FACTORS CONTRIBUTING TO INEFFICIENT RECORDS MANAGEMENT IN KENYAN ACADEMIC INSTITUTIONS: A CASE STUDY OF KENYATTA UNIVERSITY.

BY

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A project submitted in partial fulfilment of the requirements for the award of the degree of Master of Education in Library Science at Kenyatta University.

October, 1994
DECLARATION

This project is my original work and has not been presented for a degree in any other University.

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This project has been submitted for examination with my approval as a University Supervisor.

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DEDICATED TO

My late father Paul Musonye
My husband David Were
My children Atieno and Omoñdi
ACKNOWLEDGEMENTS

First and foremost, I thank the Almighty who granted me life and saw me through the course successfully.

I would also like to express my sincere gratitude to my employer, Kenyatta University, for granting me leave, the Librarian and all the Lecturers in the Department of Library Science.

Special thanks go to my Supervisor Miss Mathu, for her prompt supervision, guidance and encouragement during the difficult times.

My sincere appreciation goes to Miss Ombati of Library department for typing this work.

Last but not least, my gratitude goes to my husband Mr. David Were and our children Atieno and Omondi who had to endure a lot of snapping.
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ABSTRACT

The purpose of this study was to investigate the problems leading to inefficient Records Management in Kenyan academic institutions.

The study aimed at identifying the problems faced by the registries and record keeping offices and in investigating into the sources of these problems. The other objective was to make recommendations for the improvement of these registries and record keeping offices which could lead to better records management practices.

Questionnaires, formal interviews and observation methods were employed in collection of data of this study.

Definite practical recommendations were made in the study in relation to the solution of problems leading to inefficient records management in academic institutions in Kenya.
CHAPTER ONE

INTRODUCTION

1.1 BACKGROUND INFORMATION

The importance of proper records management practices cannot be over-emphasized. Records in whatever form are an important carrier of information indicative of the activities or business transactions of an organisation and others. It is therefore necessary that records should be well managed by all creating agencies to allow for their use as and when necessary (Musembi, 1987, pg.1).

There should be a clear system of identifying the various categories of records generated by the organisation based on its functions. There should also be a distinctive classification and indexing formula to the same. There should be a systematic disposal of records that are no longer required for reference in the day to day business of the organisation or for research in future. The organisation should therefore only keep valuable records and avoid unnecessary cost of storing useless materials. (Musembi, 1987, pg. 2).
Records management is a program concerned with the life of records from the time they are created to the time they are considered or condemned for either destruction or permanent preservation.

Hence, Records Management is the direction of a program designed to provide efficiency and economy in the creation, organisation, maintenance, use, retrieval and disposal of records ensuring that useless records are not created or kept and valuable records are preserved and made available.

It is therefore important for any organisation to treat Records Management as any other administrative function and give it the management attention it deserves.

1.1.1 A Brief Historical Account of R.M.

Records Management as a profession is a relatively new concept. However, Records Management as a function has existed for some 7000 years.

In 5000BC, the Sumerian civilization produced the first records. These records dealt with business matters such as taxes, loans and inventories and they were managed by temple priests.
In Egypt between 1530-1050BC, creating and managing records was a significant government operation.

Likewise in Babylonia, records management was an important function during the reigns of both Hammurabi (1792-1750BC) and Nebuchadnezzar II (630-562 BC).

As centuries passed, the record media changed. Clay gave way to papyrus and parchment and these in turn slowly gave way to paper. The records created were kept in libraries.

It was not until the 15th century that any lasting records management innovation was developed. At that time, the registry system was established.

In the eighteenth century at around 1789, the Archives Nationales was established in France. This institution provided for a unified administration of archives, including the records of public agencies, and developed many of the archival theories subscribed today. In 1838, the British Public Records Office Act was passed, establishing the principle of a centralized public records office under the direction of a records administration. In 1877, a British order in council
authorized destruction of valueless materials. In 1889 the first General Records Disposal Act was passed by the United States Congress. In 1913, the United States Bureau of efficiency was created. For the first time, the use of labour-saving office equipment was studied and promoted. In 1934, the National Archives of the United States was established and within that Federal agency, the life cycle concept of Records Management was developed.

With the development of the life-cycle concept, Records Management went from being a series of sporadic and unrelated efforts to an organized, structured, and logically-based approach to creating, maintaining and disposing of recorded information.

In Kenya, efforts to improve the management of records were made by the colonial government between 1930-1956. During this time, the government sent out executive orders which set up ways to handle all government records. In 1956, the first Central Government Archives was set up in the old Jogoo House, where important records over twenty years old could be sent for permanent preservation. Not much was achieved
then as there was nobody strictly charged with the duty of looking after these records.

In 1962, 1965, 1968 and 1985, the Kenya Government passed Acts, and sent out orders and circulars which had to be used in the management, maintenance and disposal of all public records. They are:-

a) The Records Disposal Act cap. 14, 1963  
b) The Public Archives Act cap. 19, 1967  
c) The Financial Orders Focus 26 and 27, 1968  
e) The OP Circular 1/85 of 10th October, 1985  

1.2 STATEMENT OF THE PROBLEM

The most important factor in management of records is their use as informational sources. Without adequate Records Management, the organisation can not obtain the information it wants at the proper time. Such a situation can lead to weak judgements, bad decisions and uncertain polices, with all the serious implications
that these might have for the efficient and effective running of the organisation.

With so much at stake, the organisation should no longer close its eyes and allow its valuable records to remain unmanaged and unavailable to help the organisation. While the initial cost of developing a Record Management Programme will probably be recouped in a short time, the failure to properly manage information, the fourth vital resource, could cost the organisation plenty.

Kipsach (1993) in his research project on the records management practices at Kenyatta University highlighted the way records are poorly maintained at Kenyatta University without proper records management practices.

This study will go a step further in an attempt to find out the factors contributing to these poor records management practices at Kenyatta University.

This is a problem that needs to be addressed if the University and all other Kenyan academic institutions at large, have to have their records properly managed for efficient and effective management.
1.3 **OBJECTIVES OF THE STUDY**

The objectives of the study are:-

i) To identify the problems faced by the records keeping institutions.

ii) To investigate the causes of these problems

iii) To make recommendations for the improvement of these institutions leading to better record management practices.

1.4 **SIGNIFICANCE OF THE STUDY**

Due to the great expansion of office records and the need for their control, organizations everywhere should take up the challenge of developing records management programmes. It is hoped that the findings of this study will make both the administrators and records managers more conscious of the importance of coming up with better records management practices not only at Kenyatta University but also in other institutions of higher learning in Kenya.

This study will also provide useful information to record managers on procedures they can adopt in dealing with the problems they experience in managing their records.
The findings of this study will also be of great use to the policy makers at the institutions which should come up with proper policies on records management. This in turn will lead to significant improvement in the records management practices.

Finally, it is hoped that the study will be an immense contribution to the discipline especially in records management.

1.5 SCOPE AND LIMITATIONS OF THE STUDY

This study focused on factors which lead to inefficient records management practices in Kenyan academic institutions. Further, it was a case study of Kenyatta University in selected departments.

This study was limited to four departments. They comprised of Administration under which the general registry, students registry, recruitment registry and personnel registry were studied; the health unit, the library and the catering and accommodation services. The choice of these departments was dictated by the availability of records and their accessibility.
Time factor was also a limitation since this was done simultaneously with the course work.

Travelling expenses coupled with the high cost of stationery also limited the study.

Some data could not be collected due to institutional problems. This too limited the study.

1.6 DEFINITION OF TERMS

RECORDS

All recorded information regardless of media or characteristics made or received and maintained in an institution in pursuance of its legal obligation or in the transaction of its business.

RECORDS MANAGEMENT

It is the process of creating, maintaining, using, and retrieval of records including the disposal of the useless records.

RECORDS MANAGEMENT PROGRAMME

It is a programme designed to guide the records manager in the process of records management to ensure proper records management practices.

RECORDS MANAGER

A person who has the care of records and also makes them available when requested.
FILING

The action of arranging papers, Non-book material and other documents and records of such or other items, into pre-determined sequences; also the subsequent insertion of additional items in their correct places.

RETENTION/DISPOSAL SCHEDULE

Plan specifying the life of records and when they should be destroyed.

RECORDS CENTRE

An institution or building providing accommodation for the inexpensive but efficient storage and further processing of records which are no longer frequently used but which must be preserved, and for the provision of a reference service.

ARCHIVES

A building, part of a building, or storage area, in which materials that are no longer in use, but are of either historical or research value, are housed.

LIST OF ABBREVIATIONS.

RM - Records Management
RC - Records Centre
KNA - Kenya National Archives
CHAPTER TWO

REVIEW OF RELATED LITERATURE

2.1 INTRODUCTION

An investigation of factors contributing to inefficient records management practices in Kenyan academic institutions can tap related literature from experiences of public record centres in Kenya since very little so far has been documented on them. Such literature will serve as a background to the issues under investigation and also as an indication of the range of study.

Most literature relating to records management in Kenya has been written by archivists with special attention given to archival administration.

Several circulars have been issued by the Kenyan government with the sole aim of ensuring smooth administration of records in the various government agencies, minimising storage expenses and allowing for future research through preservation of records of historical interest.

The circulars are: The Archives circular No.1

The physical control of records has become all the more desirable in Kenya, in view of the fact that there has been tremendous expansion in the operation of all departments and growth of national awareness.

Musembi (1993) says it has become necessary to formulate appropriate guidelines and procedures which must be applied by archivists and other persons involved in record and archives management.

Kipsach (1993) carried out a survey of records management practices at Kenyatta University with the aim of finding out the current state of both current and non-current records. The records management practices were of low standards and the record clerks and managers were never recognized by top management.

The related literature reviewed is broadly divided into various categories according to the areas
stressed by individual authors in their writings, as concerns practical issues in records management.

2.2 THE CONCEPT OF RECORDS MANAGEMENT

Penn (1989) defines records management as a logical and practical approach to the creation, maintenance, use and disposition of records and therefore, of the information these records contain. It includes the management of forms, reports, directives, active filing, inactive storage, records retention and a variety of other components.

While some people view records only as paper produced or reserved by an organization, records include any reproducible form of information including microfilm, computer data, video tapes and even photographs.

With a viable records management programme in operation, an organization can control both the quality and quantity of records that it creates; it can maintain that information in a manner that effectively serves its needs; and it can efficiently dispose of the information when it is no longer valuable.

Records require a specific kind of management.
It is not sufficient to manage records like any other form of information because they are a distinctive category of information and must be treated so accordingly. They must be managed by the organization that originates them from the moment they are created. The records management function is involved in each phase of the records life cycle its generation, active use, inactive use and disposal. When properly executed, it should aim in the control of the unnecessary proliferation of copies and make the retrieval and utilization of records more efficient.

Today, records management is evolving into the more comprehensive art of Information Resource Management (IRM) (Southwood, 1987, pg.10) Records Management is seen as the key to the proper and efficient running of any organization. Like all other administrative functions, records management should be goal oriented and service prompted.

2.2.1 AIMS & OBJECTIVES OF RECORDS MANAGEMENT

The aims and objectives of records management are as outlined below:-

...
(i) To control the quality and quantity of the records created. This is to ensure that only the valuable ones are kept and only a manageable amount.

(ii) To ensure accurate and thorough recording of the policies and transactions of an organization.

(iii) Simplifying the activities, systems and processes of records creation, maintenance and use.

(iv) To ensure proper classification of records for easy identification and retrieval.

(v) Allow for offering of reference and informational services to the creators of the records, government officials and researchers.

(vi) To provide adequate protection of the various records against the agents of destruction.

(vii) To ensure security of records against information leakage and theft.

(viii) To allow for regular transfer of dormant records from high cost office storage to low cost storage.
(ix) To ensure wise selection of records for either destruction or preservation.

(xi) To ensure continued maintenance of records from the time they are created to the time of disposal.

Any organization that embarks upon formulating a record management programme should have these aims and objectives in mind so as to help formulate policies that will lead to efficient records management.

2.5 **REGISTRY SYSTEMS AND RECORDS MANAGEMENT**

Registries are functional coordinating centres in an organization. The records of an organization are kept here. The needs of the registry systems vary according to the nature of the business being conducted in a particular organization.

Records management is an organised system by which records are created, maintained and disposed of. This in part, describes the activities that go on in registries. Registries have specific tasks geared towards the control of a department's correspondence and information-in coming as well as outgoing - and to
classify such information when necessary, safeguard it and also make it available for reference when required or to direct it to specific action officers. The process of records management therefore must start in registries where files are largely current and in active use. (Wamukoya, 1987 Pg. 1).

2.3.1 FUNCTIONS OF REGISTRIES

Registries can either be centralized or decentralized. A centralized registry is that where many departments are sharing the same registry, so that it is centrally placed. A decentralized registry is where each department has its own registry. This is typical of big organizations like universities. Such ones function on their own independent of the others.

Whatever type of registry, whether centralized or decentralized, the functions performed are the same. Outlined below are the functions of registries.

(i) Creation of records and organisation of these records by filing, classifying, indexing and numbering of papers.

(ii) Storage of records which include
the supervision of filing procedures, equipment and supplies.

(iii) Retrieval of records

(iv) Retention of records and the development of a schedule for the safe keeping of necessary documents.

(v) Disposal of records that are concerned, transferring and storing inactive records and providing adequate protection for vital records and the disposal of those that are not needed.

The work of public registries and registry officers is to control the creation, storage and use of records for reference purposes. (Wamukoya 1987, Pg.1). This should be done by registries, be they in Kenyan academic institutions or public offices.

2.3.2 REGISTRY ORGANIZATION

Penn (1980) says this of registry organization:

... Registry system should match the needs of the user; these needs should be the prime consideration in selecting the type of registry organization. Good Communication is essential if problems are to be identified and solved. Registries should be clean and properly arranged to reflect the importance of the
service which they provide to the rest of the organisation. Equipment must be of adequate standard. Filing units should be made of steel, be open, compactly arranged and given due allowance for ease of extraction and replacement of files. (Penn, 1989, Pg. 127-128).

An organized registry means organised records. Records which have been organized and in good shape at an early stage are easy to locate and to use. On the contrary, poorly organised records pose great problems either in retrieval or utilization. Therefore it is important that all registries and registry officers try to prevent from developing a status quo which allows for an accumulation of poorly organised records (Wamukoya 1987, pg. 1).

2.4 TRAINED STAFF

To meet the need for improvement in planning and control of records management processes, there is an emerging demand for professionals. These should be characterized by highly skilled technicians with a solid grasp of functional information needs. (Tweedy, 1986, Pg. 4).

The principal consideration in this process of
organizing the records management function is providing competent personnel in the unit. They should have an extensive familiarity with the information needs of the entire structure, its objectives and to some degree, its plans for the future. The position as visualized here, requires a generalist who can first of all manage people, promote coordination and stress the importance of the records program among the functional units of the organization. He should be a specialist in information classification, storage, retrieval and disposal (Tweedy, 1986, Pg. 7).

In both cases, Tweedy stresses the importance of having trained staff who can handle all the processes that go into seeing to efficient records management.

Wamukoya (1987) observes that in most registries and government offices in Kenya, staffing is poor and the registry personnel have not had any basic training in records management. Some of them are not even familiar with the current government regulation relating to records management.

Kipsach (1993) also notes that the percentage of trained registry personnel is too low to effect any
noticeable changes at Kenyatta University. There is no formal criteria for staffing registries, there is confusion in the responsibilities of departmental records managers and more so, responsibilities in registries are assigned to junior clerks.

It is important that the personnel in the registry should be trained in order to help produce quality service. Lack of trained personnel largely contributes to inefficient records management because they have no idea of what goes on in regard to records management processes. Kenya academic institutions should also have trained staff to man their registries.

2.5 FILING

Filing is an essential activity in records management. It is concerned mainly with building a day to day history of the organisation by preserving its records. In order to utilize this history in full, the arrangement of records storage facilities must be such that they will enable quick and easy records filing and retrieval whenever needed. (Waegemann, 1983, Pg.103).

Waegemann goes ahead to identify what he refers
to as common filing problems as first, the duplication of titles in many divisions which further complicates space and equipment problems and secondly, broad file subjects that render two or more subjects buried in one file with the results that documents are lost, misfiled or difficult to trace.

Mjama (1987) also cited similar cases on the Kenyan scene. He says:

... In most Kenyan government offices, the most common filing problems are those relating to cases of lost files or unretrievable files. (Mjama, 1987. Pg. 3).

Kipsach (1993) cites some of the problems of filing at Kenyatta University being:

... Papers are put in wrong files, there are misleading file titles and the files are too bulky and difficult to handle. (Kipsach, 1995, Pg. 34).

It is clear from the above observations that filing is not treated with the seriousness it deserves to avoid these common problems cited. This leads to inefficient records management.
2.5.1 FILE MOVEMENT

The registry must know at any time whether it has a particular file or not and if not, in whose possession it is. Thus a file location system has to be maintained and this can be achieved most efficiently by replacing a file by a location card when it is taken out or sent from the registry. The location card should show the file title and the file reference, the date on which it was taken out, or sent from the registry and the name of the office or person who has taken it.

On the Kenyan scene, as much as attempts have been made in registries and offices to come up with proper monitoring of files, it is far from being achieved. Kipsach (1993) notes that file movement at Kenyatta University is not taken seriously. The tracer cards used are inadequate thus leading to the registry clerks not knowing where to locate files. In some instances, the tracer cards are not signed at all.

Unless a proper machinery is devised for recording file movement, then we still have to face the problem
of files that cannot be located when they are urgently required for use. Registry staff in Kenyan academic institutions should take filing as an important aspect of Records Management and treat it thus.

2.6 STORAGE

Smith (1986) is of the opinion that efficient storage is the cornerstone of an economical and accessible records management programme. He says:

...Because of the unique demands of each office in terms of available space, quality of documents and type of use, choosing and arranging file equipment will be one of the records management team's primary responsibilities. Ideal records storage requires durable equipment designed for specific uses. Other criteria include security requirements and fire protection, the need for expansion and mobility, the size of the document and the speed with which they must be retrieved. Filing equipment should be adequate and convenient. (Smith, 1986, Pg. 45).

When records are no longer active, meaning that they are semi-active or inactive but must still be retained, are less expensively stored outside office areas. The stores where the records are stored should be free of any destructive elements. This is also
expected of records housed in Kenyan academic institutions which are no longer in use. They should be stored elsewhere.

Storage of records in Kenya is in a pathetic state. Wamukoya (1987) commenting on the state of records in North Eastern province says that facilities such as racks or cabinets on which to accommodate the records are lacking. This, he continues to say, has led to records being dumped on the floor and are exposed to destructive elements.

The same problem is voiced by the District Commissioner of Kiambu when commenting on the state of records in the district. He says:

"... The store is constructed with large windows on the eastern side of the building. The sun's rays directly fall on the files causing harmful damage to the records. There is leaking in the store during the rainy seasons and the rooms get flooded causing serious damage. (D.C. Kiambu, 1987)."

The records in the agricultural office in Kiambu are bundled up and mixed with all sorts of items like beds, lawn mowers, blankets and tins. (District Agricultural officer, Kiambu, 1987).
Mjama, (1987) perturbed by the state of records in Garissa says:-

... In Garissa, records dating back to the 1930's were dumped on the floor on which some were kept in sacks. These records had been rained on or flooded so that they had moulds and also had decayed. This would be termed as wilful destruction. (Mjama, 1987, Pg. 4).

These instances display a lack of seriousness on the part of the records managers in their respective offices.

2.7 SPACE

Records Management should lead to economy in the utilization of space. This means that special space conservation measures should be adopted to get the most productivity at the lowest cost. Available space should be well utilized by having records properly arranged, or shelved on the racks or in the cabinets. Heads of departments should provide room for the purpose of storing records.

Wamukoya (1987) observes that lack of space is a common problem in all public offices in Kenya. There
is no space to spare either for the officer or records and officers are meant to share offices with other officers who are not records managers or clerks. This consequently has led to records being dumped on the floor, on top of cabinets or in a small room.

This type of accommodation does not meet the standards required for the storage of records.

2.8 RETENTION AND DISPOSAL

When records are no longer needed for the conduct of current business, they should be removed to record centres to provide better access to more current records and reduce storage costs.

The decision as to which files are for transfer to the Kenya National Archives or those which are for disposal is an important phase of records management.

Wamukoya (1987) notes that the congestion of records in registries and in record rooms is as a result of the retention of records that are likely to be obsolete for unnecessarily long periods and non-transfer of valuable materials to the Kenya National Archives or to Record Centres.
He stresses on the role of registry officers in helping to identify records which bear long term administrative value to the department and which may require retention in the office or in the archives. Such planning, he says, will ensure that there is a systematic and continuous flow of records from active areas to dormant storage and to disposal while at the same time guaranteeing the preservation of valuable records.

At Kenyatta University, Kipsach (1993) observes, retention/disposal schedules are non-existent. This, he says, has led to irresponsible destruction of records out of frustration for lack of space.

In the government offices, the case is different. Mjama (1987) says that the heads of departments in charge do not utilize the available disposal schedules.

The retention/disposal schedules are essential in records management. Lack of utilizing them will lead to large accumulations of all types of records which in turn is a reflection of inadequate management of records.
2.9 TOP MANAGEMENT INVOLVEMENT

Top management is the key to success for every type of line or staff operation and records management is no exception.

Wamukoya (1987) stresses on the importance of the top management involvement in records management. He says:

... A top manager who realises the importance of records management will delegate the functional authority for such management to a competent, professional records manager and issue an authorizing directive establishing a comprehensive records management programme at a level commensurate with other staff functions such as budgeting and personnel. (Wamukoya 1987, Pg. 15).

Mjama (1987) blames top management for the problems experienced in the public offices, for their lack of involvement in records management. He says:

... It is not only the registry staff to blame. Some of these problems could be solved if the heads of departments took keen interest and appreciated the role of records management. There is need for the
senior government officers to be involved in the manner in which registries are organised and run. Failure to do this will lead to the storage of valueless semi-current records, misplacement of files and in some cases, destruction of records through careless handling and storage; even as been demonstrated in some government offices. (Mjama, 1987, Pg. 4).

Inadequate records management reflects inadequate management not only on the part of the records manager, but also on the part of the organization's overall administration. (Penn, 1989, Pg. 168).

From the literature reviewed so far, one realises as earlier mentioned, that little research has been carried out in this field in determining the factors contributing to inefficient records management in Kenyan academic institutions.

There is an urgent need on the improvement of records management practices in the country as a whole.

It is hoped that the study will contribute to the improvement of records management in Kenyan academic institutions.
CHAPTER THREE

METHODOLOGY

3.1 INTRODUCTION

This study aimed at finding out the factors that lead to inefficient records management in Kenyan academic institutions. It was a case study that was done at Kenyatta University in selected departments.

This Chapter outlines the methodology that was used in the study.

3.2 SAMPLE

The population used in the study included:

(i) 5 records managers
(ii) 3 secretaries

The total sample comprised of 8 subjects. They all filled the questionnaire.

3.3 SAMPLING PROCEDURE

The departments sampled were in virtue of their having large volumes of records which are still in active use.
The sample of records managers was randomly done by use of a list from their respective offices on which every second person on the list was picked.

3.4 INSTRUMENTATION

To achieve the objectives of the study, the following techniques for data collection were used:

(i) Questionnaire
(ii) Interview
(iii) Observation

3.4.1 QUESTIONNAIRE

Two different questionnaires were used:
Senior and junior record managers/clerks and secretaries.

3.4.1.1 SENIOR/JUNIOR STAFF QUESTIONNAIRE

It was aimed at revealing what happened in practice on matters to do with the process of records management like filing, filing classification systems, filing equipment, storage of record, space, use of retention and disposal schedules and working conditions. In general, it looked at records maintainance and use.
3.4.1.2 SECRETARIE'S QUESTIONNAIRE

It was also meant to identify the problems secretaries in the offices encountered in their day to day activities in regard to filing, storage, equipment and space.

The design of the questionnaire included both closed and open ended questions. Letters were sent to the respective departments prior to the administering of the questionnaire to inform them when the questionnaires would be administered.

The questionnaires were personally distributed to the respondents and the completed questionnaires personally collected.

3.4.2 INTERVIEW

Appointments for having interview sessions were booked in advance. Whenever possible, the interviews took place in private places to help the respondents feel relaxed.

The interview was aimed at obtaining other information which may not have been covered by the
questionnaire but deemed to be useful for the study and also clarifying some of the information not clear to the respondents.

3.4.3 OBSERVATION

This technique was used to gather information especially related to:

(i) Types of records created and kept
(ii) The types of filing classification systems used
(iii) General activities going on in the registries/offices
(v) Records storage facilities
(vi) Records security
(vii) Equipment in the registries/offices
(ix) The general registry/office appearance i.e. arrangement of equipment, working tables; organization of registry/office and general cleanliness.

3.5 DATA ANALYSIS

The information gathered through the questionnaire, personal observation, and interviews
was grouped in accordance with the different aspects of the study. The data was systematically presented by use of tabulations and percentages.
CHAPTER FOUR

DATA ANALYSIS AND PRESENTATION

4.1 INTRODUCTION

This chapter presents analyses and field responses whose primary purpose was to establish the factors contributing to inefficient records management in Kenyan academic institutions. The study was carried out at Kenyatta University in the following registries and record keeping offices:

Registries
- Personnel registry
- Students registry
- General registry
- Recruitment registry

Record Keeping Offices
- Library
- Health Unit
- Catering and Accommodation Services.

In all, 4 registries and 3 record keeping offices were visited. The category of staff interviewed included senior record managers, junior record clerks, and secretaries.
Descriptive analysis and statistical tables were used and the following factors investigated into in regard to the major aspects of the study:

1) The concept of records management
2) Registry organization
3) Trained staff
4) Filing
5) Storage
6) Space
7) Retention and disposal of records

4.2 THE CONCEPT OF RECORDS MANAGEMENT

4.2.1 Existence of a records management programme

For proper records management, any institution needs to come up with a viable records management programme. This will guide the record managers in organizing and controlling both the quality and quantity of records.

Table 1 shows the responses got from the respondents in the registries and record keeping offices that were investigated on, on the issue of the existence of a records management programme.
TABLE 1: Responses on the existence of a records management programme.

<table>
<thead>
<tr>
<th>Responses</th>
<th>No.</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>No</td>
<td>7</td>
<td>100</td>
</tr>
<tr>
<td>TOTAL</td>
<td>7</td>
<td>100</td>
</tr>
</tbody>
</table>

Source: Field survey.

Table 1 has exhibited that all the registries and record keeping offices do not have a records management programme. This was attributed by the respondents to the top management not having come up with any records management programme.

4.3 REGISTRY ORGANIZATION

4.3.1 General Appearance

Registries should be clean and properly arranged. The working conditions should be such as to allow easy movement of staff to and fro and within the rooms. This calls for the equipment kept in good position, the area not being noisy and the general outlook being that of a neat and well organized room.
Table 2 shows the observations made by the researcher about the general appearance of the registries and record keeping offices in regard to:

i) Cleanliness and neatness

ii) Organization of files and other records

TABLE 2: General appearance of the registries and record keeping offices.

<table>
<thead>
<tr>
<th>Responses</th>
<th>Cleanliness and neatness</th>
<th>Organization of files and other records</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>No.</td>
<td>%</td>
</tr>
<tr>
<td>Yes</td>
<td>3</td>
<td>42.9</td>
</tr>
<tr>
<td>No</td>
<td>4</td>
<td>57.1</td>
</tr>
<tr>
<td>Totals</td>
<td>7</td>
<td>100</td>
</tr>
</tbody>
</table>

According to the responses in Table 2, 42.9% of the registries and record keeping offices were clean and neat and also had well organized files and other records, whereas 57.1% were neither clean and neat nor were their files and records well organized. This implies that majority of the offices and registries actually are not neat and their files not well organized.
When asked why this was so, the respondents blamed it on the size and congestion of the rooms saying, that it did not give the cleaners a chance to clean properly and that the storage facilities of the files were limited leading to files kept on top of tables and cupboards. For those whose offices were clean and the files well organized, they said it was due to less records which facilitated proper maintenance of files.

4.3.2 Working Conditions

Table 3 shows the responses got in regard to the working condition in the registries and record keeping offices. This was seen in the light of:-

i) The position of the equipment, materials and working tools

ii) Noise

iii) Ventilation, natural light and temperature conditions.
TABLE 3: Working conditions in the registries and record keeping offices

<table>
<thead>
<tr>
<th>Responses</th>
<th>Equipment, material and working tools in good position</th>
<th>Noisy areas</th>
<th>Good ventilation, natural light, and temperature conditions</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>No.</td>
<td>%</td>
<td>No.</td>
</tr>
<tr>
<td>Yes</td>
<td>3</td>
<td>42.9</td>
<td>0</td>
</tr>
<tr>
<td>No</td>
<td>4</td>
<td>57.1</td>
<td>7</td>
</tr>
<tr>
<td>Total</td>
<td>7</td>
<td>100</td>
<td>7</td>
</tr>
</tbody>
</table>

Source: Field Survey.

The results in Table 3 show that 42.9% of the registries and record keeping offices visited had their working area properly laid out with the equipment, materials and working tools in good position. 57.1% did not have their working area properly laid out. All the registries and record keeping offices had good ventilation, natural light and temperature conditions.

When asked to comment on why the working area was not properly laid out, the staff in the students registry, general registry, personnel registry and
recruitment registry pointed out that the rooms were not meant for registries and were just converted into registries as the need arose in the University. More so, the rooms were too small to contain both the staff and the equipment, materials and working tools. None of the registries and record keeping offices were situated in noisy areas.

4.4 TRAINED STAFF

4.4.1 Trained and untrained staff

It is important to have trained staff in registries and record keeping offices because they can handle all the processes that go into seeing to efficient records management.

The respondents were asked to indicate whether they were trained or untrained in records management and if trained, to what level. Table 4 shows the responses got to show the number of trained and untrained staff.
TABLE 4: Trained and Untrained Staff per registry/record keeping office.

<table>
<thead>
<tr>
<th>Registry/record keeping office</th>
<th>Total No. of staff</th>
<th>Trained</th>
<th>%</th>
<th>Untrained</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Personnel Registry</td>
<td>5</td>
<td>1</td>
<td>10</td>
<td>4</td>
<td>12.1</td>
</tr>
<tr>
<td>Students registry</td>
<td>9</td>
<td>3</td>
<td>30</td>
<td>6</td>
<td>18.2</td>
</tr>
<tr>
<td>General registry</td>
<td>2</td>
<td>0</td>
<td>0</td>
<td>2</td>
<td>6.1</td>
</tr>
<tr>
<td>Recruitment registry</td>
<td>4</td>
<td>3</td>
<td>30</td>
<td>1</td>
<td>3</td>
</tr>
<tr>
<td>Health Unit</td>
<td>12</td>
<td>3</td>
<td>0</td>
<td>9</td>
<td>27.2</td>
</tr>
<tr>
<td>Library</td>
<td>4</td>
<td>0</td>
<td>30</td>
<td>4</td>
<td>12.1</td>
</tr>
<tr>
<td>Catering and accommodation Services</td>
<td>7</td>
<td>0</td>
<td>0</td>
<td>7</td>
<td>21.2</td>
</tr>
<tr>
<td>Totals</td>
<td>43</td>
<td>10</td>
<td>100</td>
<td>33</td>
<td>100</td>
</tr>
</tbody>
</table>

Generally, the results in Table 4 show that out of 45 members of staff manning the registries and record keeping offices, only 10 are trained and 33 are untrained. The number of trained personnel is therefore less by far compared to the untrained. The general registry, catering and accommodation services offices and the library personnel are untrained. The library
was put in this category because secretaries are not trained in records management but they are trained in office practice, which constitutes a negligible proportion in records management.

In registries or record keeping offices where there are some trained personnel, the percentage of the trained to the untrained is still less. In the personnel registry, out of a total of 5, only 1 is trained, in the students registry out of a total of 9 only 3 are trained, in the health unit out of 12 only 3 are trained and in the recruitment registry out of a total of 4 only 3 are trained.

The results undoubtedly suggest that there is an imbalance in the number of trained and untrained staff resulting into some registries manned by untrained staff only.

4.4.2 Level of training

Table 5 shows the level of training attained by the staff in the registries and record keeping offices.
TABLE 5: Level of training in the registries and record keeping offices.

<table>
<thead>
<tr>
<th>Level</th>
<th>No.</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ph.D.</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Masters</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Diploma</td>
<td>1</td>
<td>10</td>
</tr>
<tr>
<td>Certificate</td>
<td>9</td>
<td>90</td>
</tr>
<tr>
<td>Totals</td>
<td>10</td>
<td>100</td>
</tr>
</tbody>
</table>

Source: Field Survey

The results in Table 5 show that the majority of the personnel are certificate holders. Only one is a diploma holder. Asked why they were not making effort to attain diplomas, the certificate holders complained that their certificates were not recognized leading to different grading on the job and that they were denied any opportunities of advancing.

The diploma holder on the other hand cited lack of motivation due to the top management not crowning his efforts. One simply remained in his former grade even after training due to lack of promotion.

During the interview, one of the respondents was dissatisfied because of being in a registry where
he could not exploit his potentialities. Besides, irregularities were followed in promotion where we had a messenger having been promoted to being a junior clerk without training in one of the registries. It was felt that the top management did not value records since they could afford to let such a thing happen.

4.5 FILING

4.5.1 Filing classification systems

Filing classification systems ensure proper organization of files and ease of retrieval of these files. The respondents from the registries and record keeping offices were asked to indicate the type of filing classification systems used in their registries and record keeping offices. The results were as shown in Table 6.

<table>
<thead>
<tr>
<th>Classification System</th>
<th>No.</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>By subject</td>
<td>1</td>
<td>14.2</td>
</tr>
<tr>
<td>Numerical</td>
<td>2</td>
<td>28.6</td>
</tr>
<tr>
<td>By colour</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Chronological</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Alphabetical</td>
<td>2</td>
<td>28.6</td>
</tr>
<tr>
<td>Alphanumeric</td>
<td>1</td>
<td>28.6</td>
</tr>
<tr>
<td>Any other</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>None</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td>Totals</td>
<td>7</td>
<td>100</td>
</tr>
</tbody>
</table>
The results from Table 6 show that the most commonly used filing classification systems are numerical, alphabetical and alphanumeric. Only one office uses the subject filing classification system. The most unpopular filing classification system are by colour and chronological.

4.5.2 Existence of an index to file

Six of the registries and record keeping offices had an index to their files as indicated by the results in Table 7. Only one registry lacked an index because it dealt with ephemeral files.

TABLE 7: Responses on the existence of an index to files

<table>
<thead>
<tr>
<th>Responses</th>
<th>No.</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>6</td>
<td>85.7</td>
</tr>
<tr>
<td>No</td>
<td>1</td>
<td>14.3</td>
</tr>
<tr>
<td>Totals</td>
<td>7</td>
<td>100</td>
</tr>
</tbody>
</table>

Source: Field survey
4.5.3 **Existence of a manual showing policies and procedures of filing.**

In all the registries and record keeping offices visited, none of them had a manual showing policies and procedures for filing as exhibited by Table 8.

**TABLE 8: Responses showing the existence of a manual on policies and procedures for filing**

<table>
<thead>
<tr>
<th>Responses</th>
<th>No.</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>No</td>
<td>7</td>
<td>100</td>
</tr>
<tr>
<td>Totals</td>
<td>7</td>
<td>100</td>
</tr>
</tbody>
</table>

Source: Field survey

Asked if it was important to have such a manual, they all acknowledged that it was important given that it would be used as a guide by any new employee in the office or registry.
TABLE 9: Responses on the importance of having a manual on policies and procedures for filing

<table>
<thead>
<tr>
<th>Responses</th>
<th>No.</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>7</td>
<td>100</td>
</tr>
<tr>
<td>No</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Total</td>
<td>7</td>
<td>100</td>
</tr>
</tbody>
</table>

Source: Field survey

4.5.4 FILE MOVEMENT

In any office or registry where files are accessed by other departments, it is important to have a file location system that will enable the personnel to know where the file is at any one given time.

The respondents were asked to state the file location system they used in tracing the movement of files within the departments or offices. The location system and responses were as outlined in Table 10.
TABLE 10: File location system used

<table>
<thead>
<tr>
<th>Location system</th>
<th>No.</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>File Movement cards</td>
<td>3</td>
<td>42.8</td>
</tr>
<tr>
<td>Use of a book</td>
<td>1</td>
<td>14.3</td>
</tr>
<tr>
<td>Personnel taking files to and from the offices</td>
<td>1</td>
<td>14.3</td>
</tr>
<tr>
<td>None</td>
<td>2</td>
<td>28.6</td>
</tr>
<tr>
<td><strong>Totals</strong></td>
<td>7</td>
<td>100</td>
</tr>
</tbody>
</table>

Source: Field survey

The results exhibited in Table 10 shows that 42.8% use file movement cards, 14.3% use a book to record, which is also the same percentage for personnel taking files to and from the offices, and 28.6% have no location system that they follow. Asked why they did not have a file location system, the reason given was that they did not share their files with other departments so they did not see the need of a location system.

4.6 STORAGE

4.6.1 Type of equipment used for storage of records

When storing records in registries, it is of
importance to have the proper equipment designed for keeping these records. These includes metal cabinets, or wooden racks. These should be of the right size to accommodate the records.

Table 11 shows the results got when the respondents were asked to indicate the type of equipment they used in storing their records.

<table>
<thead>
<tr>
<th>Type of equipment</th>
<th>№.</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Metal cabinets</td>
<td>2</td>
<td>28.6</td>
</tr>
<tr>
<td>Wooden racks</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Both metal and wooden cabinets</td>
<td>4</td>
<td>57.1</td>
</tr>
<tr>
<td>Lateral filing cabinets</td>
<td>1</td>
<td>14.3</td>
</tr>
<tr>
<td>Any other</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td><strong>Totals</strong></td>
<td>7</td>
<td>100</td>
</tr>
</tbody>
</table>

From Table 11, we see that 57.1% used both metal and wooden cabinets in their storage, none used wooden racks only, 28.6% used metal cabinets and 14.3% had lateral filing cabinets.
4.6.2 Size of equipment

Asked whether the equipment used was of the right size, most of the registries and record keeping offices indicated that the equipment was too small in size. The percentage for this response was 57.1%. The equipment used by 42.9% of the respondents was of the right size. There were no responses for "Too large" or "medium". For proper storage of records, proper equipment is needed.

TABLE 12: Responses on the size of the equipment

<table>
<thead>
<tr>
<th>Responses</th>
<th>No.</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Too small</td>
<td>4</td>
<td>57.1</td>
</tr>
<tr>
<td>Too large</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Medium</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Right size</td>
<td>3</td>
<td>42.9</td>
</tr>
<tr>
<td>Totals</td>
<td>7</td>
<td>100</td>
</tr>
</tbody>
</table>

Source: Field survey.

As asked why they felt the equipment was small in size, the main reason given was that the files were too bulky and it was not easy to retrieve them with ease.
4.6.3 Security of records from destructive elements

It is vital for any registry or record keeping office to protect their records from destructive elements. The most common being fire, water, sunlight, dust and theft.

On this issue, the responses got from the registries and record keeping offices were as shown in Table 13.

<table>
<thead>
<tr>
<th>Responses</th>
<th>Fire</th>
<th>Sunlight</th>
<th>Water</th>
<th>Dust</th>
<th>Theft</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>No. %</td>
<td>No. %</td>
<td>No. %</td>
<td>No. %</td>
<td>No. %</td>
</tr>
<tr>
<td>Yes</td>
<td>7 100</td>
<td>7 100</td>
<td>7 100</td>
<td>3 42.9</td>
<td>5 71.4</td>
</tr>
<tr>
<td>No</td>
<td>0 0</td>
<td>0 0</td>
<td>0 0</td>
<td>4 57.1</td>
<td>2 28.6</td>
</tr>
<tr>
<td>Totals</td>
<td>7 100</td>
<td>7 100</td>
<td>7 100</td>
<td>7 100</td>
<td>7 100</td>
</tr>
</tbody>
</table>

Source: Field survey

All the registries and record keeping offices acknowledged that their records were protected against fire, sunlight and water. 71.4% had their records
protected against theft while 28.6% did not. Most of the records were not protected against dust. This was attributed to lack of storage space and facilities which led the records to being kept on top of cabinets and tables where they accumulated dust. Theft of files was experienced in most of the registries and record keeping offices. The main reason being that security was not tight and anyone could get in and pick the files and especially those kept on wooden racks. Also the fact that messengers could move in and out of the registries as they pleased and picked files without filling in the tracing cards contributed to theft and loss of files.

4.7 SPACE

When asked to indicate whether their rooms were congested or spacious and to give the reasons for their responses, the responses were as shown in Table 14. The results shown indicate that they all felt their rooms were congested. The reason given for the congestion was that the rooms were too small to accommodate both staff and equipment for storing the records.
TABLE 14: Responses on the size of the room.

<table>
<thead>
<tr>
<th>Responses</th>
<th>No.</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Congested</td>
<td>7</td>
<td>100</td>
</tr>
<tr>
<td>Spacious</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Totals</td>
<td>7</td>
<td>100</td>
</tr>
</tbody>
</table>

Source: Field survey.

4.8 RETENTION AND DISPOSAL OF RECORDS

4.8.1 Existence of Retention/Disposal Schedules

When asked about the existence of retention/disposal schedules, responses varied according to the category of personnel. The secretaries had no idea about retention/disposal schedules. The others i.e. the records managers and clerks knew how important it was to have retention/disposal schedules but they did not have them because they relied on the top management to come up with the schedules. Something that the top management had not done.

Asked how they disposed of their records that were no longer in use, the Health unit used the guidance of the Medical Act, the secretaries in the record keeping
offices said that once a file was not in use it was stored in a different cabinet and in the registry, several methods were used. In the Recruitment registry, once the recruitment process was over, the files were torn into pieces. The personnel registry destroyed its files haphazardly and so did the general registry. The students registry had started microfilming records but the furthest it got was microfilming files ranging from 1950-1977. The original files were shredded and sold to paper manufacturers. However, due to lack of funds, this method of disposal has been suspended.

Table 15 shows the responses got on the existence of retention/disposal schedules.

<table>
<thead>
<tr>
<th>Responses</th>
<th>No.</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>1</td>
<td>14.3</td>
</tr>
<tr>
<td>No</td>
<td>6</td>
<td>85.7</td>
</tr>
<tr>
<td>Totals</td>
<td>7</td>
<td>100</td>
</tr>
</tbody>
</table>

Source: Field survey.
The results shown in Table 15 show that 85.7% of the registries and record keeping offices did not have retention/disposal schedules. This is an indication of poor records maintenance.

4.8.2 Transfer of records to Kenya National Archives (KNA) or to a Records Centre (RC)

The respondents were asked to indicate whether they had ever had their records transferred either to Kenya National Archives or a Records Centre. The results as indicated in Table 16 reveal that none of the registries or record keeping offices had ever done so. Asked why, the blame was shifted to the top management for not having formulated such a policy in records management. The students registry however had had some of its records transferred to a small room full of dust within the premises which it called an "archives".

<table>
<thead>
<tr>
<th>TABLE 16: Transfer of records to KNA or a RC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Responses</td>
</tr>
<tr>
<td>Yes</td>
</tr>
<tr>
<td>No</td>
</tr>
<tr>
<td>Totals</td>
</tr>
</tbody>
</table>

Source: Field survey.
CHAPTER FIVE

SUMMARY OF FINDINGS, CONCLUSIONS AND RECOMMENDATIONS

5.1 INTRODUCTION

This study sought to investigate the factors contributing to inefficient records management in academic institutions in Kenya. This Chapter will present a summary of the study's findings, draw conclusions based on these findings and propose definite practical recommendations. The presentation will be according to the following order:-

1. The concept of Records Management (RM)
2. Registry organization
3. Trained staff
4. Filing
5. Storage
6. Space
7. Retention/disposal of records

5.2 THE CONCEPT OF RECORDS MANAGEMENT (RM)

5.2.1 Existence of a Records Management (RM) programme

The study revealed that all the departments visited did not have a Record Management programme. It
was established that the top management in the registries and record keeping offices has not come up with any RM programme.

From the foregoing findings, it was concluded that the failure of having a proper RM programme was due to the top management's failure to come up with one.

This lack of a programme to guide the staff led to them being unable to carry out their services effectively.

In view of the above, it is recommended that:

1. Awareness of RM should be created to the top management. They should be made to recognize and understand the importance of RM to the institution.

2. The top management should come up with a viable Record Management Programme. An efficient programme will lead to economy and efficiency in the management of records.

3. The staff in the registries and record keeping offices should be involved in the formulation
of the programme. This will ensure that they put it into practice since it will be based on their own views.

5.3  REGISTRY ORGANIZATION

5.3.1  General Appearance

The study revealed that most of the registries and record keeping offices were untidy with poorly organized files and records. It was established that this was due to lack of storage facilities for the files and other records which forced the staff to keep them on top of cabinets.

From these findings the study recommends that:

1. More storage facilities should be provided for storing these records.

2. Outside storage should be found for these records. They can take them to the Kenya National Archives.

5.3.2  Working Conditions

The study established that the majority of the registries and record keeping offices did not have their
equipment, materials and working tools in good position. This interfered with the movement of staff to and fro in the offices, with ease.

The study also revealed that the rooms used as registries, were not purpose built. This contributed to the things placed in a haphazard manner as observed.

It was concluded from the above findings that there was need for the University to come up with future plans of building a proper registry. This would ease the congestion in the registries and lead to equipment, materials and working tools being placed out of the way of the staff.

5.4 TRAINED STAFF

5.4.1 Trained and Untrained Staff

It was noted that the registries and record keeping offices suffered from serious staffing problems.

It was established that the registries and record keeping offices experienced acute shortages of staff trained in records management and depended heavily on the services of untrained staff.
Based on the foregoing observation the study recommends that:-

1. The university should attract well qualified personnel and to motivate and therefore retain them by improving their terms and conditions.

2. It should offer regular training opportunities and on completion of such training be considered for immediate promotion.

3. Train all the untrained staff in the registries and record keeping offices with immediate effect.

5.4.2 Level of training

The study established that the majority of the personnel in the registries and record keeping offices were certificate holders.

It was therefore concluded that there was need for the institution to come up with a training programme to ensure that the trained staff went for a higher level training.

The recommendations thus drawn are:-
1. The institution should encourage the staff to go for further training.

2. It should recognize the diploma certificate holders and upgrade them in their jobs.

3. Promotions should be effected.

4. Trained personnel should be placed in the offices where they can exploit their potentialities.

5. Proper procedures for promotion should be followed.

5.5 FILING

5.5.1 Existence of a Manual showing policies and procedures for filing

The study established that none of the registries and record keeping offices had a manual showing policies and procedures for filing.

This study also established that the registries and record keeping offices saw the need for such a manual especially in guiding new employees in the registries and record keeping offices.
In view of this, the following recommendations are made:

1. The registries and record keeping offices should come up with a manual showing policies and procedures for filing.

2. The manual should be comprehensive enough to include details concerning all the procedures for filing.

3. The manual should be regularly revised and updated in the light of new developments.

5.5.2 File Movement

The study established that different registries and record keeping offices had different file location systems. Some used file movement cards, others books and still others did not have any system for locating files.

It was observed and established that the file movement cards and books were not detailed enough in leading one to locate the file.

It was concluded that the registries and
record keeping offices should come up with comprehensive file movement cards.

From the above findings, the study recommends the following:

1. The registries and record keeping offices using books and those without any file location system, should adopt the file movement cards system.

2. The file movement cards should have details of the file number, the date the file is taken, the office it is taken from, the office it is taken to, by whom and the name and signature of the officer who receives the file.

3. The file movement cards should be in duplicate so that the registry or record keeping office remains with the original and the copy is retained by the receiving office.

4. Security in the registries and record keeping offices should be tightened. This will prevent people and especially messengers
moving in and out and picking files without
signing in the file movement cards.

5.6 STORAGE

5.6.1 Type of equipment used for storage of records

Majority of the registries and record keeping offices were found to have metal cabinets and wooden cabinets for storing their records, most of which were inconvenient for storing records. Only one department the Health Unit, had the ideal cabinets for storing records, that is, the lateral filing cabinets.

The study concluded that there was need for the institution to purchase more lateral filing cabinets to store the records properly.

It thus recommends:-

1. Immediate purchase of lateral filing cabinets for all registries and record keeping offices.

2. Disposal of the wooden cabinets since they are prone to breakage, fire and habitation by insects.
5.6.2 Size of equipment

The findings of the study indicated that the equipment used in storage of the records was too small in size, most of which had broken down due to bulky files.

In view of the foregoing observations, this study recommends:

1. Immediate purchase of modern type of equipment.
2. The bulk of the files should be reduced to prevent breakage of equipment.

5.6. Security of records from destructive elements

The study established that the most threatening destructive element to the records was dust. Most of the records were stored on top of cabinets and tables where they accumulated a lot of dust.

It was also established that theft was experienced in some registries due to inadequate security measures.

The study concluded that lack of protection of
records against dust would lead to their destruction.

The following recommendations are made:

1. There should be security clearance at the door of the registries and record keeping offices for non-registry staff. They should also have lockable cabinets.

2. Regular dusting of records.

5.7 SPACE

The findings of the study indicated that the rooms used as registries and record keeping offices were small and congested.

It was further established that they could not accommodate both staff and equipment and this led to some staff sharing offices with others not involved in registry management.

In view of the above, this study recommends that:

1. Offices should be built for staff without offices to avoid sharing offices of staff not related to their work.
2. Plans should urgently be drawn for putting up a suitable and adequate building to serve as a registry. This will go a long way in overcoming accommodation problems experienced by these offices and registries, in future.

5.8 RETENTION AND DISPOSAL OF RECORDS

5.8.1 Existence of retention/disposal schedules

The registries and record keeping offices were found not to have any retention and disposal schedules.

It was established that the top management had not come up with any schedules so the personnel used their own discretion in destroying or disposing of records.

The study thus recommends that:

1. The top management should come up with retention and disposal schedules for the registries and office keeping records with immediate effect.

2. That the untrained staff who have no idea
on what these schedules are should be made aware of and educated on their use.

5.8.2 Transfer of records to Kenya National Archives (KNA) or a Records Centre (RC)

The study established that there has never been any transfer of records to KNA or a RC.

The records that had been transferred to the so-called "Archives" were not properly maintained.

The study concluded that there was a lack of seriousness on the part of the institution in disposing of inactive records.

It thus recommends:-

1. An immediate appraisal of the records by the chief archivist or any other qualified archivist.

2. Immediate transfer of vital records to KNA or a RC.

3. Disposal, with immediate affect, of inactive records.
4. Planning for a university RC.

5. Regular appraisal of records.

6. Involvement of top management in all aspects of RM in the institution.

7. A written institutional policy for RM in the institution.


9. A proper archives to be established within the institution.
BIBLIOGRAPHY


WAMUKOYA, J. M. Practical steps towards improving the state of records management in North Eastern Province. Paper presented at a 2 day seminar on records management for office superintendents, registry officers and other officers. Garissa, Nov. 4-5, 1987.


TO WHOM IT MAY CONCERN

Dear Sir/Madam,

I am a postgraduate student undertaking a research project for an M.Ed. (Library & Information Science) degree course at Kenyatta University. My research project is entitled:-

Factors contributing to inefficient records management in Kenyan Academic Institutions: a case study of Kenyatta University.

I have selected your department to participate in the research, thus I kindly request for your assistance in information gathering through the questionnaire and personal interviews.

The information so obtained will be treated with the highest level of confidentiality and will only be used for the purpose of the project.

I look forward to your cooperation and assistance.

Thank you in advance.

Yours faithfully,

ACQUINATTA MUSONYE
APPENDIX B

QUESTIONNAIRE

This questionnaire is aimed at eliciting information which will be useful in improving records management practices in academic institutions in Kenya. The information you supply will be treated confidentially. Feel free to give the answers you think most appropriate.

Thank you.

SENIOR RECORD MANAGERS AND JUNIOR CLERKS

Put a tick (✓) against the choice(s) or fill in the blanks where applicable.

1. Designation ____________________________

2. Name of Department ____________________________

3. Are you trained in Records Management?
   Yes ( )
   No ( )

4. Who set up the current filing system?
   Self ( )
   Boss ( )
   Someone else in the Department ( )
   Others (Explain) ____________________________
5. How are your departmental files organized?
   - By subject (  )
   - Numerical (  )
   - Alpha-numeric (  )
   - By colour (  )
   - Chronological (  )
   - Alphabetical (  )
   - Don't know (  )

6. Are your files shared by other department?
   - Yes (  )
   - No (  )

7. How do you monitor file movement? Explain


8. Do you have a manual that explains policies and procedures for filing?
   - Yes (  )
   - No (  )

9. Do you think a manual helps or could help in maintaining your files?
   - Yes (  )
   - No (  )
10. Overall, how would you rate your current filing system?

   Excellent ( )
   Very good ( )
   Good ( )
   Fair ( )
   Poor ( )

11. If poor, give reasons. __________________________________________

   __________________________________________
   __________________________________________

12. Is there an index to the files in your Department?

   Yes ( )
   No ( )

13. Are your files protected against:

   Theft Yes ( ) No ( )
   Fire ( ) ( )
   Dust ( ) ( )
   Water ( ) ( )
   Sunlight ( ) ( )
14. What security precautions have you taken? Explain

15. Are your current departmental files overcrowded?
   Yes ( )
   No ( )
   No, but will be soon ( )

16. How long does it take you to find a file?

17. What percentage of time do you spend on filing and file maintenance? ______

18. Please describe any problems you have with your current filing system?

19. Have you any suggestions for improving the filing system in your department?
20. Who determines when records should be transferred to other storage areas or destroyed?

- Self ( )
- Boss ( )
- Retention schedules ( )

21. Are records covered by a comprehensive records control schedule?

- Yes ( )
- No ( )

22. If Yes, do operating officials approve the provisions of the schedule and understand it?

- Yes ( )
- No ( )

23. Do records disposition instructions indicate which records should be transferred to a records centre and when?

- Yes ( )
- No ( )

24. Have you had your records retrieved and transferred to a records centre?

- Yes ( )
- No ( )

25. (a) If Yes, give date(s) ____________________
(b) If No, Explain why

26. Is the present equipment used for storage?
   Too large ( )
   Too small ( )
   Obsolete ( )

27. Can material be put in or removed from the equipment quickly?
   Yes ( )
   No ( )

28. Is the equipment properly designed to accomplish the purpose for which it is being used?
   Yes ( )
   No ( )

29. If No, Explain

30. Do you utilize automated tools to store and retrieve documents?
   Yes ( )
   No ( )
31. If Yes, please tick the one applicable
   Computer database ( )
   Microfische reader ( )
   Other (Explain) ________________

32. How is work assigned? ________________

33. Are the materials tools and equipment in proper positions?
   Yes ( )
   No ( )

34. If No, Describe how they are positioned

35. Is the working area properly laid out to produce the desired results with the least physical and mental effort?
   Yes ( )
   No ( )

36. If No, Explain why __________________________
37. Are conditions like ventilation, light and heat good?
   Yes ( )
   No ( )

38. Is the area noisy?
   Yes ( )
   No ( )

39. What safety measures have been taken to safeguard the security of records? Explain

______________________________________________________________________________

______________________________________________________________________________

______________________________________________________________________________

40. Who has access to records?
   Department staff only ( )
   Security clearance required for other members of staff ( )
   Any others ____________________________

______________________________________________________________________________

41. Do you feel that employees are provided with adequate orientation and training in records management policies and procedures
   Yes ( )
   No ( )
42. If No, Explain ____________________________

43. Please describe any problems you have with your current records management practices ________

44. Do you have any suggestion for improving the records management practices in your department?

Thank you for your participation.
APPENDIX C

QUESTIONNAIRE

This questionnaire is aimed at eliciting information which will be useful in improving records management practices in academic institutions in Kenya. The information you supply will be treated confidentially. Feel free to give the answers you think most appropriate. Thank you.

SECRETARY'S QUESTIONNAIRE

Put a tick (√) against the choice(s) or fill in the blanks where applicable.

1. Designation

2. Name of Department

3. Who set up your current filing system?
   Self ( )
   Boss ( )
   Someone else in your department ( )
   Other (Explain)

4. Are you familiar enough with your boss's filing system so that you could find a file in his absence?
   Yes ( )
   No ( )
5. Could your boss easily find a file in your absence?
   Yes ( )
   No ( )
   Don't know ( )

6. How are your department's files organised?
   By subject ( )
   Numerical ( )
   By colour ( )
   Chronological ( )
   Alphabetical ( )
   Alpha-numeric ( )
   Don't know ( )
   Other (Explain) ____________________________

7. Who decides where each document is filed?
   Self ( )
   Boss ( )

8. What percentage of your day do you spend on filing and files maintenance? _______%

9. How much time do you take to find a file? ____________________________
10. Are there times when the file cannot be found?
   Yes ( )
   No ( )

11. If Yes, give reasons ____________________________

12. Are your files shared by other departments?
   Yes ( )
   No ( )

13. Do you access files from other departments?
   Yes ( )
   No ( )

14. If Yes, do you find it difficult in retrieving these records?
   Yes ( )
   No ( )

15. Do you have a manual which explains policies and procedures for filing?
   Yes ( )
   No ( )
16. If No, do you think a manual would help in maintaining your files
   Yes ( )
   No ( )

17. Overall, how would you rate your current filing system?
   Excellent ( )
   Very good ( )
   Good ( )
   Fair ( )
   Poor ( )

18. Please describe briefly any problem(s) you have with the current filing system.____________________

19. Have you any suggestions for improving the current filing system in your department? __________

   Thank you for your participation.