview focused on administrative issues like policy, sources of finances, staffing, equipment availability and challenges. Prior arrangements were made by phone for the interviews so that the respondents could choose the most convenient time for them. Data collected during the interview with the management was useful in either clarifying or confirming, information received through the other instruments (triangulation effect). The Interviews provided a healthy interaction with both the management of record centres and the
deputy Director of KNA&DS during which time a lot of useful information related to my area of research was provided. A formal consent statement was included in both the questionnaires and interview schedule due to ethical considerations for the respondents to read and decide to sign or not. Gladly, none of the respondents declined to participate in the interview.

### 3.6.3 Observation schedule

Coleman (2015) calls an observation schedule an analytical form or coding sheet, filled up by researchers during structured observation. It is, therefore, an observation tool containing items and/or aspects to be observed and why. It can be used scientifically to turn multifaceted and complex visual observations into usable research data. The tool provided data as it naturally occurred, thus making it more factual and reliable. Photographs to back up the observation were also taken.

The observation method helped the researcher in the collection of data by way of own investigation without involving the respondents. Though comparatively expensive in respect to time and equipment, for example a camera, the method was useful in capturing the actual state of things to compare with the information collected through the questionnaires and interviews, thus making the collected data more reliable.

The observation schedule was used to collect data related to location of the record centre, space available for storage of records, type and condition of storage equipment in use and the extent of records security. The data collected was necessary in finding out whether the record centre was purpose-built or not. The data obtained in this way was supplemented by that obtained using the other two methods; questionnaires and interviews, thus adding to reliability of the data.
3.7 Piloting of the Research Instruments

Fraenkel and Wallen (2000), called piloting “a small scale trial of the proposed research”. Its purpose is to detect any problems with validity and reliability of the data collecting instruments so that they can be remedied before the main study is carried out. Piloting is also called pretesting which is the administration of the data collecting tools with a smaller set of respondents from the population for the full scale survey with a view to identifying problems with the data collecting tools and find possible solutions (University of California, 2007). These problems might include unclear instructions, insufficient space for the responses and wrong phrasing among others.

Nairobi Record Centre was selected for piloting the data collection tools using simple random sampling technique. Raffle papers with the names of the five public record centres were used. The raffle papers were folded, put in a container and mixed thoroughly before requesting a research assistant to pick one of folded raffle papers randomly. The population at Nairobi Record centre has similar characteristics with the other public record centres as is the requirement for the piloting of research instruments, (Mugenda Mugenda, 2003). The population at Nairobi record centre (piloting record centre) was twelve staff members and one manager, making a total of thirteen. The researcher decided to use a census technique on the staff of twelve members and purposive sampling technique on the manager for the interview. The transmittal notes in both the staff questionnaire and the manager’s interview schedule included a consent form.

Despite a waiting period of five days, however, the response for the staff questionnaire was six (50%), reportedly due to pressure of work because all the staff members were going out for record survey and returning rate in the afternoon for office work. The manager explained that the staff were under pressure of time. The researcher considered a 50% response...
ratesufficient for the purposes, however, because it was way above the 1% proposed by Orodho (2010). A brief discussion was held with a willing member of staff on the quality of the questionnaire in relation to ambiguity, clarity, relevance and simplicity so as to receive the necessary feedback. Her rating was positive commenting only on the size of the response space given for some of the questions.

The manager honoured the researcher’s appointment and also provided feedback on his impression of the interview schedule which he considered ‘quite comprehensive’. On the same day of the interview, the researcher piloted the observation schedule in the storage area with the manager’s permission and noted the shortcomings it had. This feedback, together with that obtained through the questionnaires and interview schedulee was incorporated in the revision of the data collection instruments before finally carrying out the actual research study.

3.7.1 Validity

According to Mugenda and Mugenda (2003), validity is commonly the degree to which a test measures what it is supposed to measure. It is the defensibility of the inferences researchers make from the data collected through the use of an instrument. It is also said to be an indication of how sound the research is in representing the phenomenon being measured. There are various types of validity that can be applied depending on the objectives of the study which include content, construct, criterion and face. (Esposito, 2002).

The researcher’s concern in this case was content and construct validity in respect to whether or not the data collecting tools would enable her to gather the data necessary in assessing the performance of the various record centres. In this case, the content should be appropriate, comprehensive and consistent with the variables and also readable. The supervisors’ input guided the researcher in establishing both content and construct validity of the instrument.
The staff questionnaires and the manager’s interview schedule were piloted at Nairobi Record centre, as explained above, with the same population characteristics as the other public record centres. The feedback was that content and construct validity were all right because the questions were clear and relevant to the study, language was correctly used and easy to understand. The only misgiving was that some spaces were insufficient for the necessary responses. The researcher modified the spaces in the final questionnaire.

The piloting of the instruments, also alerted the researcher on the need to allow for more time for responding to the questionnaire because the staff in the public record centres would be very busy out there doing record surveys. Time flexibility was crucial and thus, interviewing the staff face to face would have been impossible even in the other record centres due to pressure of time.

3.7.2 Reliability

A reliable instrument gives consistent results (Kombo, 2004). This consistency gives the researcher confidence that the results represent the outcome of the research being undertaken. The proposed test-retest approach after an interval of two weeks to establish reliability was not done because the staff at Nairobi record centre was by then under a lot of pressure to finish records survey backlog in some public offices and thus could not be available for a second volley of answering the same questionnaire which was understandable. It was replaced by going over the responses given and the confirmation that the information was accurate. This was gratefully, done by the manager of Nairobi Record Centre.

The observation schedule was also piloted by the researcher at Nairobi Record Centre for validity and reliability. The main feedback was on the need for larger spaces for noting down the observation details and the inclusion of the subheading; “storage space for electronic records”. These were rectified in the final observation schedule before actual data collection.
was done. The piloting proved very useful in arriving at appropriate research instruments because it improved both their validity and reliability.

The researcher was finally guided by the American Psychological Association (APA) Committee on Scientific and Professional Ethics rules and regulations and ensured confidentiality and safety on the part of the participants as well application of informed consent before participating in the research. Data integrity was observed by avoidance of falsification, forging, trimming and creation of data as warned by Leedy and Ormrod (2001).

3.8 Data Collection Techniques

After the piloting of data collection tools, various methods of data collection were used depending on the type of collection tool used. Firstly, with an introduction letter from Kenyatta University Graduate School, the researcher applied for and obtained a research authorization permit from National Commission for Science, Technology and Innovation (NACOSTI). An introduction letter was also obtained from the Deputy Director of the parent organization for the public record centres which is Kenya National Archives and Documentation Service (KNA&DS). With the said documents, the researcher used the following methods to collect data.

3.8.1 Questionnaires

The questionnaires were sent through Kenya Postal Corporation Registered Parcel Service to the various public record centres two weeks before, after making arrangements on phone with the managers who agreed to collect and distribute them to their respective members of staff. The latter would then complete them during the two weeks in order to save time on data collection. Enclosed in each parcel was a letter of introduction from the Deputy Director. (Appendix viii). This worked out perfectly as the researcher was able to collect completed questionnaires from each record centre on the first day of visit.
3.8.2 Interviews

The researcher requested for an interview appointment using contact information requested from the Deputy Director, KNA&DS, with each of the Record centre managers and the responses were positive. After the researcher’s arrival the managers were considerate enough to offer her appointments on the second day of her visit. After the preliminaries, the researcher explained the purpose of the interview and ethical considerations applicable and then requested each of the managers to read the consent form and respond accordingly.

The researcher sought the authority of each manager to use a tape recorder for the purpose of capturing all the information while assuring confidentiality in the information provided. The permission was granted by the various record managers and appreciated by the researcher.

3.8.3 Observation

The research also entailed data collection through observation. Permission was sought from the respective managers to visit the storage area as well as seek clarification on any matter that was not clear in regard to the data I needed to collect. The managers were willing to accompany the researcher but she politely chose to go it alone for the purpose of independent judgment.

3.9 Data Analysis

This section explains how the collected data was analyzed, interpreted and presented. Data refers to the raw information a researcher obtains on the subjects of the research through application of various collection instruments, (Fraenkel & Wallen, 2000). MacLeod (2008) calls data analysis a process of evaluating data using analytical and logical reasoning to examine each component of the data gathered. Thus, it is supposed to bring order, structure
and meaning to the mass of information collected, seeking to make general statements on how categories or themes of that data is related to make inferences and deductions as earlier advocated by Kombo (2006) and Mugenda & Mugenda (2003).

Questionnaires, interviews and observation schedules were applied in collecting primary data which was largely qualitative (non-numerical) in nature that is in words and phrases while some of it was quantitative (numerical form), collected mainly through interviews. Relevant publications provided secondary data to reinforce the primary data. Being a descriptive survey research, descriptive statistics such as frequency distribution and percentages were used in analysing quantitative data while qualitative data was analysed by themes derived from the research objectives.

The data was first edited to improve its quality so that it could be coded. A code is a word, abbreviation or phrase which represents a link between raw data and the researcher’s theoretical concept by representing a particular phenomenon. The codes were assigned manually. After coding, the data was organized into themes and concepts to allow for content analysis and interpretation as per the objectives of the study before being presented in form of percentages, tables, charts, graphs and textual description. Findings, conclusions and recommendations were then made based on the research findings. Microsoft Excel Package and Google Drive Spreadsheet were used for analysis of data, calculation of percentages, creation of pie charts, graphs and tables. These packages were useful in coming up with easy interpretations and conclusions based on the findings.

3.10 Ethical Considerations

Ethics refer to questions of right and wrong according to Fraenkel and Wallen (2000) and serves as a guide to one’s behavior and integrity. According to the Constitution of Kenya (2010), the Bill of Rights is the foundation of Kenya’s democracy. It aims at the preservation
of individual and community dignity and researchers are obliged to observe the law to avoid litigations.

The collection of data for this study was also guided by the American Psychological Association’s (APA), rules and regulations which call for establishment of a clear and fair agreement with research participants prior to their participation, the obligations and responsibilities of each party and the primary responsibility of honouring of all commitments and promises included in the agreement by the researcher.

In regard to the above, the researcher sought permission to carry out the study from the National Commission for Science, Technology and Innovation (NACOSTI) and Kenya National Archives and Documentation Services Deputy Director (Appendices VII and VIII respectively) before going out to collect data. Informed consent in writing was also obtained from the participants as the basis for participation in the research. Confidentiality of the research data was accomplished through anonymity of the respondents and also ensuring that no one else, except the researcher, had access to the data and that it was used for the intended purpose only.

The researcher avoided any actions that could lead to either psychological or physical harm of the respondents during the research activity as advocated by the Committee on Scientific and Professional Ethics of the American Psychological Association (APA). This entailed assuring the respondents of safety during data collection and ensuring that there were no embarrassing questions, either in the questionnaire or interview schedules. Data integrity was also observed by not falsifying, forging, trimming, altering or creating data as warned against by Leedy & Ormrod (2001).
CHAPTER FOUR

PRESENTATION OF FINDINGS, INTERPRETATION AND DISCUSSION

4.1 Introduction

This chapter contains the findings, interpretation and discussion of the qualitative data collected from the staff and management of the four public record centres, namely; Mombasa, Nakuru, Kisumu and Kakamega as well as from the Director of Kenya National Archives and Documentation Service (KNA&DS). The data was collected through questionnaires, interviews, observation methods and documentary sources.

The collected data was edited and organized before analyzing and discussing it in the order of the objectives of this study. The said data is presented in form of textual description, tables, various types of graphs, charts and percentages. The chapter, also, includes response rates from each public record centre staff and management as well as the KNA&DS. The main themes that were explored in this chapter were:

1. Availability and application of the policies, procedures and regulations governing the activities of the various public records centres in Kenya.

2. The assessment of the suitability of the Public Archives (Amendment) Act (1990) and subsequent reviews in the execution of record centres’ mandate.

3. The extent to which the record centres are facilitated in order to meet their objectives.

4. Adequacy of the available personnel.

5. The role of awareness creation in the service provision to record centre clients.

6. Constraints and their effects on performance of the public record centres.
4.2 Response Rates

4.2.1 Response rates for staff questionnaire

The structured questionnaire (appendix I), was for the record centres’ eight technical staff. Being a census sample, eight (8) questionnaires were distributed among the respective number of staff in each public record centre going by information provided by the Deputy Director KNA&DS. The response rates for all was 100% as illustrated in Table 4.1.

Table 4.1: Response Rate for the Record Centres Staff Questionnaire (n=4)

<table>
<thead>
<tr>
<th>Record centre</th>
<th>No. of staff</th>
<th>Response rate</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mombasa</td>
<td>3</td>
<td>3</td>
<td>100</td>
</tr>
<tr>
<td>Nakuru</td>
<td>2</td>
<td>2</td>
<td>100</td>
</tr>
<tr>
<td>Kisumu</td>
<td>2</td>
<td>2</td>
<td>100</td>
</tr>
<tr>
<td>Kakamega</td>
<td>1</td>
<td>1</td>
<td>100</td>
</tr>
<tr>
<td>Total</td>
<td>8</td>
<td>8</td>
<td>100</td>
</tr>
</tbody>
</table>

Source: Field data (2015)

As presented in Table 4.1, Mombasa Record Centre had three (3) members of staff and all of them responded to the questionnaires making it a response rate of 100%, while Nakuru and Kisumu had two (2) members of staff each and all of them participated in the study. Kakamega Record Centre had the least number of staff; one (1) who completed and returned the questionnaire, making a total of eight (8) participants and a percentage return rate of 100 percent.
4.2.2 Response rate for the interview schedules

The researcher interviewed public record centre managers as well as the Deputy Director, KNA & DS (appendices II and III) respectively.

The managers of the four public record centres: Mombasa, Nakuru, Kisumu and Kakamega availed themselves for the interviews as earlier arranged on phone resulting to one hundred percent (100%) response rate in each case. The Director, KNA&DS delegated the interview to the Deputy Director who ably represented him. The response rates for both the managers and the Deputy Director are presented in Table 4.2.

Table 4.2: Response Rates for Interview Schedules (n=5)

<table>
<thead>
<tr>
<th>MANAGERS</th>
<th>Quantity</th>
<th>Response rate</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mombasa Record Centre</td>
<td>1</td>
<td>1</td>
<td>100</td>
</tr>
<tr>
<td>Nakuru</td>
<td>1</td>
<td>1</td>
<td>100</td>
</tr>
<tr>
<td>Kisumu</td>
<td>1</td>
<td>1</td>
<td>100</td>
</tr>
<tr>
<td>Kakamega</td>
<td>1</td>
<td>1</td>
<td>100</td>
</tr>
<tr>
<td>KNA&amp;DS</td>
<td>1</td>
<td>1</td>
<td>100</td>
</tr>
</tbody>
</table>

Source: Field data (2015)

The data above shows 100% response rates from the four record centre staff, management and the Deputy Director of KNA & DS. This may be attributed to the rapport the researcher had established with the Director KNA&DS who consequently introduced her to the Deputy Director as well as the various Public Record managers. This enabled the researcher to plan with the managers on the best way to administer the data collecting tools to ensure high response rates. Sufficient time was given for the answering of the questionnaires by staff because they were sent three weeks in advance through Postal Corporation of Kenya Registered Postal services. The enthusiasm witnessed during the interviews and in the
response to the questionnaires could also be associated with staff interest in wanting to express themselves about the challenges facing them.

4.2.3 Observation Guide

The researcher used the observation guide (Appendix iv) to collect data on location of each record centre, storage space, type of equipment and security of records. The observation was accomplished as scheduled in all the four public record centres. The following sections contain the findings, interpretations and discussion of data obtained from the field as per the research objectives.

4.3 Policy Guidelines, Procedures, Regulations and Standards

This was objective one of this study whose purpose was to establish whether or not there were policy guidelines, procedures, regulations and standards governing the activities of the record centre and their appropriateness in the attainment of the public record centres’ goals. The data for this objective was obtained through questions seven, eight and nine of the interview guides for both the Public Record Centre Managers and the Deputy Director KNA&DS.

4.3.1 National policy on archives and records management

Both the Deputy Director KNA&DS and the managers of the four public record centres lamented that there was no official National Policy of Archives and Records Management and they were currently using a draft policy.

In the words of the Deputy Director, KNA&DS ‘The draft policy document has not yet been ratified by Parliament for launching and adoption by the government as required, for it to become official’.
However, according to the informants, although in draft form, this was the policy that was being used to guide KNA&DS and by extension the public record centres in defining their mandate, functions and activities. The Deputy Director added that, in addition to the draft policy document, they also used Chapter 19 of the Laws of Kenya, government circulars and The International Standards for Archives and Records Management; (ISO 15489 2001). However, both the Deputy Director and record centre Managers regretted that the policy in use was still in draft form five years since its completion but also expressed optimism that it would soon be officially launched. Further probing of the Deputy Director on the reason for the delay revealed that, the document had already been presented to Parliament for discussion and he expressed optimism that it would soon be launched.

4.3.2 Scope of the policy

The draft policy recognized the unique role that the Archives institution can play in managing current records and in the selection of historical archives for the preservation of Kenya’s corporate memory. It clearly stipulated the aims and objectives of archives and records management and the necessity to encompass all official Government records in all formats including traditional, audiovisual, maps, plans and digital records. It also encouraged private persons and institutions with substantial archives to adopt a similar approach to that set out in the policy.

The policy was found to be adequate in terms of relevance and somehow comprehensive because it outlined the role, purpose and objectives as well as the scope of the public record centres’ activities. It also established the principles and obligations relating to proper records management practices in Kenya as advocated by Dawson (2015), Makotsi (2004) and Ngulube (2003) among others.
Of special relevance to this study, was the fact that, the Archives and Records Management policy document seen by the researcher outlined several objectives, one of which stated that the public record centres should ensure that public institutions select, preserve and manage their current records and their archives regardless of medium, in accordance with the relevant legislative requirements, guidance and agreed professional standards. That clause recognized the role and mandate of public record centres and was thus relevant to this study. The broad objective for public record centres as clearly stated in the policy document was meant to provide public record centres with oversight responsibility over the management of current records and archives in public institutions.

However, in relation to comprehensiveness, the draft policy document did not have specific details about funding of public record centres, staff establishment, management, security, jurisdiction and location. The researcher noted this as a serious error of omission as an organization cannot operate sufficiently without a clear statement especially on funding and staffing, and indeed, the management in all the public centres expressed problems with insufficient and inconsistent funding as well as understaffing resulting to underperformance.

A policy is an important document in the performance of any organization as it sets out the mission, vision and objectives of the organisation and how best to achieve them. A policy also provides an organization with the legal basis for its operations as clearly stipulated by Dawson (2015) and Makotsi (2004). Its role, therefore, cannot be overemphasized as it introduces effectiveness, economy and efficiency in the operations of an organization.

The finding about the absence of a national policy was supported by studies done by Dawson (2015), Makotsi (2004) and Mnjama (2003) who decried the absence of a written policy for records and archives management in Kenya and blamed it for the poor records management in public offices in Kenya.
4.3.3 Records and archives management standards

Objective one also sought to find out whether there were any standards governing the operations of the public record centres. Standards are an important part of any organization to enable it to ensure that a product, material process, method or service is fit for its purpose and consistently performs in the same way it was intended. Standards are also necessary in that they establish a common language and approach which define quality and can be used to measure performance.

The study established the existence of a Kenya National Archives & Documentation Service Records and Archives Management Standards (KNA&DSRAMS) document compiled by KNA&DS for the first time in 2010. The study focused on establishing whether or not public record centres operated within certain guidelines which should also have specifications to help establish their level of performance and a process of monitoring and evaluating that performance.

The question was put to the Managers of the public record centres and the Deputy Director (KNA&DS), who confirmed the existence of standards against which performance of public record centers could be established. Indeed, one of the documents made available to the researcher (Kenya National Archives and Documentation Service Records and Archives Management Standards 2010) confirmed the feedback received from the said informants that there indeed existed a means of measuring the performance of public record centres by using the standards themselves. The authority of the guidelines could be based on those behind their development as well as the sources used. In the words of the Deputy Director, the authority of the standards was based on the fact that:
They were guided by past professional experiences of staff, KNA&DS Act, Cap 19, Records Disposal Act, Cap 14, Government Financial Regulation and Procedures Cap 23, International Standards ISO 15489-1 and Various executive circulars issued from time to time.

The standards document listed record management operational framework, record management sensitization programmes, records appraisal procedure, records acquisition guidelines, records processing procedure, data entry, authorized destruction of public records, monitoring and evaluation as well as reference services at the public record centres as standard guidelines for their activities. Under each of the activities, step by step instructions were provided to help in the attainment of the set standards. The aims of the Standards as cited and which are important for this study included: to mainstream record management practices in the public sector, minimize wastage of resources by streamlining decision making, enhance universality, consistency and uniformity in the processes and services undertaken by public record centres. Asked what the KNA&DS institution had been using up to the year 2010 given that KNA&DS Standards Document was only compiled in 2010, the Deputy Director stated as follows:

Since the enactment of Cap 19, KNA&DS had yet to develop comprehensive records and archives management standards to guide the management of public records and archives, the department, through its various public record centres has been operating with disjointed internal rules and guidelines on record capture, survey appraisal, processing, disposal, monitoring and evaluation.

Given such a state of affairs, it was no wonder that there were problems in the management of records in public offices, as revealed by the various authors mentioned earlier.
4.3.4 Number of activities carried out in each public record centre

A probing question on the number of activities carried out in each record centre arose in respect to the standards used for the public record centres in order to find out whether the number of activities were in agreement with the standards of performance expected of them, which was all the activities. The data for this question was obtained through item number twelve (12) in the managers’ interview schedule and item number seven (7) in the staff questionnaire.

Compared to what is indicated in the Archives and Records Management Standards document availed to the researcher, the public record centres are expected to carry out twelve (12) different activities as follows: Records survey at both micro and macro levels, Records appraisal, record acquisition, record processing, monitoring and evaluation of records management activities, records destruction, reference services, training of staff, data entry and editing, follow up services, record management sensitization and records security. However, from the data available, none of the record centres was carrying out all of these activities. The ‘best performer’ (Mombasa) was carrying out nine (9) activities which amounted to 75%, while the ‘worst performer’ was Kakamega with five (5) activities, accounting for 41.6%. The number of activities carried out in each record centre are presented in figure 4.1.
Figure 4.1: Number of Activities Carried Out in Each Public Record Centre

Source: Field data (2015)

The activities listed by the Mombasa Record Centre staff were: survey and appraisal of records, acquisition of archival records, developing classification systems in public offices, accessioning and description of records, advisory services in government offices, storage and care of records, reference services, compiling annual and quarterly reports and publicizing and promoting archive services in the coastal region.

Nakuru Record Centre staff listed the same activities as the Mombasa ones but added the training of record officers on records management practices even though this could be construed as the advisory services activity mentioned by Mombasa staff because training sessions, usually offer opportunities for advisory services. The activities undertaken at both Mombasa and Nakuru Record Centres were the same ones undertaken in the rest of the public record centres; Kisumu and Kakamega Record centres, even though use of different wording was noted for example ‘training of record centre staff” was indicated as ‘seminars
and workshops’. In Kisumu record centre, the staff listed follow-up visits activity which had not featured under the other three record centres. This could be understood as a peculiar case because other record centres had cited impossibility for it due to insufficient funds and staff even though they had quoted it as one of ‘best practices’ activities necessary to be undertaken, funds allowing, to ensure that the recommendations given after a records survey exercise are implemented.

Notable also, was the fact that, only Mombasa Record Centre listed ‘compilation of quarterly and annual reports’ though the researcher had actually seen a copy of an annual report at Kisumu Record Centre. All the same, Mombasa Record Centre had listed more activities; numbering nine (75%) than any other record centre with Nakuru listing six (50%), Kisumu seven (58.3%) and Kakamega five; (41.7%). The most probable explanation for that discrepancy could be that Mombasa had the highest number of staff; (three), albeit still understaffed, compared to the other three record centres. Figure 4.1 clearly reveals poor performance in as far as the number of activities carried out were concerned given that, the majority of the public record centres studied; (75%) that is Kakamega, Nakuru and Kisumu; had an average of six activities (50%) out of a total of twelve.

A possible contributing factor to the smaller number of activities could be the number of staff available in the various record centres because, Mombasa Record Centre with the highest number of staff; (three) had the highest number of activities (nine; 75%) while Kakamega, with only one staff member had only five activities being carried out, all other factors notwithstanding. However, all the centres were operating below the standards set in the policy documents availed to the researcher especially because, all the twelve activities are crucial for the proper management of records in government offices. The effects of staff shortage was actually expressed by the record centre managers themselves who revealed that they were
inevitably undertaking duties normally carried out by ordinary staff including field work at the detriment of some of their normal duties because of staff shortage. The question was particularly put to the Kakamega record centre manager who had only one member of staff. Asked whether this staff shortage could negatively impact on administrative work, the response was that when the little money was received, they both went out for field work and postponed the office work. This kind of scenario would definitely affect performance in the public record centres because one member of staff cannot be expected to do everything there is to be done.

4.3.5 Frequency distribution of the activities in the record centres.

The study also, looked into the way the various activities were distributed among the public record centres in order to establish which among the necessary activities listed in the standards document were worst hit or even missing and, therefore, affecting the performance of the public record centre in question. The details on the frequency distribution are presented in Table 4.3.
Table 4.3: Frequency Distribution of Record Centres’ Activities. (n=12)

<table>
<thead>
<tr>
<th>Type of Activity</th>
<th>Number of Record Centres Carrying It Out</th>
<th>Frequency%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Survey of records</td>
<td>4</td>
<td>100</td>
</tr>
<tr>
<td>Appraisal of records</td>
<td>4</td>
<td>100</td>
</tr>
<tr>
<td>Processing of acquired records</td>
<td>4</td>
<td>100</td>
</tr>
<tr>
<td>Reference services</td>
<td>4</td>
<td>100</td>
</tr>
<tr>
<td>Training of record officers/seminars and workshops.</td>
<td>2</td>
<td>50</td>
</tr>
<tr>
<td>Follow-up visits</td>
<td>1</td>
<td>25</td>
</tr>
<tr>
<td>Awareness creation</td>
<td>1</td>
<td>25</td>
</tr>
<tr>
<td>Development of filing systems</td>
<td>1</td>
<td>25</td>
</tr>
<tr>
<td>Compilation of quarterly and annual reports</td>
<td>1</td>
<td>25</td>
</tr>
<tr>
<td>Storage and care of records</td>
<td>4</td>
<td>100</td>
</tr>
<tr>
<td>Monitoring and evaluation</td>
<td>0</td>
<td>00</td>
</tr>
<tr>
<td>Records disposal</td>
<td>0</td>
<td>00</td>
</tr>
</tbody>
</table>

Source: Field data, 2015

It is deductible from Table 4.3 that out of the twelve (12) activities supposed to be carried out in the public record centres, according to the ‘Archives and Records Management Standards’ policy document available, only four of them (33.3%) are carried out in all the public record centres, that is processing of acquired records, survey and records appraisal, reference services and storage and care of records. Only two of the four record centres (50%) indicated that they trained record officers/organize seminars and workshops. The other seven activities listed were apparently being done in only one of the four (25%) of the record centres.

Finally, two activities: “monitoring and evaluation of record management activities” and “record destruction” were not listed by any of the four public record centres studied meaning that, they were not being done at all. The first one; monitoring and evaluation, is a crucial
activity meant to ascertain whether public record centres understand what they had been advised to do earlier and if not, a repeat activity would be necessary to avoid malpractices being perpetuated in the government offices. Record destruction refers to getting rid of valueless records once the creating offices no longer need them. From the information given by record centre managers, this activity was left to creating offices themselves to carry out in spite of the fact that this could have serious repercussions on the security and confidentiality of public records.

In summary therefore, the fact that not all the necessary activities as per the Archives and Records Management Standards are carried out is a clear pointer to poor performance in the public record centres.


4.4.1 Introduction

This was objective two of the study. The questions were contained in the interview schedule for the Director KNA&DS (items 11 to 15). The purpose of the objective was to find out whether the current law Public Archives (Amendment) Act, 1990 was sufficiently comprehensive and relevant to enable the KNA&DS and, by extension, the Public record centres carry out its mandate of ensuring that there were proper records management practices in public offices in Kenya. The findings were as recorded in section 4.4.2.

4.4.2 Shortcomings of the Kenya Public Archives (Amendment) Act (1990)

According to the Deputy Director, the Archives Law as cited, was neither specific nor comprehensive enough as it was said to be lacking in some crucial details that were hindering
proper functioning of the archives department and by extension the public record centres.

The following is what the Deputy Director said:

*The current legislation does not indicate the legal obligations of the record creators in ensuring that the public records are properly managed through the provision of the right calibre of staff in sufficient quantities and the facilities, including finances necessary to safeguard the records against insecurities.*

This resulted to a lot of apathy on the part of the record creators and the administrators in public offices for lack of the necessary guidance from the Act. The record centres’ management staff also expressed this apathy and the difficulties it poses in convincing the record creators of the necessity of applying proper records management practices in public offices.

Among the challenges faced as indicated under item number 42 in the interview schedule, the Kakamega Record Centre manager cited “lack of cooperation from the record creators especially during record survey exercises.” Nakuru Record Centre manager called it “lack of support from our clients” while the Kisumu and Mombasa Record Centre managers decried the “apathy from administrators in the record creating offices.” That lack of cooperation according to the various respondents meant that the public record office staff treated the record centre staff with mistrust, often refusing to carry out the instructions given. This often led to poor record organization and storage, lack of proper appraisal, retention and disposal tools.

Both the record centre managers and the Deputy Director KNA&DS noted discrepancy in the Act as a major setback in the proper performance of Public record centres and added that there was a draft proposal in the pipeline to have the law revised to rectify that shortcoming in the Public Archives Act, among others.
Other shortcomings in the Public Archives Act in regard to performance of Public record centres in the provision of proper records management practices in public offices in Kenya were revealed by the Director KNA&DS as follows:

*There are also the omission of the term ‘records’ in the Act, the lenient penalties on offenders in matters related to records and absence of the term ‘electronic records.*

A sound records management program requires a legal framework that is well grounded in a country’s constitution. For instance, The National Archives and Records Service of South Africa Act No. 43 of 1966 as amended by Cultural Laws Amendment Act 36 of 2001, provides for a National Archives and Records service; the proper management and care of the records of government bodies, preservation and use of National archival heritage and to provide for matters connected therewith. ([www.national.archives.gov.za](http://www.national.archives.gov.za))

The above Act sets out clearly the parent body of the National Archives and Record Service of South Africa, its objectives and functions, Powers and duties of the National archivist, establishment, constitution and functions of National archives advisory council, Custody and preservation of records, access and use and management of public records. Under this Act, the National Archivist shall be charged with the proper management and care of public records in the custody of government bodies whereby he will determine records classification systems to be applied in the government bodies, determine the condition subject to which records may be microfilmed or electronically reproduced and determine the conditions subject to which electronic record systems should be managed.

The National Archivist is empowered by the said Act to, from time to time, issue directives and instructions which shall not be inconsistent with the regulations as to the management and care of public records in the custody of government bodies.Finally, of interest to the objectives of this research is the provision in this Act that the records manager shall be
responsible for seeing to it that the government body complies with the requirements of this Act.

The South African Act also sets out penalties for offences associated with violations of this Act. Of interest here are the fines imposed for such offences which should be 663,000 (current exchange rate 6.63 (www.moneyconverter.com.ZAR>KES) or to an imprisonment for a period not exceeding two years or both such fine and imprisonment. The offences referred to include wilful damage, removal, destruction or erasing of any public or non public records in the control of a government body. Any person who fails to comply with any stipulations in the Act shall also be liable of an offence and a fine amounting to between R5,000 and R10,000 depending on the gravity of the offence committed.

4.4.3 The Implication of the shortcomings in the Public Archives (Amendment) Act, 1990

The implication of the omission of the word ‘records’ in the archives legislation to the performance of public record centres as directly expressed by the managers was that:

"record creators insist that the public record centre staff should limit their involvement to dormant records only among which could be archival records and not ‘their’ current and semi current records."

Notice the use of quotations on the word ‘their’ which emphasized ownership of current records by record creators. This is improper because public records should be managed by record creators with help from public record centre managers throughout the whole record continuum or lifecycle from creation to disposal in order to ensure proper records management in their storage, maintenance, appraisal and disposal to avoid record losses and destruction of would-be archival records.
Low penalties or fines for crimes related to records had implications as well. Penalties for violators of the Act, currently at Ksh5,000 or an imprisonment for a term not exceeding six months are not deterrent enough according to the KNA&DS Deputy Director. The record creators continually destroy dormant records without permission of the Director because the fines are very low. Asked why he could not report record creators to the relevant authorities for violating the act, the Deputy Director responded that ‘it was important that the two parties maintain cordial relations.’ One wonders at what cost. This was a clear case of lack of the necessary assertiveness on the part of the archives management, a problem that had been highlighted by Sanya (2015) among others.

It also came out during the interview with the public record managers that the current Public Archives legislation had no mention of electronic records. This omission was confirmed in the document itself probably because in 1965 and to some extent, 1990s, electronic records were not being produced in large numbers and the systems were mainly analogue. Asked what effect that had on their work, the Deputy Director as well as the record centre managers were in agreement that:

*The law should contain clauses on how they should be managed as they require specialized care compared to paper based records.*

Other shortcomings of the Act according to Deputy Directors KNA&DS and record centre managers was the absence of a placement clause for the Director; KNA&DS, clearly indicating the government ministry under which the archives institution should fall in order to avoid the frequent changes of the department from one ministry to another which, according to the Deputy Director tended to destabilize the workings of the department. The argument was that when placed under a weaker ministry, or lumped with many other departments, the office of the Director ‘cannot issue authoritative circulars to government ministries
concerning management of public records, yet the same is charged with the responsibility for their records’ care throughout their life’.

The informants, particularly the manager of Kisumu Record Centre revealed that the Department of National Archives was at one time under the Ministry of Home affairs, then later, Office of the President before being placed under the Ministry of Natural Heritage and Culture and then again under the Ministry of Culture, Sports and the Arts, where it is currently accommodated. According to information received from the KNA&DS Deputy Director, those numerous changes had:

_Destabilized the institution in that there was lack of consistency and follow-ups in crucial matters that could have been presented earlier for discussion with the previous ministry._

Lumping KNA&DS with other departments, like it is currently, in the Ministry of Sports, Culture and the Arts, according to the informant, sometimes resulted to its being overshadowed due to a common misconception that management of records is not a crucial function compared to other functions. The misconception, the informant added, resulted to apathy and lack of support especially in the funding of the department, thus leading to insufficient financing of its activities in the management of public records.

Probed on what, in his opinion, would be an appropriate ministry for the placement of KNA&DS in relation to item number three of the schedule, the Deputy Director preferred strong ministries like the Ministry of Devolution or the Office of the President arguing that, only then could their circulars and other communications regarding the way forward in the management of public records be taken seriously by other ministries. His suggestion was echoed by the manager, Kisumu record centre, who also had suggested the Office of the President justifying it as follows:
We need a ministry with clout and which cuts across all Ministries so that our circulars can be taken seriously and also be adequately funded and staffed.

The Kisumu Record Centre manager spoke with authority being one of the most highly experienced of the National Archives staff (34 years) and having witnessed the department being moved from one ministry to another as earlier explained. This was an indication that currently most of their communication and suggestions were not given the attention they deserve. According to the Deputy Director, the Act requires urgent review so that the issues discussed above could be addressed in order to provide the Director of KNA&DS with the powers needed as well as update the Act to incorporate the changes introduced under the Kenya Constitution (2010) on devolution.

All the findings in objective three of this research were supported by researches done by Olunkade and Adebayo (2003), who emphasized the importance of having an effective archival legislation because it affects the development of archival institutions and their ability to act as the memory of the countries in which they are established.

On matters of placement of an archival institutions, Olunkade and Adebayo (2003) continued to say that, attachment of an archival institution is crucial in the provision of its services, citing several countries which have placed the archival institution in powerful offices like the Office of the Vice-president in countries like Cameroon, Gabon and Lebanon, while in developed countries like USSR and Britain, it was under the Council of Ministers’ Office and the Office of Lord Chancellor, respectively all of which are very powerful.

The writers quoted above concluded by lamenting the fact that, most African countries, especially former colonies do not specify the authority under which the National Archives should fall resulting into the flirtation of archives institution with a number of ministries with
varied interests and experiences. This assertion reflects the situation in Kenya where the archive institution has been shifted from one ministry to another over the years, some of which have not been supportive enough as revealed by the informants in this study.

4.5 Facilitation of Public Record Centres

4.5.1 Introduction

The term “facilitation” is used in the context of this study to refer to the availability of the necessary requirements to enable the public record centre staff carry out the activities expected of them so as to achieve their goals. These requirements include enough qualified human resource/staff, the necessary finances, enough storage facilities, equipment and appropriate accommodation. This was with the understanding that performance of any organization is heavily dependent on the degree of its facilitation. (IRMT and UNESCO guidelines.

Data for this objective was collected through the use of staff questionnaire; item 15, Managers’ interview guide, item numbers 16, 17 and 18, Director’s interview guide, item number 19, 20, 21, and 22 as well as the observation guide, item number one. The observation list was particularly useful in the assessment of storage facilities and equipment as well as space and location of the various record centres. The following were the responses received from both the workers and management in the four public record centres on the various aspects of facilitation.

4.5.2 Staffing in public record centres

4.5.2.1 Introduction

Staffing in the public record centres was assessed in terms of quantity and quality as both aspects are necessary in the performance of public record centres. Staff included the workers
engaged in record management activities and the management personnel, in the record centres studied.

4.5.2.2 Number of staff in the public record centres

The following data present the number of staff, including management staff, in each record centre compared to the number required under a full staff establishment of twenty. The figures were obtained from the Deputy Director in response to item numbers 21 and 22 of the interview guide and also from item numbers 16, 17 and 18 in the manager’s interview guide. The data was as presented in Table 4.4.

Table 4.4: Public Record Centres’ Staffing Levels Against Full Establishment. (n=4)

<table>
<thead>
<tr>
<th>Record centre</th>
<th>No. of staff</th>
<th>Full staff establishment</th>
<th>Percentage staffing</th>
<th>Percentage understaffing</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mombasa</td>
<td>4</td>
<td>20</td>
<td>20</td>
<td>80</td>
</tr>
<tr>
<td>Nakuru</td>
<td>3</td>
<td>20</td>
<td>15</td>
<td>85</td>
</tr>
<tr>
<td>Kisumu</td>
<td>3</td>
<td>20</td>
<td>15</td>
<td>85</td>
</tr>
<tr>
<td>Kakamega</td>
<td>2</td>
<td>20</td>
<td>10</td>
<td>90</td>
</tr>
<tr>
<td>Totals</td>
<td>12</td>
<td>80</td>
<td>15</td>
<td>85</td>
</tr>
</tbody>
</table>

Source: Field data, 2015

From the data displayed in Table 4.4, all the four public record centres are grossly understaffed by between eighty (80) and ninety (90) percent which reflects very few staff compared to the number recommended for each public record centre which is 20. These low levels of staffing can seriously affect the performance of the organizations. In regard to these findings, Mombasa Public Record Centre manager commented that: “it seriously affects field surveys to the effect that very few record offices are visited”. The same sentiments were expressed by the managers of Nakuru, Kisumu and Kakamega Record Centres. All of
therecord centre managers expressed dissatisfaction with the number of staff available. On his part, the Deputy Director, KNA&DS lamented that public record centres could not satisfactorily carry out their mandate with such low staff levels. Probed further on whether the staffing levels had always been that low, the Deputy Director replied that:

*The low staff levels had been due to natural attrition and resignations with no replacement due to freezing of staff recruitment by the government since the 1990s.*

Asked what effect such low staffing levels could have on performance, the managers said that they could not sufficiently meet the requirements for the various subsections in the record centre. The manager, Kisumu Record Centre further revealed that there was no particular staff distribution as per the various subsections and no specialization in the activities adding that, the work was done as it arose. According to Palmer (2015), lumping of staff with different job descriptions could demotivate them because it deprives them of the necessary autonomy of carrying out only those tasks related to their job descriptions and specification. The situation as revealed, can inevitably lead to an overworked and demotivated staff as revealed by the staff members through the questionnaires who wrote that they felt demotivated in their work. Mnjama (2003) has emphasized the importance of working with a motivated staff in order to achieve an organization’s objectives.

Crucial to the purpose of this research was, also, the revelation by both management and staff of the public record centres that they were neither able to visit as many public offices as required, nor carry out all the activities necessary in order to improve record management practices in those organizations, due to staff shortage. The same understaffing problem had made it impossible to establish additional public record centres to serve the ever increasing number of public offices in Kenya as expressed by the Deputy Director, KNA&DS in
response to item no. 23 of the interview guide when he said that, “with sufficient staffing levels and funds, we can establish new public record centres in Embu, Eldoret and Kisii”.

Given that each record centre was attempting to provide all the necessary services in at least four sub sections, the least number of staff in each record centre should have been sixteen. This assertion is supported by Mnjama (2003), IRMT (2003) and ISO 15489 (2001). However, given the current staff levels in the public record centres in Kenya it is impossible to even consider establishing new public record centres in spite of the need to do so, as correctly argued above by the Deputy Director, KNA&DS.

4.5.2.3 Academic and professional qualifications of the public record centre staff

The study also looked into the levels of staff competence in the record centres under study. Staff competence is largely determined by academic, professional and experience levels and the researcher sought to establish the same for the various public record centre staff with the understanding that competence has an impact on the performance of an organization. The data for this objective was obtained through staff questionnaires for staff and interviews for both record centre managers and the Deputy Director, KNA&DS and is presented in Table 4.5.

Table 4.5: Highest and Lowest Academic & Professional Qualifications of the PRC Staff. (n=12)

<table>
<thead>
<tr>
<th>Record centre</th>
<th>Academic Qualifications</th>
<th>Professional qualifications</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Highest</td>
<td>Lowest</td>
</tr>
<tr>
<td>Mombasa</td>
<td>Bachelors degree (1)</td>
<td>Ordinary level certificate(3)</td>
</tr>
<tr>
<td>Nakuru</td>
<td>Masters (2)</td>
<td>Ordinary level certificate(1)</td>
</tr>
<tr>
<td>Kisumu</td>
<td>Ordinary level certificate (3)</td>
<td>Ordinary level certificate</td>
</tr>
<tr>
<td>Kakamega</td>
<td>Bachelor’s degree (1)</td>
<td>Ordinary level Certificate (1)</td>
</tr>
</tbody>
</table>

Source: Field data (2015)
The data collected revealed that majority of the staff in the four public record centres studied, had the minimum academic qualifications (ordinary level certificate) and professional qualifications (diploma) for the requirements of records management personnel as was provided for in the ‘Revised Scheme of Service for Archives Personnel’ (2006). The highest professional qualification was a Masters degree in either Information Science or Records Management. However, none had a doctorate degree, though one of the managers had enrolled for the course. That meant that all the twelve members of staff, in the public record centres studied, were fully qualified, albeit at different levels.

The study, also looked at the distribution of staff in relation to professional qualifications and noted that the majority of the staff; seven (7) out of twelve (12) (58.3%) had diploma certificates, three (3) out of twelve (12) (25%) had Bachelor’s degrees while the remaining two (2) (16.7%) had masters degrees. This distribution, however, reveals that, even though all the twelve (12) staff and management in the four record centres are professionals in archives and records management as well as other related disciplines like Archival studies, the majority of them; seven, (58.3%) had the lowest levels of professionalism—diploma certificate. This was likely to have a negative impact on performance of record centres because, as highlighted by Mnjama, (2003) and Kemoni, (2008) among others, the effectiveness of services provided is as good as the quality of the staff providing it.

On the part of the record centre managers, however, three out of the four; (75%) had either a Bachelor’s; (2) or Master’s degrees; (1), implying that the management was in the hands of qualified personnel. However, one manager (25%) had a Diploma certificate but, in the opinion of the researcher, that qualification had been more than compensated for by the said staff’s long years of experience; (34) going by how passionately and correctly the manager articulated the role and functions of public record centres. Thus, it can correctly be construed
that, there was little problem with the interpretation of policies, planning, coordination, control, budgeting et cetera in the public record centres. The distribution of the professional qualifications of the twelve (12) members of staff in the record centres studied is presented by way of percentages, in fig 4.2.

As indicated in figure 4.2, there are seven (7) out of twelve (12) members of staff; (58.3%) with Diploma qualifications, three, (3); (25%) with Bachelors certificates, two, (2); (16.7%) with Masters degree and none; (0%) with Doctorate degree.

4.5.2.4 Job experience of the public recordcentres’ staff

The question on job experience for staff and management in public record centres was put under general information section of staff questionnaire and interview schedule as item three. The purpose for this question was to assess staff and management competence in relation to experience with the realization that the longer an employee works the better the performance becomes. The data collected is displayed in Table 4.6. It shows the lowest and highest experience in years for staff in each public record centre.
Table 4.6: Highest and Lowest Public Record Centre Staff Job Experiences (n=12)

<table>
<thead>
<tr>
<th>Name of Record Centre</th>
<th>Experience in Years</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Highest</td>
</tr>
<tr>
<td>Mombasa</td>
<td>34</td>
</tr>
<tr>
<td>Nakuru</td>
<td>20</td>
</tr>
<tr>
<td>Kisumu</td>
<td>34</td>
</tr>
<tr>
<td>Kakamega</td>
<td>35</td>
</tr>
</tbody>
</table>

Source: field data, 2015

The experience of staff in the four public record centres ranged between eight and thirty five years. Three of the four public record centres, that is (75%), had staff with the longest experience, ranging between thirty four and thirty five years, with only one of them, accounting for (25%) having a maximum staff experience of twenty years. The management staff job experience requires a special mention because the managers have the responsibility to ensure that all the management functions are done through the rest of staff. In this regard, the data provided for each public record centre as collected through item three (General information) of the interview schedule is displayed in Table 4.7

Table 4.7: Public Record Centre Managers’ Job Experiences in Years (n=4)

<table>
<thead>
<tr>
<th>Record centre</th>
<th>Job experience in years</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mombasa</td>
<td>34</td>
</tr>
<tr>
<td>Nakuru</td>
<td>20</td>
</tr>
<tr>
<td>Kisumu</td>
<td>30</td>
</tr>
<tr>
<td>Kakamega</td>
<td>8</td>
</tr>
</tbody>
</table>

Source: Field data, 2015

From the data presented in Table 4.7, three public record centres, namely Mombasa, Nakuru and Kisumu, representing (75%) of the total number of record centres studied, were under
highly experienced management staff with between twenty (20) and thirty four (34) years of experience. Two public record centres accounting for (50%) which included Mombasa and Kisumu had managers with thirty (30) and thirty four (34) years of experience respectively. Only one (25%) of the four public record centres studied, that is Kakamega, had a manager with eight years of experience. That notwithstanding, it is notable that three public record centre managers met the requirements for the minimum experience of fifteen years as stipulated under the IRMT guidelines.

The said guidelines also, affirm that highly experienced managers are considered capable of conducting trainings and advising government ministries on efficient running of record offices. Whereas that could be true, it is also arguable that performance of a record centre is determined by much more than experienced managers and indeed, from the data collected, Kakamega Record Centre, with the least experienced manager, was not performing any worse than the rest of the record centres. All the same, data collected revealed a majority of staff (including management) with long enough experience to obtain a good grasp of the policies, objectives and activities of the organization and how best to implement them so as to achieve the organization’s goals given all the necessary facilities.

Unfortunately, though, the long experiences for some staff, is a clear indication of an aging human resource that is likely to leave the service soon. Given the current shortage of staff that has been observed, this can result to a crisis in the performance of the public record centres unless new recruitment of staff is done.
4.5.3 Funding of the public record centres as an aspect of facilitation

4.5.3.1 Introduction

The issue of funding was part of the third objective of the study which sought to assess the extent to which public record centres were facilitated by way of sufficient and adequate funding in order to fulfill their mandate. The data was collected through items 24, 25 and 26 of the interview schedule for the Director, KNA&DS and item 21 and 22 in the interview schedule for the managers. Towards this end, the researcher sought to find out whether or not public record centres were adequately facilitated as far as funding was concerned. Information was also sought in regard to the effects of funding on public record centre performance.

4.5.3.2 Funding of the public record centres

The information received from all the four managers and the Deputy Director, KNA&DS on whether they received sufficient funding was as follows: Mombasa Record Centre manager stated that he did not receive enough money for their operations. A similar reply came from the Nakuru Record Centre manager who said that he received insufficient funds. Similar responses were received from the managers of Kakamega and Kisumu Record Centres with the Kisumu record centre manager adding that the little funding for each financial year was usually received late. To support this statement, the said manager added that, funds for 2015/2016 financial year had not been received by August 2015 and that, going by past experiences, it would take more time to be released.

The Deputy Director, on his part, had explained that, all public record centres were equally funded irrespective of their jurisdiction. Probed further on the amount that he would consider sufficient for one financial year, the Deputy Director replied that it would be either three or
five million Kenya shillings depending on whether a record centre had rented premises or not. He clarified that Mombasa and Nakuru record centres required more for this reason but other expenditures were ‘equally funded for in the various record centres. He summed up by stating that, the remaining amounts were always insufficient for the record centre activities.

The record centre managers were then asked to explain how the extent of funding affected the performance of the record centres; (Item 22 of the schedule) and the response of Kisumu Record Centre manager was, “Underfunding is a great set-back in our activities.” Mombasa Record Centre manager also regretted the low funding levels saying:

We cannot carry out record surveys as efficiently as we should because far off public offices cannot be visited as there is no money for transport and staff allowances.

Nakuru Record Centre manager’s response was also categorical about the effects of underfunding as he said:

underfunding has seriously affected our performance in that, we sometimes cannot purchase crucial items like brooms, stationery and even dusters leave alone going for field work. Staff morale is also affected because of lack of travel allowances like other civil servants.

Nakuru record centre was the most affected by underfunding because it had the largest jurisdiction and as earlier stated by the Deputy Director, KNA&DS, funding was not based on the size of jurisdiction. Information obtained from documentary sources (Annual Report for 2014/2015 financial year) from Kisumu Record Centre stated as follows in its conclusion on page ten (10):

As we come to the end of our performance contract 2014/2015, it is imperative that funding be increased to enable us salvage some records of the former defunct local authorities of Migori and Siaya counties as these file were removed and dumped outside while others are dumped in corrugated temporary structures.
The feedback from the three record centre managers established that performance of the record centres was heavily negatively impacted on by lack of sufficient funding to the extent that they were not able to carry out all the necessary activities especially record surveys leading to unsatisfactory performance. Purchasing necessary items like stationery, dusters among others, for work in the record centres was also affected sometimes, leading to idleness on the part of staff.

Kakamega record centre Manager was the only one who reported that field work was not heavily impacted on by lack of funding because, “most public offices are concentrated in the former provincial headquarters where the record centre is also located.” The jurisdiction was also small compared to other record centres and indeed, from the statistics given in regard to the visits made to public offices, Kakamega Record centre had the highest number of visits to public offices.

The Deputy Director, KNA&DS confirmed the lack of adequate funding of the public record centres during the face to face interview saying; “Funding is a necessity in all organisations if they have to post good results.” This would imply that, the level of performance was directly influenced by the amount of funding. The Deputy Director lamented the lack of enough staff, storage equipment and facilities, stationery and vehicles for transport to the public offices saying:

*There should be at least three vehicles for field work and one for the manager in the record centre. Space for the various activities and staff accommodation at work was inadequate in most record centres.*
4.5.4 Equipment and facilities in the public record centres

4.5.4.1 Introduction

This was part of objective three of this research which sought to establish the extent to which public record centres were facilitated in order to achieve their objectives. Data for assessment of the availability of facilities and equipment in the public record centres was collected through the use of observation check list and interview guides for both the record centre managers and the Director, KNA&DS. These were item numbers twelve, (12) thirteen (13) and fourteen (14) of the managers’ interview schedule and items twenty one (21) and twenty two (22) in the interview schedule for the Director, KNA&DS.

The purpose for the assessment of the availability of facilities and equipment was in the recognition of their importance in helping to fulfil the mandate of public record centres, as they facilitate the carrying out of the twelve activities listed in the ‘Records and Archives Management Standards’ policy document, available at KNA&DS. These included: record surveys, records appraisal, record acquisition, record processing, monitoring and evaluation, records disposal, reference services, staff training, data entry and editing, follow-up services, record security and awareness creation. This would have a positive impact on their performance. The findings on availability/unavailability of the facilities and equipment, totalling twelve in number, are tabulated in Table 4.8.
Table 4.8: Availability of Storage Equipment and Facilities in Public Record Centres (n=12)

<table>
<thead>
<tr>
<th>Type of equipment/facility</th>
<th>Mombasa</th>
<th>Nakuru</th>
<th>Kisumu</th>
<th>Kakamega</th>
</tr>
</thead>
<tbody>
<tr>
<td>Storage for paper records</td>
<td>Available</td>
<td>Available</td>
<td>Available</td>
<td>Available</td>
</tr>
<tr>
<td>Accommodation for staff</td>
<td>Available</td>
<td>Available</td>
<td>Available</td>
<td>Available</td>
</tr>
<tr>
<td>Storage for non-paper records</td>
<td>Unavailable</td>
<td>Unavailable</td>
<td>Unavailable</td>
<td>Unavailable</td>
</tr>
<tr>
<td>Loading dock</td>
<td>Unavailable</td>
<td>Unavailable</td>
<td>Unavailable</td>
<td>Available</td>
</tr>
<tr>
<td>Stack area</td>
<td>Unavailable</td>
<td>Unavailable</td>
<td>Available</td>
<td>Available</td>
</tr>
<tr>
<td>Reference area</td>
<td>Unavailable</td>
<td>Unavailable</td>
<td>Available</td>
<td>Available</td>
</tr>
<tr>
<td>Fire fighting equipment</td>
<td>Available</td>
<td>Available</td>
<td>Available</td>
<td>Available</td>
</tr>
<tr>
<td>Parking facility</td>
<td>Unavailable</td>
<td>Unavailable</td>
<td>Unavailable</td>
<td>Available</td>
</tr>
<tr>
<td>Transport vehicles</td>
<td>Available</td>
<td>Available</td>
<td>Available</td>
<td>Available</td>
</tr>
<tr>
<td>Fumigation chamber</td>
<td>Unavailable</td>
<td>Unavailable</td>
<td>Unavailable</td>
<td>Unavailable</td>
</tr>
<tr>
<td>Vacuum cleaners</td>
<td>Unavailable</td>
<td>Unavailable</td>
<td>Unavailable</td>
<td>Unavailable</td>
</tr>
<tr>
<td>Future expansion area</td>
<td>Unavailable</td>
<td>Unavailable</td>
<td>Unavailable</td>
<td>Available</td>
</tr>
<tr>
<td>Percentage</td>
<td>33.3%</td>
<td>33.3%</td>
<td>50%</td>
<td>75%</td>
</tr>
</tbody>
</table>

Source: Field data, 2015

From the data presented in Table 4.8, the highest level of facilitation among the four record centres was seventy five percent (75%) for Kakamega Record Centre and the lowest was Nakuru and Mombasa Record Centres which were at thirty three point three percent (33.3%) each. Their storage areas were very congested with some record cartons on the floor for lack of shelf space.(Appendices IX& XII) respectively). There was, hardly any room for researchers who were confined to a small table, hardly sufficient for one person, and with no privacy and convenience for private study because everybody was passing along that
corridor. The processing area doubled up as the accommodation for staff which should not be the case because staff should only be there when processing records but not doing office work. However, the manager had a large office with the necessary equipment and facilities comprising computer, office furniture and telephone. Nakuru Record Centre storage space was completely full and highly congested. Some records were on the floor, albeit in archival boxes, raising the concerns of lack of space to store records in the future.

Kisumu Record Centre’s facilitation was moderate, at 50%, but it was lacking in the facility for research activities, with researchers being accommodated in the records processing section, thus compromising confidentiality of public records as well as researchers’ comfort. The manager, however, explained that, space for reference services was available but due to staff shortage, researchers had to stay with the few available staff for convenience, though he was in agreement that, the situation compromised confidentiality of records and comfort of the researchers. The manager explained the paradox by saying “the available staff have to stay here to serve the researchers instead of having to be called from their offices.”. This was a clear indicator of serious understaffing whereby some crucial sections were unmanned.

Kakamega Record Centre had the highest number of equipment especially in relation to storage space for records unlike other public record centres as it was equipped with mobile shelves as shown in Appendix X page 195. These mobile shelves provided economy of space due to their mobility. However, Kakamega Record Centre, like the others, did not have a reference room for research work with the researchers being served in the record processing area (as was observed). The absence of a reference area was unexpected given that Kakamega Record Centre had space where provision could have been made for the reference area. However, the reason for absence of a reference area facility could also be attributed to shortage of staff like it was at Kisumu record centre whereby staff and
researchers had to be together for convenience purposes. Kakamega Record Centre had only one member of staff, excluding the manager, as found out earlier. Kisumu Record Centre had adequate storage space for its records for the time being as no congestion was observed. The manager confirmed the same but added: “mobile shelves would be more preferrable in the future because they are economical with space.”

Appraisal and disposal areas were not available in any of the record centres reportedly because records were appraised at the creating agencies/offices for lack of space in the record centres. In addition, Mombasa, Nakuru and Kisumu managers clarified that disposal methods, other than transfer to the archives, were also left to the record creators to carry out, which was risky, as there was no time and resources to confirm whether it was actually done. This problem was not prevalent at Kakamega record centre because the public offices were in the same locality and, therefore, within reach.

In conclusion, the findings of objective three clearly show that, the four record centres studied were variously facilitated but none of them could be said to have been fully facilitated. The distribution of facilitation in percentages is presented in figure 4.4.

![Figure 4.3: Levels of Facilitation in Percentages.](source: Field data (2015))
The findings on levels of facilitation were supported by information obtained from the Deputy Director, KNA&DS as well as the managers of the various record centres in their responses to item numbers 18 and 25 respectively, of the interview schedule which was that “none of the record centres has all the necessary equipment and facilities.”

Notable also, was the observation that none of the four record centres studied had storage equipment for non-paper records, also known as electronic records. This was considered a major omission in the modern electronic age during which most, if not all, public offices are expected to create electronic records. Another facility completely lacking in all the four record centres investigated was a fumigation chamber used in the ‘treatment’ of records infected by either biological or physical hazards before they are processed.

Majority of the public record centres; three, (75%) were lacking in another vital facility, namely, room for future expansion, with Kakamega Record centre being the only one with space for both lateral and vertical expansion in the future. The rest of the record centres, from the researcher’s observation, were in single-floor rented premises with little possibility for further room allocation because of “cost implications” as explained by the Deputy Director KNA&DS. This issue was critical because clearly, some of the record centres’ storage space facilities, for example, Mombasa and Nakuru were already so heavily congested such that, some records could be seen damped at corners in the storage area for lack of shelves.

The lack of room for future expansion facility is a crucial setback given that record centres are information centres which are by nature dynamic. It was also revealed that lack of storage space facility can prevent record centre staff from carrying out record surveys because there is no room to store more records.

On the issue of transport, all the record centres had one vehicle each. Kisumu Record Centre manager lamented that situation saying:
One vehicle is insufficient for field work because, when it breaks down, which is often, no further visits to public offices can be done until it is repaired, which could take months. Furthermore, one vehicle per record centre means that the record management staff can go to only one office at a time instead of splitting to save time and do more work.

Asked about the minimum number of vehicles that each record centre should require, the Deputy Director replied that with the required number of staff being there, there would be need for:

three vehicles so that, at least two teams can be in the field while the third one remains with the manager for administrative duties. In case of a mechanical break-down, there would be a vehicle on standby.

Due to the absence of the necessary facilitation in all the public record centres in staffing, funding, equipment and facilities as well as ideal location for the majority of them, the Director KNA&DS agreed that none of the public record centres would be said to be ‘purpose-built” because in his own words:

none of the record centres met all the requirements of a purpose-built record centre.

Purpose–built means designed and constructed to serve a particular purpose or made to meet a specific purpose. (www.thefreedictionary.com>purpose-b…). In the case of a record centre, the purpose is to preserve and disseminate archival information. To meet this purpose, a record centre should be secure, spaceous, fully staffed and with all other necessary facilities.

Still, with regard to a purpose built information centre, location was also investigated. The location of the record centres could determine record security levels and cost of the facility.
Data for this question was obtained through observation which revealed that, other than Kakamega record centre, the rest: Mombasa, Nakuru and Kisumu, were located within the respective town/city. This meant that, pollution from dust, industrial emissions and noise were rampant due to location and thus a great concern in the preservation of archival records. Secondly, given that, the costs in a record centre are supposed to be low because record centres accommodate non-current records, this was negated by the high rental fees charged for the urban premises which ran into hundreds of thousands of shillings per year. According to the manager, Mombasa Record Centre:

Rent charges consumed the largest portion of the budgeted expenditure for the record centres and it was the reason why a lot facilities were lacking.

What came out clearly was that, the four record centres studied fell short of the requirements for a purpose-built record centre because none had full facilitation in terms of full staff establishment, presence of all necessary facilities and equipment, ideal location and room for future expansion among others, which are all aspects of a purpose built record centre.

In relation to security, none of them had a full disaster preparedness strategy except for a few fire extinguishers. There were no smoke or fire sensors and sprinklers. None of the record centres had trained staff in disaster management strategies. These constituted a major concern in the security of archival records and the managers blamed this on lack of adequate finances and staff.

4.5.5 The impact of non-purpose-built record centre on performance

This was a follow-up question to item number twenty three (23) of the Director’s interview schedule on whether a purpose-built information centre could enhance the performance of a records centre. The follow-up question sought to find out how the absence of a purpose-
built record centre could affect its performance after the managers and the Director confirmed that none of the record centres met the full requirements of a purpose built record centre in terms of location, accessibility, equipment and staffing. The Deputy Director replied that, it was impossible to carry out regular record survey exercises because of lack of enough space, personnel and funds, adding that:

It was impossible to accommodate the necessary records within the record centres for lack of enough space and also provide the required research services, inevitably leading to poor performance in the record centres

The manager of Mombasa Record Centre seemed to confirm the Deputy Director’s view on non-purpose-built record centres as reflected in his response to item number (38) which was “The challenges in record centres can be minimised by having a purpose-built record centre”

Thus, the impact of a non-purpose-built record centre is poor or average performance. A glaring indicator of that poor or average performance in the record centres was the number of record surveys (a major activity) carried out by each of them since their establishment compared to the approximate number of public offices under their jurisdiction. This information was provided by the managers of the various public record centres in response to a question on levels of performance (item number 35).

Given that each of the four public record centres was designated a geographical region to serve, its performance can be measured by the number of the public offices it had been able to visit up to the time this research was carried out. From documented information (KNA&DS Records and Archives Management Standards) and interview data from the Deputy Director, KNA&DS; (item number twenty four), each record centre was supposed to carry out a survey in all the public offices under its jurisdiction once every three
years.” Table 4.9 presents the field data on the number of public offices visited for purposes of records survey since their establishment, the approximate number of public offices in the various jurisdictions, the frequency of visitations and the resultant percentages.

### Table 4.9: Performance Indicators by Number of Public Offices Visited and Frequency Since Establishment; (n=4)

<table>
<thead>
<tr>
<th>Name of public record centre</th>
<th>No. of public offices visited</th>
<th>Approx no. of public offices</th>
<th>percentages</th>
<th>Frequency</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mombasa</td>
<td>230</td>
<td>450</td>
<td>51.0</td>
<td>once</td>
</tr>
<tr>
<td>Nakuru</td>
<td>200</td>
<td>800</td>
<td>25.0</td>
<td>once</td>
</tr>
<tr>
<td>Kisumu</td>
<td>279</td>
<td>700</td>
<td>39.9</td>
<td>once</td>
</tr>
<tr>
<td>Kakamega</td>
<td>450</td>
<td>600</td>
<td>75.0</td>
<td>once</td>
</tr>
</tbody>
</table>

**Source:** Field data (2015).

The five public Record centres in Kenya were established between 1980 and 1990, the earliest being Mombasa and the latest Kisumu. Three of them: Mombasa, Kakamega and Nakuru were established within a close range of three years. (1980 and 1983) However, the years of establishment seemed to have had little impact on the number of offices visited because, Kisumu, which was the last to be established (1990) had already caught up with Nakuru and Mombasa as shown in Table 4.9. So, there must have been other influencing factors.

From the data presented in Table 4.9, performance percentages among the four public record centres studied ranged between 75% (Kakamega) and 25% (Nakuru). Mombasa had above average performance of 51% while Kisumu was second last with 39.9% performance. Nakuru Record Centre performed worst with (25%) compared to the other three. The manager said that it was partly due to the “large geographical jurisdiction with highest approximate
number of public offices of 800.” The data collected supported that rationale because, Kakamega Record Centre, with the smallest geographical jurisdiction(approximately 600 offices) and the lowest number of counties; (four) had performed best with 75%, though there were other factors in her favour like proximity, which can explain the big difference in the percentage performance. Asked the probable reasons for the said coverage. the manager for Kakamega record centre said just as much that “There is a manageable number of counties, accessible public offices, and adequate storage space.” That, in spite of the fact that, the record centre had only two member of staff, the manager included. However, staff shortage prevented the centre from visiting the public offices once every three years as stipulated in the KNA&DS Archives and Records Management Standards available and echoed by the Deputy Director, KNA&DS.

Another factor that gives Kakamega Record Centre an advantage over the others is that she has sufficient storage facilities for the records transferred from the said offices according to the information obtained during the interview as well as the researcher’s observation. Nakuru Record centre coverage was low (25%) with the main reasons for the poor performance being that, the staff members were very few, given the expansive jurisdiction of approximately, 800 public offices and “inaccessibility of most of those areas due to insecurity, especially in Turkana, Samburu and Pokot counties.”

Table 4.9 also illustrates that all the four public record centres had visited the public offices under their respective jurisdiction only once instead of a minimum of three times as per the KNA&DS, Records and Archives Management Standards. This under-performance was blamed on lack of the necessary facilities especially adequate staff and funds.
4.6 Awareness Creation for Services in the Public Record Centres

4.6.1 Introduction

This was objective four (4) of this research study which sought to explore the extent to which awareness creation could be a factor in the performance of public record centres. Awareness creation, also referred to as promotion or advertising, was listed as one of the activities in public record centres in the Standards document for management of records and archives (KNA&DSRAM), the International Standards for Records Management; (ISO 15489 2001) and Chapter four of the constitution of Kenya; (information clause) which emphasizes information publicity for potential users. (GoK, 2010).

Awareness creation was meant to not only encourage archives and records management activities, but also to promote the use of records and archival materials for research, education and information. Creation of awareness on the part of public record centres could, therefore, be an activity contributory to good performance. It was with this in mind that the researcher sought to find out whether or not public record centres in Kenya advertised and promoted their services to their potential clients namely, government offices. The data was collected through interview guides for the Deputy Director, KNA&DS (item number 38), the managers of the various record centres (item numbers 41, 42, and 43) and the questionnaires for staff (items numbers 18, 19 and 20).

4.6.2 Methods used for awareness creation

The Deputy Director, KNA&DS agreed that, awareness creation was a necessary component in record centres’ service provision. Asked what methods were in use, the Deputy Director had the following to say:
Radio, television and newspapers used to be done centrally, that is, by the Archives institution itself, but had long been discontinued because of lack of funds. Public week, also referred to as exhibitions at the annual Nairobi International Trade Fair, has also been stopped due to lack of staff and finances.

The methods of awareness creation still in use, according to the Deputy Director were:

*Posters, brochures, newsletters, seminars / workshops, personal visits to government offices during record survey exercises, sign posts at entrances to public recordcentres and talks to visitors to KNA & DS who included students and tourists.*

The KNA&DS website (www.kna.org) was also used as a promotional tool for record management services. Further probing on whether the methods cited had resulted to an increase in the utilization of record management services by public offices, the Deputy Director responded that, other than personal visits for records survey purposes and seminars/workshops, the rest of the methods were ineffective because reportedly, very few people cared to read posters. The Deputy Director continued to say that:

*The brochures and newsletters could only be picked by people actually visiting the organization because they are not distributed to the public offices who are the consumers of records management services offered because of shortage of staff to do the distribution.*

The Deputy Director, concluded by saying:

*Lack of funds has greatly limited our effectiveness in awareness creation efforts especially where radio, television and newspapers are concerned given the cost implications.*

The managers themselves admitted that:

*Lack of awareness creation through use of effective advertisement channels could impact negatively on consumption of their services by the record creating agencies.*
The researcher also collected data on methods of awareness creation from the staff of the various record centres as per item no.19 of the staff questionnaire and the results are presented in Table 4.10.

Table 4.10: Frequency Distribution of the Methods of Awareness Creation Used; n=9

<table>
<thead>
<tr>
<th>Method Type</th>
<th>Responses</th>
<th>% of ‘Yes’ responses</th>
<th>% of ‘No’ responses</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Yes</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>Radio</td>
<td>8</td>
<td>0</td>
<td>100</td>
</tr>
<tr>
<td>Television</td>
<td>5</td>
<td>3</td>
<td>62.5</td>
</tr>
<tr>
<td>Newspapers</td>
<td>6</td>
<td>2</td>
<td>75.0</td>
</tr>
<tr>
<td>Website</td>
<td>4</td>
<td>4</td>
<td>50.0</td>
</tr>
<tr>
<td>Word of mouth</td>
<td>7</td>
<td>1</td>
<td>87.5</td>
</tr>
<tr>
<td>Posters</td>
<td>5</td>
<td>3</td>
<td>62.5</td>
</tr>
<tr>
<td>Seminars</td>
<td>6</td>
<td>2</td>
<td>75.0</td>
</tr>
<tr>
<td>Brochures</td>
<td>6</td>
<td>2</td>
<td>75.0</td>
</tr>
<tr>
<td>Exhibitions</td>
<td>7</td>
<td>1</td>
<td>87.5</td>
</tr>
</tbody>
</table>

Source: Field data (2015)

Information received from the record centre staff through use of questionnaires contradicted that received from the Deputy Director and the managers in that, eight out of eight (100%) indicated that awareness creation was still going on through use of exhibitions (87.5%), radio,(75% , newspapers (75%) and television, 62.5%. according to Table 4.10 above.

The contradiction was that there was still advertisements going on through the use of exhibitions, radio, newspapers and television contrary to what the Deputy Director had said. However, the discrepancy was later clarified by the Director who said that:
Staff was talking of what used to happen before funds and staffing became a problem since the majority of them had worked over a very long period.

For the above reason, the data was treated as unreliable for the purpose of this research. However, the data received from staff on other methods of awareness creation; word of mouth (87.5%), seminars, (75%) brochures (75%), posters, (62.5%) and website, (50%) was reliable as the same was confirmed by the managers and the Deputy Director during the interviews as still being done albeit with varying success levels. As clearly indicated from the data, the use of word of mouth was highest and website ranking lowest with 50% as per the staff feedback. The explanation given by the Deputy Director on word of mouth, seminars and workshops being the main advertising channels was that:

Kenya National Archives receives visitors from schools, colleges, universities and the general public and this opportunity allows the archives management to talk to them about the services offered. Seminar attendants mainly from record creating agencies get to know about the services during the few times they are held and during records survey activities. Brochures are distributed during both occasions.

The findings of this objective are supported by Mnjama (2003) who reported that there were poor record management practices in public offices due to lack of the necessary advisory services from archives personnel in charge of records management in Kenya. It is probable that many public offices are not aware of the existence of such services due to minimal publicity as reviewed in this study.
4.7. The Basis of Performance Evaluation of Public Record Centres

4.7.1 Introduction

The question on the basis of performance evaluation or measurement was for the purpose of establishing the basis for the overall performance measurement for public record centres. The researcher, also, wanted to find out whether there was a tool used for measuring the level of performance for the public record centres.

4.7.2 Basis for the PRC’s performance

The question as to what the performance of public record centres was usually based was put to the Deputy Director KNA&DS through item numbers 34 to 35 of the interview schedule and also the managers’ schedule items numbers 31 and 32. The reply from the Deputy Director was that:

*The basis for performance measurement is the performance Contract prepared and signed between the public record centre managers and and the Director KNA&DS at the beginning of each financial year.*

Asked what the basis of evaluation was, the Deputy Director added that, the measurement was based on the number of visitations made by each record centre for purposes of records survey, record appraisal and disposal and follow-up visits to public offices against the targets indicated in the performance contract. This information was confirmed by the managers of the various record centres during their interviews.

According to the information from the Deputy Director and the record centre managers, the target number of visits to public offices according to the performance contract was seventy two (72) per year. This was for the purpose of surveying the public records for appraisal and
disposal and also provision of advisory services on the same. Based on such visitations, the researcher sought to establish the most recent data on the performance of the four public record centres, (2014/15 financial year) which was as shown in Table 4.11.

Table 4.11: Performance for Public Record Centres: 2014/15 Financial Year; (n=4)

<table>
<thead>
<tr>
<th>Record centre</th>
<th>Target level</th>
<th>Actual level</th>
<th>Percentage performance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mombasa</td>
<td>72</td>
<td>41</td>
<td>56.9</td>
</tr>
<tr>
<td>Nakuru</td>
<td>72</td>
<td>40</td>
<td>55.5</td>
</tr>
<tr>
<td>Kisumu</td>
<td>72</td>
<td>40</td>
<td>55.5</td>
</tr>
<tr>
<td>Kakamega</td>
<td>72</td>
<td>43</td>
<td>59.7</td>
</tr>
</tbody>
</table>

Source: field data

It is clear from Table 4.11 that the performance levels based on the figures shown ranged between 40 and 43 visits which was a percentage of between 55.5% and 59.7%. This meant that, none of the public record centres met its target for the year in question and this outcome can actually be generalized backwards to the time they probably had sufficient staff and funding. Surprisingly, when the managers of the public record centres were asked to rate the overall performance of their respective public record centres (item 40) under either ‘very good, good, poor or very poor’, they all rated it as ‘good’ but hastened to add that, they had challenges in meeting their performance target. The Deputy Director on his part had responded to items 31 and 32 of the interview schedulesaying that “None is performing satisfactorily due to poor facilitation especially in staffing and funding.” Looking at the two responses; “good” and “not satisfactory” from the managers and the Deputy Director, respectively, the researcher was of the opinion that the two meant almost the same thing because both added that they were facing many challenges. In addition, the researcher would go by the figures indicated in the percentage performance (Table 4.11) which show an
above average performance for the four public record centres which cannot be termed as very good given the challenges they were experiencing. Those challenges are discussed in the next section.

4.8 Challenges Experienced in Public Record Centres

4.8.1 Introduction

This was objective five of the study which sought to establish the challenges, if at all, that could have been hindering public record centres from achieving their goals of ensuring proper record management practices in public offices in Kenya and thus raise their performance levels. The objective also sought to find out from the respondents what the solutions could be. The data was collected through interview schedules for record centre managers (items 48 and 49) the Deputy Director, KNA&DS, (items 41, 42 and 43)and record centre staff questionnaire, (items 21 and 22).

The motivation for this objective was that challenges experienced in the public record centres could contribute to challenges in the management of public office records resulting to poor performance by record centres because they could not carry out all the activities expected of them as per their performance contract with their employer. This could result to inability to apply records management best practices in the creation, storage, preservation of records and dissemination of information to the public. These goals could only be achieved if the challenges encountered in public record centres were identified and resolved. Some of these challenges were common to the four public record centres studied while others were unique to some of them.
4.8.2 Common challenges

The data collected from the staff and management of the public centres revealed common as well as unique challenges depending on location and size of jurisdiction of a given record centre. Common challenges in the four record centres studied as revealed by the various managers and staff were: poor funding, shortage of technical staff, lack of support from creating agencies (public offices), absence of a National Records management policy, lack of skills on management of e-records, outdated archival legislation, lack of trained personnel including some record managers in the creating agencies, and low staff morale in the public record centres. Additional challenges revealed by the staff of the various record centres included lack of exposure to record management seminars, dusty working areas during record surveys and claims of ownership of records by record creators. The latter used to interfere with record transfers to record centres.

Information from the Deputy Director, KNA&DS, confirmed the existence of the challenges as revealed by the managers of the public record centres and staff. About insufficient finances the Deputy Director lamented that:

\[ \text{KNA&DS as a department under the Ministry of Sports Culture and the Arts, has challenges having her budget honoured probably due to competition with the other departments, which are in a better limelight, specifically Sports Department.--challenge of placement.} \]

This was probably in reference to the problem of apathy whereby officers in senior positions in organisations do not consider records management activity as an essential service, thus denying it the necessary funding.
Deserving a special mention was the common challenge cited by both the staff and management of the four record centres studied which was lack of support from the registry personnel in public offices. According to Kisumu Record Centre manager, the reason for this lack of support was:

*Lack of professionalism on the part of both the staff and management of public office registries due to lack of the right attitude towards record management practices.*

The same sentiment was echoed by a member of staff from Mombasa Record Centre who said that many officers in government departments lack the basic skills in records management which could also include lack of the necessary knowledge and possibly attitude. The above situation could possibly lead to the record centre personnel being perceived as intruders and a threat by public offices personnel. Another reason could be that, the current archival legislation does not indicate the responsibility of the registry managers as far as management of public records is concerned, leaving the Director (KNA&DS) powerless in this regard.

It was for the above error of omission that the Director had proposed a review of the current archival legislation in order to incorporate the omission as well as the emerging issues from the Constitution of Kenya (2010), in particular the Devolution clause which gives the counties autonomy over their governance including the public records they create.

The challenge about management of electronic records that was raised by both the staff and management of the record centres was supported by the observation that there were no storage facilities for electronic records in any of the record centres. The reason given for that state of affairs was that:
The staff has no knowledge of electronic records as it is a new development and a challenge that requires training of staff.

This observation is supported by Adebayo & Adelaide (2015) who have stated that there are new concerns about the problem of information storage and retrieval posed by non-paper records especially machine readable magnetic media generated by computers and word processors. The writers confirmed that although paperless environment is a dream of archivists as well, there are barriers towards this which include the absence or inadequacy of archival legislation. This indeed is the situation in Kenya as the current Archival legislation has no provision for electronic records management as Adebayo & Adelaide (2015) had gone on to urge for a revision of archival legislation in countries where the necessary clauses of management of electronic records has not been done.

4.8.3 Unique challenges

There were some unique challenges affecting some record centres because of the size of their jurisdiction and their location. In respect to size of jurisdiction, Nakuru Record Centre manager cited the inability to reach the far-flung areas because of the distance involved, insecurity from banditry and the inaccessible roads in the rural areas of the vast former Rift Valley province.

The manager also added that:

Staffing level is a great challenge because the area to be covered is huge compared to Kisumu and Kakamega Record Centres which had fewer counties under their jurisdiction.

These unique challenges for Nakuru record centre were real because in spite of the vast geographical area under her jurisdiction (13 counties), no additional facilities were being provided as confirmed by the Deputy Director, KNA&DS who, in relation to funding had
said that ‘all record centres were allocated equal funding irrespective of the size of jurisdiction.’ Figure 4.4 illustrates the difference in the areas of jurisdiction of the various record centres, by counties.

![Bar chart showing jurisdiction for each record centre by number of counties](image)

**Figure 4.4: Jurisdiction for Each Record Centre by Number of Counties**

*Source: Field data 2015.*

From Fig 4.4, Nakuru Record Centre was supposed to serve thirteen (13) counties with Mombasa and Kisumu Record Centres being expected to serve six (6) counties each. Kakamega Record Centre had the least number of counties; three (3). This was a clear evidence of a unique challenge in Nakuru record centre caused by the expansive area of jurisdiction without the necessary staffing, funding, storage and transport facilities.

In regard to the location of record centres, the researcher, using the observation schedule had noted that location of the public record centres was another unique challenge affecting those record centres in rented premises without room for future expansion and also having threats from urban pollution. The record centres that were in rented premises and within the town
centre were two: Mombasa and Nakuru. The two had storage space problems as revealed by the record centre managers who said:

There is little room for expansion because adjacent rooms are already occupied by other tenants and the rent being paid is already very high, running into hundreds of thousands of shillings per year.

The urban location of three of the record centres; Mombasa, Nakuru and Kisumu was therefore, a unique challenge in relation to pollution from noise, dust, and industrial emissions compared to Kakamega Record Centre which was located in the sub-urban area of Kakamega town. This location was free from industrial pollutants and dust. Consequently, Kakamega Record Centre did not report any problem related to location given that she was the only ‘free standing’ record centre away from the town centre with ample room for storage and future expansion, which according to Shepherd and Yeo (2003) was the ideal situation. IRMT (2015) also supported this affirmation by Shephered and Yeo (2003) by reiterating that the classic model record centre is a free standing building situated in an area that allows for minimum capital expenditure, recurrent costs as well as pollution. On his part the Deputy Director (KNA&DS) was in total agreement with the above assertion about the ideal location for record centres because he said that: ‘Record centres needed to be purpose-built with proper location away from the urban, expensive, rented premises where pollution is a big challenge to record security’.

Finally, Mombasa Record Centre personnel reported unique challenge of hostility from record creators in the newly established counties in the former Coast province which the researcher considered as peculiar. Though related to lack of cooperation -challenge cited by the rest of the record managers, the Mombasa record centre manager explained that the County officers in his area of jurisdiction were claiming that the records were theirs and the
Central government had no right to enquire about them, leave alone take the archival records with them. This was an issue of concern which the manager associated with devolution because it was reportedly a new challenge though other record centre managers did not mention it.

4.8.4 Solutions to challenges according to the respondents

Items 30 in the Deputy Director’s interview schedule, 38 in the managers’ schedule, and 21 in the staff questionnaire had requested for possible solutions to the challenges cited and the following were the responses provided. The Deputy Director suggested: “Additional personnel, more funds and purpose-built record centres” as solutions to the challenges record centres were facing.

The Manager, Mombasa Record Centre echoed the suggestions of the Deputy Director, of “additional personnel, more funds and purpose-built public record centres” but added the “support from record creators,” in reference to the need for cooperation during record surveys because it was reportedly lacking. Nakuru Record Centre manager suggested the “formulation of a National Records Management policy” while that of Kisumu Record Centre echoed the Deputy Director’s and Mombasa manager’s suggestions that there should be: “more funds, adequate staff and purpose-built public record centres.”

Kakamega Record Centre manager, had decried poor training for record creators in addition to the above challenges and suggested that: “political appointments be stopped and trained records management staff be appointed”. The opinion of the Kakamega Record Centre manager was that, while currently, there were well qualified people in the country to manage public records, given the many training institutions, government recruitment was not based on merit but politics.
Indeed, the literature review had it that various training institutions for information and records management at degree, diploma and certificate levels had been established in Kenya since 1985 which included, Moi University Kenyatta University, former Kenya Polytechnic, Kenya Technical Teachers College and Sigalagala (Mnjama, 2003).

In response to questionnaire item 21 on possible solutions to challenges, suggestions from Mombasa Record Centre staff included: building of own record centres instead of renting, employing enough staff and provision of sufficient funds. Nakuru Record Centre staff suggested more sensitization on records management while the Kisumu one suggested increase of fund allocation to record centres, and training of staff in record creating agencies. Finally, in Kakamega Record Centre, the only member of staff suggested promotion of staff to boost their morale and cooperation by record creating personnel in public offices.

Among the challenges raised by the staff and management of public record centres was also lack of skills in the management of electronic records, a problem that Adebayo & Adelaide (2015) had raised concerning not just Kenya records management but also most of the developing countries in Africa. The said writers associated this problem with the absence of the necessary archival legislation in those countries, which should have a provision on management of electronic records. This suggestion was also captured by the managers of the public record centres as well as the Director, KNA&DS in their call for a review of the current archival legislation to incorporate the omissions they had identified including management of electronic records. Some of the staff in the record centres had actually said that they no longer attended seminars and workshops for lack of funds. Seminars and workshops could provide training in the management of electronic records which is timely, given that technology has been adopted in the creation of records in most public offices.
To sum up this chapter, it is notable that, the suggestions made by record centres’ staff were more or less similar to those made by the managers as well as the Deputy Director, KNA&DS and this was confirmation enough, that indeed, all the respondents were in agreement that there were challenges hindering good performance of the public record centres and that they could be minimised in the interest of improving performance. The findings on challenges and possible solutions are supported by earlier studies by Mnjama (2003), Kithaka (2006) and Kemoni, (1988), mainly in public offices, who had decried the fact that there were many challenges facing KNA&DS records management efforts. The next chapter contains the summary, conclusions and recommendations based on the findings of this study.
CHAPTER FIVE

SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

5.1 Introduction

This chapter contains the summary of the findings of this research study based on both primary (field data) and secondary data (documental sources) as analyzed, presented and discussed in the preceding chapter. Conclusions and recommendations of this research as well as suggested further research areas on the basis of the said findings are also provided.

5.2 Summary

Given the purpose of this study, which was to assess the performance of public record centres in facilitating proper records management practices in public offices in Kenya and the interpretation of the various findings as per the objectives in the preceding chapter, it has come out clearly that, despite the great importance of record centres in the management of public records, a lot needs to be done to enable them to achieve their goals.

Inadequate facilitation was revealed in relation to the lack of a national records management policy, outdated and incomprehensive legal framework, insufficient funding and staffing and generally the absence of purpose-built record centres. It was hard to imagine how such a small number of staff, though qualified and highly experienced, could be expected to carry out such a huge task. Not surprisingly, the performance of public record centres was found to be below expected standards. Lack of a comprehensive and updated legal framework / legislation was the main culprit because a legal grounding is the main requirement in the establishment and facilitation of any organisation.
In a “Swot analysis Approach” study entitled “Records and Archives Legislation in Kenya and Management of Public Sector records’ by Kemoni and Ngulube (2007), there was a similar major finding that, the Public Archives and Documentation Service Act as amended in 1990, had strengths, weaknesses, opportunities and threats in relation to the management of public sector records. Therefore, while the law has certain strengths, the weaknesses and threats that the said study revealed and which also came out in this study, prevent it from providing the necessary power and authority to the KNA&DS institution over not only archival records but also to participate in the care of current records and in the development of record keeping systems.

The study by Kemoni and Ngulube (2007) also confirmed that, the recommendation in Miller’s report of 2004, for consideration by UNESCO and ICA that they should continue their work to consolidate guidelines and tools on legislation and policies seems not to have been put into practice in full and that is why subsequent studies that included Ngulube and Tafor (2006), Kemoni and Ngulube (2007) and the current study found the Public Archives Act in Kenya still inadequate.

Indeed, it was for this reason that, Omwoma, (2013), in his study entitled, “Legal and Regulatory Framework Governing Archives and Record Management in Kenya” emphasized the need for a sound legal and regulatory framework in Kenya because, such a legal and regulatory framework would enable records and archives institutions to achieve their goals and objectives during their operations because it provides a reference or a foundation for all the necessary requirements for its operations. On the basis of this summary, the study came up with the following conclusions as per the objectives and findings of the study.
5.3 Conclusions

5.3.1 Introduction

The findings of this study led to certain conclusions which revealed that there were constraints that were preventing public record centres studied from achieving their goal of ensuring proper record management practices in public offices in Kenya. This was in line with the theory of constraints (ToC) that was adopted for this study which holds that an organization that has constraints can never achieve its goals. The conclusions under each objective are presented below.

5.3.2 Policy guidelines

The research study established that public record centres had no official national records management policy as they were operating under a draft records management policy document that had not been ratified by the Cabinet Secretary, Ministry of Sports, Culture and the Arts of which KNA&DS is a department. This means that the policy document is not fully legalized to have the necessary authority to guide public record centre personnel in their function of providing guidance on all aspects of records and information management in public offices in Kenya.

5.3.3 The Archives legislation

The Public Archives and Document Service Act Cap 19 of 1965 as amended in 1990, was not comprehensive enough to meet the requirements for facilitation of proper records management practices in public offices in Kenya.
5.3.4 Facilitation of the public record centres

The findings on the objective on the extent to which public record centres were facilitated were threefold in that they were in regard to staffing, funding and equipment. The conclusion was that public record centres were not adequately facilitated in terms of staff, funds, facilities and equipment to be able to fulfill their mandate of ensuring proper records management practices in public offices in Kenya. Consequently, all the four public record centres did not meet the requirements for a purpose-built record centre.

5.3.5 Awareness creation in the public record centres

Awareness creation for services offered by public record centres was inadequate due to lack of the required finances and staff. Advertising methods with wide coverage, including television, radio, newspapers and general exhibitions had been long discontinued. Those that were still being used included seminars/workshops, posters and pamphlets given to centre visitors.

5.3.6 Performance of the Public Record Centres

Performance of public record centres was the main theme in this research study which sought to establish whether they were adequately facilitated to fulfill their mandate of helping public offices manage their records properly.

Performance measured on the basis of the number of public offices visited since the establishment of the record centres in the 1980s was dismal as only two record centres—Mombasa and Kakamega—had visited above 50% of the estimated total number of public offices under their jurisdiction. The other two: Nakuru and Kisumu Record Centres had visited 25% and 39.9% of the public offices under their jurisdiction respectively as shown.
It is notable that none had visited all the public centres under its jurisdiction in the said period and that only one visit had been made to those public offices visited.

Considering the number of public offices visited by some of the record centres, as shown in Table 4.9, their performance can only be graded as ‘poor’ not ‘satisfactory’ as was indicated by the Deputy Director, (KNA&DS). However, Kakamega with 75% performance could be classified as a good performer and this was because, the public offices under her jurisdiction were in the same compound as the record centre as earlier reported. Mombasa with 51% performance could be considered as an average performer based on the research findings as illustrated in Table 4.9.

Thus, the conclusion on the performance of record centres in relation to their mandate according to the data collected was rated as unsatisfactory and the reasons for this as provided by all the respondents in this research was the challenges/constraints the institutions operate under as indicated under.

5.3.7 Challenges experienced in public record centres.

There were very many challenges affecting the performance of public record centres as a result of the inadequencies explained earlier, ranging from “severe staff deficiency to poor provision of necessary facilities and equipment, inappropriate locations in urban areas with pollutants, including industrial emissions and dust, high expenditure in overheads and space constraints” Nakuru and Mombasa Public Record Centres had additional unique challenges related to size of jurisdiction, accommodation, banditry insecurity and inaccessibility to the remote areas.

However, as stated elsewhere, lack of appropriate legislation and the other necessary policy documents like a national records management policy were the underlying challenges which
required to be tackled in order to improve performance of public record centres. Following the said conclusions, this study came up with the recommendations in the next subsection.

5.4 Recommendations

5.4.1 Policy recommendations

i) Ratification and implementation of a National Records Management Policy

The purpose of policy documents in records management is to establish principles, accountability and obligations relating to records and information management that would ensure that records are managed in a way that supports the efficient and effective functioning of the organization.

Findings in this study revealed that all the record centres operate under a draft records management policy which has not yet been ratified and launched by the necessary authorities—the Ministry under which the Department of KNA&DS falls. As such, it lacks in authenticity and authority, which are necessary for its implementation.

This study thus, recommends the ratification and authorization of the draft records management policy and other related policy documents currently in use in the public centres.

ii) Review of the Public Archives Amendment Act (1990)

The mandate and activities of the public record centres are governed by the Public Archives Act, (1965), as amended in 1990 to become the Public Archives Amendment Act (1990). The amendment only created the National Documentation Service section and also the designation of Director to replace that of the Chief archivist leaving the initial content intact. This means that the archives legislation has not been sufficiently revised or reviewed for the last fifty years in order to accommodate emerging issues in the area of records.
management, for example, electronic records management and other errors of omission revealed during the study.

This study thus, recommends that the Public Archives and Documentations Service Act Cap 19 as amended in 1990 be further reviewed to accommodate the suggestions of the Deputy Director and the Managers of public record centres who are mandated to manage public record and archives. This will be in line with the recommendations contained in the International Record Management Trust Guidelines that state that an archive institution should have jurisdiction over records generated in the government service and responsibility for the same throughout their life cycle, from creation to disposal.

iii) Facilitation of Public Record Centres

For the purpose of this research study, facilitation included adequate staffing in the public record centres, funding as well as equipment and facilities.

Firstly, all public record centres studied were seriously understaffed with all the four below 20% staffing in comparison with the full staff establishment of twenty for each record centre as revealed by the Director (KNA&DS). The level of performance in the four record centres had been seriously low because there was no staff to undertake all the necessary activities. In all the record centres, it was revealed that support staff who included secretaries, office messengers, drivers and sometimes sweepers, were involved in records management activities like shelving and retrieval. The management staff was also being engaged in non administrative work due to staff shortage.

Based on the above findings, the study recommends that all the public record centres be fully staffed with sufficient record management professional staff (four per section) so that they can carry out their mandate as expected. Indeed, an organization’s performance is as good as
the quality and number of its staff. Funding for all the four record centres studied was reportedly, not only insufficient but also released late, thus affecting efficient running and timely carrying out of the activities in the record centres.

The study therefore, recommends adherence to the annual budget requirements for each record centre because of the disparities in the jurisdictions of the various record centres as well as timely receipt of the same. This can go a long way in facilitating the public record centres’ mandate through timely execution of records survey exercises including follow-up stage and the purchasing of sufficient storage and preservation facilities, including those for electronic records. The study, also, recommends that public record centres be purpose-built in respect to location which should be not only accessible but also, inexpensive, secure from industrial pollution and other hazards, as well as accommodation for records, staff, facilities and equipment, currently and in the near future.

iv) Awareness Creation

Awareness creation in public record centres was inadequately done due to scarcity of finances and staff as revealed by the Deputy Director and public record centre managers during the interviews. Awareness creation is an integral element in maximum utilization of available services because, potential clients get information about what, where and how of the services.

This study, therefore, recommends that adequate finances be made available to KNA&DS and by extension the public record centres to be able to advertise their services to their potential clients, mainly public offices, through a variety of advertising media including public exhibitions.
v) Challenges experienced

There were many challenges experienced in the record centres studied which were a major hindrance to service delivery the main ones being insufficient workforce for the necessary appraisal, acquisition, preservation arrangement and description of records that may have archival value, inadequate storage equipment and facilities as well absence of current archives laws, policies and guidelines. The recommendations above would, if implemented, alleviate most, if not all, of the challenges expressed by the respondents.

It is the researcher's view that if the recommendations of this study are implemented, the performance of public record centres will be greatly improved. Implementation of the recommendations will also be in line with the theoretical framework supporting this study in that, it advocates for systematic elimination of challenges (bottlenecks), affecting an organisation’s performance in order to improve it.

vi) Recommendation for a performance improvement model for public record centres

The proposed model (Fig. 5.1) on performance improvement of the public record centres is based on the findings, conclusions and recommendations of this study. The model was a culmination of the performance assessment done on the public record centres, the analyses of the findings, conclusions and recommendations arrived at in relation to the challenges revealed through this study.

Performance improvement is an organisational change in which the managers and the governing body of an organisation put into place and manage a programme which measures the current level of performance of the organisation and then generates ideas for modifying organisational behaviour and infrastructure which are put in place to achieve higher output, (wikipedia, 2017) as viewed at http://en.wikipedia.org/wiki/perfo... The purpose of
performance improvement in an organisation is, therefore, to increase its effectiveness and efficiency in the delivery of goods and/or services.

The model is meant to demonstrate how the performance of public record centres in Kenya may be improved based on the findings and conclusions of this study. The model was also guided by the theory of constraints which provided the framework for this study and which advocated that, once the constraints to performance are identified, they should be systematically eliminated in order to improve performance. The model indicates the variables that were measured in the study, the challenges identified and the suggested solutions of those challenges. The model is expected to serve as a guide for the management and the governing body of the public record centres in coming up with the necessary strategies to improve the performance of public record centres by eliminating prevailing challenges as per the recommendations suggested in the study.
### Variables measured | Challenges | Solutions
--- | --- | ---
Policy regulations and guidelines | Lack of a National Records Management policy | Ratification of the draft records management policy
Facilities and equipment | Lack of storage space for records | Purpose built record centres
Human resource | No staff to carry out some crucial activities | Full staff establishment
Funding | Lack of the necessary facilitation for field surveys etc | Sufficient and timely funds.
Awareness creation | Shortage of funds and staff | Allocation of more funds to include print and electronic media.

**Fig. 5.1: Performance improvement model for public record centres.**
*Source: Researcher, 2017.*

#### 5.4.2 Recommendations for further research

i) The high rate of staff migration from the Kenya National Archives and Document Service and by extension the public record centres to other institutions, as revealed by the informants, struck the researcher as highly peculiar. The researcher, therefore, recommends a study on the factors contributing to high staff turn-over rate at KNA&DS.
ii) Due to the emerging issues, as a result of the creation of County governments under the devolution clause in the Constitution of Kenya (2010), the researcher recommends a study on “The impact of devolution on the performance of public record centres in Kenya.”
REFERENCES


Kenyatta University School of Education. (2013). *Guidelines for writing academic research proposals and theses in the School of Education*.


Masuda, Yoneji (1980). *The information society as Post Industrial society (The world’s future society).* Tokyo.


PhD Student Dissertation Support (2016) as viewed at www.phdstudent.com;stating;the’obviou…) 16 June 2016.


Records and National Archives Division; President’s Office, Public Service Management (2011).


Dear respondent,

I am a post graduate student from Kenyatta University; Department of Library and Information Science undertaking a research on ‘Assessment of the Performance of Public Record Centres in Facilitating Proper Record Management Practices in Public Offices in Kenya’ as a requirement for a degree of Doctor of Philosophy, (PhD). Your assistance in responding to the questions below will be highly appreciated. All the information you provide will be treated confidentially (name not required) and will be used only for the purpose of this study.

Please read the consent form attached before answering the questionnaire.

Thank you.

Harriet Kamau (0722581054)

Part one: General Information section

Please respond as requested in each question.

1. State the name of this record centre _________________________________

2. What is your job title _________________________________

3. Work experience in years _________________________________

4. Highest academic qualifications _________________________________

5. Highest professional qualifications _________________________________
Part two: questions

6. Briefly state the purpose/aim of this public record centre in the space below;
___________________________________________________________________________
___________________________________________________________________________
___________________________________________________________________________

Staff competence

7. Please indicate in the space below, the activities you undertake as a member of staff in this record centre;
___________________________________________________________________________
___________________________________________________________________________
___________________________________________________________________________
___________________________________________________________________________

8. What skills do you possess in relation to your activities in this record centre?
___________________________________________________________________________
___________________________________________________________________________

9. Have you attended any in-service course in relation to your job?
Yes /No (tick as appropriate)

10. Briefly indicate below the area(s) you were inserviced in relation to your duties
___________________________________________________________________________
___________________________________________________________________________
___________________________________________________________________________
___________________________________________________________________________
11. Briefly indicate how the training helped you in relation to what you do here if your response is positive.

_______________________________________________________________________
_______________________________________________________________________
_______________________________________________________________________

12. If your response to question no. nine is negative, please indicate below areas in which you feel further training is necessary

_______________________________________________________________________
_______________________________________________________________________

13. State whether you have ever participated in any of the following activities in this organization by ticking your response among the entries below;

<table>
<thead>
<tr>
<th>Activity</th>
<th>Yes / No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Records survey</td>
<td>Yes / No</td>
</tr>
<tr>
<td>Records Appraisal</td>
<td>Yes / No</td>
</tr>
<tr>
<td>Reference services</td>
<td>Yes / No</td>
</tr>
<tr>
<td>Training of public office records management staff</td>
<td>Yes / No</td>
</tr>
<tr>
<td>Follow-up visits to public offices</td>
<td>Yes / No</td>
</tr>
</tbody>
</table>

14. Indicate below any other activity/activities you may have participated in?

_______________________________________________________________________
_______________________________________________________________________
_______________________________________________________________________

15. Indicate by ticking how you would rate your performance of these activities under the following: very good, good, poor
and please give your reason for the rating level below;

___________________________________________________________________________

___________________________________________________________________________

___________________________________________________________________________

___________________________________________________________________________

16. How would you describe your job-satisfaction level? High ☐ low ☐ (tick as appropriate) and then give the reason for your answer below:

___________________________________________________________________________

___________________________________________________________________________

___________________________________________________________________________

___________________________________________________________________________

17. What kind of improvement or change (if any) would you like to see done here by the management in relation to your job? Briefly explain below:

___________________________________________________________________________

___________________________________________________________________________

___________________________________________________________________________

Awareness Creation

18. Does this organization advertise its services to its clients? Please tick Yes / No

19. Please indicate the methods used in this organisation for advertising its services to the clients by ticking inside the brackets; ( ) after each item if your answer is positive.

   i. Radio    (    )
   ii. Television (    )
   iii. Newspapers (    )
   iv. Internet (    )
v. social media ( )
vi. word of mouth ( )
vii. Brochures ( )
viii. Posters ( )

Any other (please write)
_________________________________________________

_________________________________________________

_________________________________________________

20. If the response to q. no. 19 is negative briefly explain why in the space below;

_________________________________________________

_________________________________________________

_________________________________________________

Challenges encountered

21. State below the challenges you encounter (if any) in carrying out your duties

_________________________________________________

_________________________________________________

_________________________________________________

22. Please suggest possible solutions to the challenges you have indicated (if any) in the space below:
23. Please write in the space below any further information you would like to provide in relation to this research.

___________________________________________________________________________
___________________________________________________________________________
___________________________________________________________________________

Thank you very much for spending time in answering this questionnaire.

H.W. Kamau (researcher)

Cell phone: 0722581054

E-mail gathinjiharriet@yahoo.com
APPENDIX II: INTERVIEW SCHEDULE FOR THE PUBLIC RECORD CENTRE MANAGERS

Dear Sir/madam

I am a Post graduate student from Kenyatta University; Department of Library and Information Science carrying out research on “The Assessment of the Performance of Public Record Centres in Facilitating Proper Records Management Practices in Public Offices in Kenya.’ Please answer the following questions to help me gather the necessary data. The information you provide will be confidential (no name required) and used only for the purpose of this study. Please read the consent form attached before answering the questionnaire.

Thank you.

Harriet Kamau (0722581054)

Part One: General information

1. What is the name of this record centre?

2. What is your job title?

3. For how long have you worked as an employee of Kenya National Archives?

4. What is your highest academic qualification?

5. Highest professional qualification please?

6. For how long have you been the manager of this record centre?

Part two

Policy Guidelines

7. Does this public record centre have a policy/policies to govern its operations?

8. What is it called?

9. Which of the following areas are covered by the policy?

   i. Functions
ii. Activities

iii. Funding

iv. Staff establishment

v. Human resource management

vi. Jurisdiction of the record centre

vii. Location of a record centre

viii. Objectives

10. Please state any other area(s) covered by the policy but is not mentioned

11. What are the objectives of this record centre?

12. What activities do you undertake in order to meet the objectives of this organization?

13. Are the activities carried out governed by any standards?

14. What standards are used?

Facilitation of public record centres

15. Would you say this public record centre is well facilitated in its activities? **Staffing**

16. What is the right number of staff considered to be sufficient for this record centre according to the policy?

17. How many members of staff does this record centre have currently

18. If it is not fully staffed how does this impact on the activities of the record centre?

19. Please explain how the available staff is distributed among the sections in this record centre.

20. What are the lowest and highest academic and professional qualifications of your staff?

   i) Lowest academic level

   ii) Highest academic level
iii) Lowest professional level

iv) Highest professional level

**Funding**

21. Does this record centre receive sufficient funding for its activities annually?

22. If the funding is not sufficient, please explain how this affects the functions of the record centre?

**Storage equipment**

23. Do you have the following type of equipment and facilities for carrying out the functions of this record centre? Please either ‘Yes’ or ‘No’ below

Storage equipment for paper records:

- Storage equipment for electronic records
- Transport facilities
- Loading dock;
- Stack area;
- Reference area;
- Accommodation facilities for staff;
- Administrative offices;
- Preservation facilities for records;
- Parking facility;
- Fire alarm;
- Fire-fighting equipment
- Vacuum cleaners
• Fumigation chamber
• Air-conditioning equipment
• Micro-filming facility
• Conserving area
• Appraisal and disposal area
• Room for future expansion

24. Please state any other facilities and equipment that you have in this record centre

25. Are the facilities and equipment mentioned sufficient for the operations of this record centre? Please tick

26. In case the equipment and facilities available are not sufficient for your needs, please explain below how this may impacts on the performance of the public record centre

27. Do you provide the following services for your clients?
   • Record surveys;
   • Record appraisal;
   • Record transfer services;
   • Training staff in good record management practices;
   • Reference services;
   • Storage of semi-current records;

28. What other services do you provide?

29. Are there other services you would have wanted to provide but could not? Yes / No

30. Please explain your response.

Performance evaluation

31. Do have a performance contract with your employer?
32. What is your performance evaluation based on?

33. How often is your performance evaluated?

34. Do you always meet your target?

35. What was your performance last financial year 2014/2015?

36. Would you rate the performance of this public record centre in relation to its objectives satisfactory or unsatisfactory?

37. Briefly explain the reason(s) for your response

38. How many offices have you visited so far?

39. Would you consider these visitations adequate as per the expected performance levels based on standards?

40. How are able to ensure that the recommendations you give in public record offices are implemented?

Awareness Creation for services

41. Do you advertise your services to your clients?

42. What methods if any do you use to advertise your services to your clients among the following?
   i. word of mouth;
   ii. Radio
   iii. Television
   iv. Newspapers
   v. Posters
   vi. Pamphlets
   vii. Newsletters
   viii. Circulars
ix. Personal visits

43. What other methods do you use?

44. Have you held any workshops/seminars for any public office staff (Yes/ No.  45 Please provide an explanation if no such workshops or seminars have taken place.

46. Please answer ‘Yes’ or ‘No’ in regard to the following statements:

➢ This record centre is easily accessible to our clients
➢ This record centre is located in a secure place
➢ This record centre is spacious enough for all its activities
➢ This record centre is purpose built

47. Occasionally the mass media in Kenya reports cases of poor information services in records retrieval in public offices for example the ministry of lands and in the courts. What do you think could be attributed to such reports?

Possible constraints /challenges

48. What challenges, if any, do you encounter in the management this organization?

49. How, in your view, can these challenges be overcome? Please explain.

50. What more would you like to share about your work in this organization?

Thank you very much Sir for your time.
APPENDIX III: INTERVIEW GUIDE FOR THE DIRECTOR; KENYA NATIONAL ARCHIVES & DOCUMENTATION SERVICE.

Dear Sir/madam

I am a Post graduate student from Kenyatta University, Department of Library and Information Science, carrying out a research on ‘Assessment of the Performance of the Public Record Centres in Facilitating Proper Records Management Practices in Public Offices in Kenya.’ I kindly requested you to provide the necessary information. The information will be used only for the purpose of this study and will remain confidential. I would like to record our conversation if there is no objection. Please read and respond to the consent form attached before we begin.

Thank you.

Harriet Kamau (0722581054)

Part One: General information

1. What is our job title?

2. Highest academic qualifications

3. Highest professional qualifications

4. Experience in years as an archivist

5. What type of organization is KNA&DS?

6. Under what government Ministry does KNA&DS fall?

Policy Guidelines

7. Are there any policy guidelines governing the operations of the Public recordcentres?

8. Which ones are they?
What areas are covered by the policy guidelines?

How do they contribute to the operations of the public record centres?

Archives Legislation

Which Kenya law governs the operations of KNA&DS?

When was it enacted?

Does the law sufficiently cover all the requirements for the proper functioning of KNA&DS?

What would you consider weakness if at all of the current law governing the KNA&DS operations

Which public record centres are there in Kenya and when were they established?

Please explain the mandate of a public record centre

What are the objectives of the public record centres?

What functions are they supposed to undertake?

Facilitation of Public Record Centres

Would you say that public record centres are well facilitated in their activities?

What is the full staff establishment of a public Record centre?

Staffing

How many employees are there currently in each county record centre?

Is the staff in record centres qualified academically and professionally?

Do the public record centre managers have the necessary qualifications and experience for managing the institution?

Funding of Public Record Centres

Are the public record centres adequately funded?

What amount of funding would be considered sufficient for the public record centres?

How much funding do they receive every financial year for their operations?
27. How would underfunding, if at all, affect the performance of public record centres?

Storage equipment and other facilities

28 What facilities and equipment do public record centres require to perform well?

29. Would you say that public record centres are adequately facilitated?

30 How would poor facilitation affect the performance of the public record centres?

31. Are the services offered by public record centres promoted and if so what methods are used?

Performance of public record centres

32 How would you rate the performance of each record centre in relation to the fulfillment of its mandate?

- Nairobi record centre
- Mombasa record centre
- Kakamega
- Nakuru
- Kisumu

33. Please explain the reason(s) for the level of performance that you have stated for each public record centre

34. What tool(s) are used to measure public record centre performance?

35. What do you measure while evaluating the performance of the record centres?

36 Do the record centres meet their targets during performance evaluation?

37 What could be the reason(s) for not meeting their target for the year?

38 What do you think should be done to raise their performance if necessary?

39 Has the new constitution passed in 2010 introduced any changes concerning the mandate of the county record centre in any way?

40. Please explain your response
Challenges

41. Are there any challenges record centres face in achieving their goals?

42. What are the main challenges faced? (if at all)

43. In which way do you think the challenges can be minimized? (if any)

44. Are there any future plans to increase the number of public record centres in the light of the creation of the counties in Kenya and if so why?

45. Please add any other information or comment in relation to record centres performance.

Thank you Sir for your contribution to this study.
APPENDIX IV: OBSERVATION SCHEDULE

Name of the county record centre ___________________

<table>
<thead>
<tr>
<th>schedule</th>
<th>Area</th>
<th>Required information</th>
<th>Collected Data</th>
</tr>
</thead>
<tbody>
<tr>
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<td>Record Storage</td>
<td><strong>Type of equipment available</strong></td>
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<td><strong>Shelves</strong></td>
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<td>cardboard/ metal</td>
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<td><strong>Drawer cabinets</strong></td>
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<td><strong>Racks</strong></td>
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<td><strong>Cupboards</strong></td>
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<td><strong>Storage equipment for electronic records</strong></td>
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<td><strong>Adequacy, sufficient./insufficient</strong></td>
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<td><strong>Peripheral equipment</strong></td>
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<td>Ladders</td>
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<td>mobile hydraulic lifts</td>
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<td>Stock trucks:</td>
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<td>Accommodation</td>
<td><strong>-For records storage.</strong></td>
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<td>- For record use:</td>
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<td>- for staff:</td>
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<td>- Administration</td>
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<td>- Record processing</td>
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<td>- Future expansion</td>
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<td>Day two</td>
<td>Accessibility &amp; location of the record centre</td>
<td>Security</td>
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<td>Name of record centre</td>
<td>Approx. Distance from public offices</td>
<td>Type of road</td>
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<tr>
<td></td>
<td>Name of record centre</td>
<td>Approx. Distance from public offices</td>
<td>Type of road</td>
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<td>Records security</td>
<td>Flooding</td>
<td>Environmental hazards</td>
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<tr>
<td></td>
<td>Facilities</td>
<td>Loading dock</td>
<td>Stack area</td>
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</tbody>
</table>

General comments on observation results:
APPENDIX V: CONSENT FORM FOR THE RESPONDENTS PARTICIPATING IN THIS RESEARCH (to be responded to before participation)

Topic of Research: Assessment of the Performance of Public Record Centres in Kenya.

Dear Respondent,

The researcher is a post graduate student at Kenyatta University, Department of Library and Information Science, seeking your voluntary acceptance to participate in this research and has the necessary permission from the appropriate authorities to carry it out. Read the consent form carefully.

The purpose of this consent form is to obtain your permission in being a participant in my research study through providing the required data.

This activity does not in any way put you at risk either physically, emotionally or any other way either through coercion, manipulation or any other form of pressure. The information you provide will be confidential and only used for this study. You may ask questions if necessary. Thank you.

Signed: Harriet W. Kamau (Researcher) __________________

Please sign at either (i) or (ii) below

i) I agree to participate in this research study as a respondent __________________

ii) I do not agree to participate in this research study as a respondent __________________
APPENDIX VI: RESEARCH AUTHORIZATION BY NACOSTI

NATIONAL COMMISSION FOR SCIENCE, TECHNOLOGY AND INNOVATION

Telephone: +254-20-2213471, 2241349, 318571, 2219420
Fax: +254-20-318265, 318269
Email: secretary@nacosti.go.ke
Website: www.nacosti.go.ke
When replying please quote
Ref: No.

NACOSTI/P/15/3756/7177

Harriet Wambui Kamau
Kenyatta University
P.O Box 43844-00100
NAIROBI

RE: RESEARCH AUTHORIZATION

Following your application for authority to carry out research on “Assessment of the performance of public record centres in facilitating proper records management practices in public offices in Kenya,” I am pleased to inform you that you have been authorized to undertake research in all Counties for a period ending 30th July, 2016.

You are advised to report to Chief Executive Officers of selected Government Agencies, the County Commissioners and the County Directors of Education, all Counties before embarking on the research project.

On completion of the research, you are expected to submit two hard copies and one soft copy in pdf of the research report/thesis to our office.

Said Hussein
FOR: DIRECTOR-GENERAL/CEO

Copy to:

Chief Executive Officers
Selected Government Agencies.

The County Commissioners
All Counties.

APPENDIX VII: RESEARCH PERMIT

THIS IS TO CERTIFY that
MS. HARRIET WAMBUI KAMAU
of KENYATTA UNIVERSITY, 43844-100
Nairobi, has been permitted to conduct
research in All Counties

on the topic: ASSESSMENT OF THE
PERFORMANCE OF PUBLIC RECORD
CENTRES IN FACILITATING PROPER
RECORDS MANAGEMENT PRACTICES IN
PUBLIC OFFICES IN KENYA

for the period ending:
30th July, 2016

Permit No: NACOS 15/3756/1177
Date Of Issue: 31st August, 2015
Fee Received: Ksh. 2000

Signature

Applicant's

Director General
NATIONAL COMMISSION FOR SCIENCE,
TECHNOLOGY & INNOVATION

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RE: LETTER OF INTRODUCTION – HARRIET W.G. KAMAU

The above named person will be visiting your institution (Mid July) to collect research data on “Assessment of the performance of public record centres in the facilitation of proper record management in public office in Kenya”.

Please accord her the necessary action.

HENRY Z. NYABUTO
FOR: AG. DIRECTOR
APPENDIX IX: CONGESTION AT MOMBASA RECORD CENTRE
APPENDIX X: MOBILE SHELVES AT KAKAMEGA RECORD CENTRE
APPENDIX XI: RESEARCH ROOM AT MOMBASA RECORD CENTRE
APPENDIX XII: CONGESTION AT NAKURU RECORD CENTRE
APPENDIX XIII: KAKAMEGA RECORD CENTRE BUILDINGS