

THE IMPACT OF RECORDS MANAGEMENT ON SERVICE DELIVERY IN
KENYA'S IMMIGRATION DEPARTMENT

JANE OYARO

C154/CTY/PT/23791/2011

A RESEARCH PROJECT SUBMITTED TO THE SCHOOL OF HUMANITIES AND
SOCIAL SCIENCES IN PARTIAL FULFILMENT OF THE REQUIREMENTS FOR
THE AWARD OF THE DEGREE OF EXECUTIVE MASTER OF PUBLIC POLICY
AND ADMINISTRATION OF KENYATTA UNIVERSITY

OCTOBER 2013

DECLARATION

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

Signature.....

Date.....

JANE OYARO

C154/CTY/PT/23791/2011

This research project has been submitted for the review with our approval as University supervisors.

Signature.....

Date.....

DR. FELIX KIRUTHU

Department of Public Policy and Administration

Kenyatta University

Signature.....

Date.....

MR. WELDON NG'ENO

Department of Public Policy and Administration

Kenyatta University

ABSTRACT

Management of records poses great challenges to many organizations and Government Ministries and Departments the world over. However, the efficient management of records has tremendous and great potential of making work easy, enhancing working relations, improving the corporate image as well as increasing productivity besides enhancing efficiency and effectiveness. Indeed, many organizations with the advent of Information and Communication Technology have gone hi-tech in records management which has not only enhanced their efficient production but has also reduced the labour costs albeit on the negative perspective. At the Department of Immigration in Kenya, the management of records has presented serious challenges as regards productivity yet the Government through the e-government project instituted the implementation of ICT - managed records keeping. Many documents necessary for public utility are now available online, many activities and services are being offered online and more so, files and documents are being tracked online either by the officer working on the file, the manager in charge of the processes as well as the client, for some non-sensitive documentation. The study sought to find out how records management affects service delivery in the perspective of accessibility, retrieval of information, the application of ICT, the accountability and transparency of the processes at the Department and as well as the quality of the services being rendered to the clients. The study employed a conceptual framework seeking to illustrate the relationship between the various variables in this study and records management at the Department of Immigration. The study targeted all the 413 staff at the Department's Headquarters but sampled 90 members of staff representing a 21.98 % using stratified random sampling. Primary data was collected using questionnaires while secondary data was collected from the libraries, journals, internet and data from the Department. Collected data were coded, checked for completeness and summarized in tables. Descriptive statistics was used to analyze the data with the help of the Statistical Package for Social Scientists (SPSS) and Microsoft Excel. Data is presented using frequency tables, percentages, bar graphs and pie charts.

LIST OF TABLES

Table 1: Target Population.....	24
Table 2: Sample Size	25
Table 3: Gender.....	28
Table 4: Age of Respondents	29
Table 5: Marital Status.....	29
Table 6: Experience	30
Table 7: Academic Qualification	31
Table 8: Employee Designation.....	31
Table 9: Current Rate.....	32
Table 10: Government Legislation	33
Table 11: Needs and Policies.....	34
Table 12: Leadership Style	35
Table 13: Information and Communication Technology.....	35
Table 14: Level of Training	36
Table 15: Access Increased.....	38
Table 16: Application of ICT.....	39
Table 17: Accountability.....	40
Table 18: Quality Enhanced.....	40
Table 19: Corporate Image	41
Table 20: Time Reduction	42
Table 21: Quick Response	43
Table 22: Employee Motivation	44
Table 23: Costs Reduction	44
Table 24: Corruption Reduction	45
Table 25: Teamwork.....	46

Table 26: Working Relations	47
Table 27: Good Relations	47
Table 28: Policy Awareness.....	48
Table 29: Training.....	50

LIST OF FIGURES

Figure 1: Relationship of State, Providers and Customers	15
Figure 2: Conceptual Framework	21

DEFINITIONS OF TERMS

Records: Information stored so that it can be retrieved at a later date in future. The information could be in electronic form or non-electronic such as in form of written or printed paper.

Public Record: This study adopts the definition given by Dearstyne (1988) to the effect that a public record as any kind of information received or created during the process of official government business. This includes correspondences, memos, ledgers, agenda, minutes, gazettes, regulations, policies, procedures and reports.

Records Management: This is the effective storage and retrieval mechanisms of information that then aids an organization in making decisions.

TABLE OF CONTENTS

DECLARATION	ii
ABSTRACT	iii
LIST OF TABLES	iv
LIST OF FIGURES	vi
DEFINITIONS OF TERMS	vii
TABLE OF CONTENTS.....	viii
CHAPTER ONE: INTRODUCTION	1
1.1 Background to the Study	1
1.2 Statement of the Problem	3
1.3 Research Questions	5
1.4 Objectives of the Study	5
1.5 Research Premises.....	6
1.6 Significance and Justification of the Study	6
1.7 Scope and Limitations.....	8
CHAPTER TWO: LITERATURE REVIEW & THEORETICAL FRAMEWORK 9	
2.1 Introduction.....	9
2.2 Concept of Records Management.....	9
2.3 Theoretical Framework.....	17
2.4 Conceptual Framework.....	21

CHAPTER THREE: RESEARCH METHODOLOGY	23
3.1 Introduction	23
3.2 Study Design	23
3.3 Target Population	24
3.4 Sample Design and Size	25
3.5 Data Collection and Instruments	26
3.6 Data Collection Procedure	26
3.7 Data Analysis	27
CHAPTER FOUR: DATA ANALYSIS AND INTERPRETATION.....	28
4.1 Introduction	28
4.2 Data Analysis	28
4.2.1 Personal Information	28
4.2.2 Factors affecting Records Management	32
4.2.3 Effects of Records Management.....	36
CHAPTER FIVE: SUMMARY OF FINDINGS, CONCLUSION AND RECOMMENDATIONS.....	51
5.1 Introduction	51
5.2 Summary of Findings	51
5.3 Conclusion.....	56
5.4 Recommendations	59
5.5 Suggestions for further research.....	62
REFERENCES	63

APPENDICES	65
Appendix 1: Letter to Respondent	65
Appendix 2: Questionnaire.....	66
Appendix 3: Time Plan	70
Appendix 4: Budget	71

CHAPTER ONE

INTRODUCTION

1.1 Background to the Study

Record keeping is a fundamental activity of public administration. Without records there can be no rule of law and no accountability. Public servants must have information to carry out their work, and records represent a particular and crucial source of information (Ngoepe, 2004). Records provide a reliable, legally verifiable source of evidence of decisions and actions. They document compliance or non-compliance with laws, rules, and procedures. Governments can no longer justify taking action with little or no reference to past performance or future goals. Nor can they justify parallel or duplicate services when they can combine services and reduce costs. Client service, quality performance of tasks, and measurable outcomes are increasingly important responsibilities, and these aspirations all depend on accessible and usable records.

Yet, in many countries around the world, record keeping systems are unable to cope with the growing mass of unmanaged records. This is particularly true in countries with limited financial or administrative resources or where records and archives managers lack training or professional development opportunities. Administrators find it ever more difficult to retrieve the information they need to formulate, implement, and monitor policy and to manage key personnel and financial resources. This situation impedes the capacity to carry out economic and administrative reform programs aimed at achieving efficiency, accountability, and enhanced services to citizens (Shephard, 2006)

Moreover, the decline, and in some cases total collapse, of record keeping systems makes it virtually impossible to determine. Every organization, private or public, ultimately aims to maximize profits, minimize losses and reduce risks. In the conduct of their businesses and in order to achieve these three aims, organizations more often than not depend on records for their operations. In many cases, records form the basis upon which opinion is developed and many forward looking organizations make reference to records as they make decisions. To this end, records have been part of organizational history and are perhaps as old as humanity is.

Van der Waldt et al (2002) are of the opinion that information is a useful resource to both private and governmental sectors and as such records have to be managed efficiently. A similar opinion is held by Dearstyne (1985) when he connects the administration of public affairs with proper management of records. If one can keep and retrieve documents efficiently, then he or she can aptly manage the affairs of the organization. Ngoepe (2004) is even more candid — for him, sound records is the foundation of any government since a government has to fulfill its obligation of accountability to its citizenry as well as ensure the protection of the rights bestowed upon citizens.

Another school of thought admits that organizations that uphold accountability are more likely to deliver their services (Shephard, 2006). The bottom line is that as information is shared and where proper records are kept, coupled with an effective and efficient retrieval system, service delivery is almost always guaranteed (Harries, 2009).

The Department of Immigration, as a public sector organization, serves to facilitate the entry, stay, residency and exit of both Kenyans and foreign nationals. In doing this, the organization is central in actualizing the fundamental human rights such as that of association and movement. In the course of its functions, the Department of Immigration handles a considerable number of records ranging close to two million in terms of the files available in the Registry. In the processing of the various documents issued in the Department, a number of public records are generated, stored in the various forms for future reference. Such records range from administrative instructions, declarations on nationality and the attendant allegiances paid to the country; records on parentage which is crucial in the determination of nationality (GoK, 2005).

The Immigration Department is a security arm of the Government as well as a service provider, charged with the responsibility of controlling entry and exit of persons seeking to live temporarily or permanently in Kenya. In discharging its functions under the Medium Term Plan (MTP) and Vision 2030 framework of “security of all persons and property throughout the Republic”, the department contributes towards security, national development and poverty reduction. In light of this, it was important to conduct a study to examine how records management in the Department of Immigration has impacted service delivery.

1.2 Statement of the Problem

KACC (2006) and the Public Reform and Development Secretariat (GoK, 2005) reports indicates that corruption and discretionary powers contribute to the poor delivery of

services in Government Departments. The loss of control of records has consequences for all citizens, especially for the poorest who are least able to defend themselves. Relevant and accurate public records are essential to preserving the rule of law and demonstrating fair, equal, and consistent treatment of citizens. All citizens are entitled to access to records and information yet in most cases, they do not get them or if they do, it takes a long time because of inadequate information systems, lack of appropriate use of technology as well as challenges to do with the human resources establishment and functions. All aspects of public service, including health, education, pensions, land, and judicial rights, depend upon well-kept and well-managed records. Records are vital to virtually every aspect of the governance process. The effectiveness and efficiency of the public service across the range of Government functions depends upon the availability of and access to information held in records. Records when well managed enhances storage, access and retrieval, while at the same time mitigates the dangers of damage, loss, theft, traffic delay leading to missing targets among others should be clear (GoK, 2012).

Badly managed records adversely affect the broad scope of public service reforms, and development projects are often difficult to implement and sustain effectively in the absence of well managed records. (<http://www.irmt.org> on 19th March, 2013)

The Anti – Corruption Agency, KACC, (2006) conducted an audit of the Immigration Department’s systems, policies, procedures and practices and highlighted that the employees charged with records management, at the time, had no formal training in the field. Most of the records systems in the Department are manual compounded by the

recent decision to decentralize the operations of the Department in other parts of the country. To this end, corroborating the public records created in the satellite stations has continued to trouble the strategic thinking in the Department. The study sought to investigate the impact of records management reforms on the delivery of services at the Department of Immigration of Kenya since 2006.

1.3 Research Questions

The study sought to answer the following questions:

1. To what extent does records management impact on the transparency and accountability of the Immigration department
2. How has the application of Information and Communication Technology (ICT) impacted on records management at the Immigration department?
3. What are the challenges experienced by the Immigration department in effecting reforms?

1.4 Objectives of the Study

This study sought to investigate the impact of reforms in records management on service delivery in the Department of Immigration. However, the study specifically endeavored to:

1. Determine the extent to which records management impacts on the transparency and accountability of the Immigration department.

2. Examine the impact of application of Information and Communication Technology (ICT) on records management at the Immigration department
3. Examine the challenges experienced in effecting reforms at the Immigration department.

1.5 Research Premises

The study was founded on the following premise

1. Records management impacts positively in the enhancement of transparency and accountability of the Immigration department.
2. The introduction of Information and Communication Technology has contributed to the improvement of records management at the Immigration Department.
3. Reforms at the Department of Immigration are undermined by inadequate capacity of the human resources.

1.6 Significance and Justification of the Study

Literature is robust with attempts in safeguarding records for the sake of it (Kennedy and Schander, 1998). Indeed many scholars look at the management of records within its format of ensuring that records are kept and retrieved when needed. Indeed few link this with the decision making process. Significantly, records management has been tied up with transparency and accountability. Today most organizations, and in our case public organization have adopted a strategy to ensure that they deliver services to those who

require them. Identifying that one of the factors in the chain to service delivery is records management is has been in the slow lane.

Linking delayed services to the poor management of records has been relatively explored although no research results have been attributed to this problem in the context of public service. This study set out to investigate the effect of records management to effective service delivery in the Department of Immigration.

In conducting this study, the research findings would be of benefit to the policy makers in the public sector who are tasked with the formulation of polices. Having grasped the essentials of records management in service delivery, the policy makers would issue policies that are relevant to the efficient and effective way of relating the two variables.

Further, the study findings would go a long way in appraising the current academic state of affairs. The proposed theoretical model and indeed the conceptual framework would be evaluated in the face of the study findings. The body of literature so generated will form a basis for further evaluation and research.

The Department of Immigration would also benefit particularly so if the recommendations, based on study findings, to be adduced in this study are considered. This will serve to motivate the employees in the Department of Immigration and thus help the Department achieve its set objectives.

This study will be of benefit to the researcher in that it will build her research skills and will give her an opportunity to practically apply the many theoretical aspects of research that she has had in her research classes.

1.7 Scope and Limitations

Immigration services are categorized in terms of the end product that clients receive. The department gives the following documents; Passports; Permits; Passes; Visas; Permanent Residency and Citizenship Certificates. Other services range from facilitating entry and exit of passengers to the enforcement of the Act which includes the arrest, prosecution and removals of the various immigration offenders. The mark of service delivery is based on the timelines that are set. Some services have been included in the Service Charter and will form the basis of this study's operations. The study will however concentrate at the management of passports records within the Department.

The study was faced a number of limitations including financial constraints in the course of executing the research. To overcome this, the researcher utilized the available resources and the researcher was strictly guided by the budget.

CHAPTER TWO

LITERATURE REVIEW AND THEORETICAL FRAMEWORK

2.1 Introduction

In the literature review the study looked into the management of records; how it has been performed over the time at the Department of Immigration, the effects that it has had on the transparency and accountability of the Department, the effects on the quality of service rendered to the clients of the department, the relationship between records management and the efficiency of information search and retrieval as well as to whether Information and Communication Technology (ICT) have a role in the management of records at the Department. The chapter also sought to identify the existing gaps and to develop a systematic way which can be used to study the underlying factors through an in depth study which would yield valuable recommendations.

2.2 Concept of Records Management

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

managed e-records with no capturing errors can simply be searched on the e-records management system. This can be done by punching the reference number, subject, keyword or any other options of the record required as programmed and created by the system, on the keyboard and then accessing the e-document on the screen.

For example, when the doctor is treating a follow-up patient s/he will need medical records to check the medical history of the patient before commencing with the follow-up treatment or any new consultation. In order to save time, the doctor must have quick access to the records to avoid long patient waiting times for the health services. This can only be possible if the records are properly managed in the hospital. Thurston (2005) states that ineffective records management leads to files being piled in different offices and corridors, as a result of dumping difficult personnel to the records management unit and lack of continuous training, lack of policies and procedures and standards. Ngoepe (2004) stressed that good record keeping saves time since there is no hassle when searching for information. Records alteration and access are easily traced through an audit trail and records are easily disposed off as per relevant legislative framework, such as National Archives Act and Provincial Archives. With the knowledge of these studies, the current study therefore seeks to find out how the reforms in the management of records have impacted on the delivery of services within the Immigration Department.

Transparency has become a widespread principle for governance and accountability. It refers to the availability of information to the public and openness about an organizations management, rules, regulations and decisions. But any disclosure of information is only

as good as the quality of the records to which it provides access or on which the reports are based. There is a wide consensus among information professionals that the principles and practices of records and information management support companies in complying with financial disclosure regulations and management of other records. The study therefore discusses the idea of transparency as a route to building trust and better accountability in management of records, before going on to explore how records and information management can render ESG reporting more credible, reliable and measurable.

Gertholtz, van Heerden and Vine (2007), in their study, underscored that EMRs make records management even better since it enables a quicker and cheaper clinical documents compilation, patient summaries formulation, information retrieval and diverse clinical information audits. Bhana (2008), on the other hand, states that record keeping is an enabler since, without it, things like auditing and financial management will not be possible. Bhana (2008) further argues that records can be used to support business activities, decision-making and accountability and consequently proper records management assists the organization in preserving well – organized records in their business. This is due to the fact that well-organised records enable an organisation to find the right information easily and comprehensively; enable the organisation to perform its functions successfully and efficiently and in an accountable manner; support the business, legal and accountability requirements of the organisation; ensure the conduct of business in an orderly, efficient and accountable manner; ensure the consistent delivery of services; provide continuity in service delivery when staff leave; support and document

policy formation and administrative decision-making; provide continuity in the event of a disaster; protect the interests of the organisation and the rights of employees, clients and present and future stakeholders; support and document the organisation's activities, development and achievements; provide evidence of business in the context of cultural activity and contribute to the cultural identity and collective memory of the nation (National Archives and Records Service of South Africa 2007).

Government accountability is an initiative that needs to be supported by an availability of reliable and accessible information. It is with proper, effective and efficient records management in the public sector that the government body is able to properly account as informed by available and accessible records. This is because if records are properly managed, accessibility also becomes easy and on time for the accounting officer to prepare and be ready to account (Thurston, 2005 and Bhana, 2008). For example, the head of the health institution can use medical records to account to the citizen about a complaint in a certain health service that would have been allegedly rendered improperly. S/he can also use medical records in accounting to the provincial Department of Health, and the provincial department can also account to the national Department of Health as their superiors. In hospitals, cases relating to maternal death, operations, child delivery (like assisted delivery and caesareans) and still birth usually raise a worrying concern in the citizens when the patient is not fine. So the hospital needs to convince them in order to satisfy citizens as to what steps were taken in diagnosing, prescribing and treating these patients.

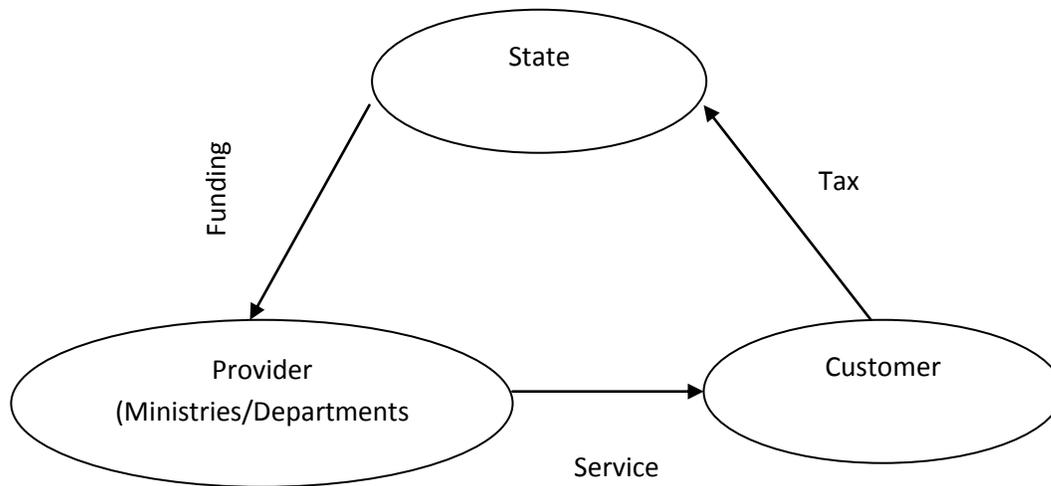
Public services are often distinguished by an absolute, or at least comparative, lack of competition in the normal market sense of seeking to entice customers away from their competitors or rival service providers in addition to their primarily non commercial character. Indeed, public services are often monopolistic or oligopolistic. As a result, many of the basic features of a commercial marketplace are quite simply absent from the delivery of public services. In addition, given the regulatory role often performed by public services such as tax collection and law enforcement, not only are public services often monopolistic or oligopolistic in character, but they can also be mandatory (Murphy, 1997a)

In the public services, different guiding principles, such as equitable treatment and the allocation of resources according to need, pervade the processes of decision making, management and provision. As a result, financial subventions may be given to the service providers (like in transport) to ensure that such services are maintained, albeit at a reduced level, outside peak times and in less densely populated rural areas. Murphy (1997a) captures this issue extremely well wants to stress that the principles of fairness and equity are most important when we come to examine the concept of quality in public administration. Of course efficiency and cost effectiveness are key elements, but unlike his/her counterpart in the private sector, the public service customer or client seldom has the choice of an alternative competitive supplier. Equality of treatment is, therefore, very important and should not be lost sight of when efficiency measures, including, for example, contracting out of public services are being implemented

Fairness and equity are not normally indicative of the private sector. Within a commercial, market led context, private sector companies would not normally be obliged, because of their primary obligations to provide financial returns to their shareholders, to maintain nonviable services to geographically or financially disadvantaged groups.

Within the public service system, a different culture also prevails internally. This can place demands upon the management of public service delivery systems which are not characteristic of the private sector. For example, public service managers often have to balance the needs of the general public as users, with accountability to their elected representatives. In addition, the demands of the mass media acting in the 'public interest' have to be managed. All these factors operate within an entirely different financial framework, and often industrial relations climate, from that which prevails in the private sector. Compared with their private sector equivalents, another key aspect of the organisational climate within which the public service operates has been described by Murray (1990) in the following manner, 'I remain convinced that in assessing the confidence rating of the civil service, account must be taken of the political culture in which it operates. Most commentators agree that the dominating feature of that culture in Ireland is clientalism' Public and private bodies also differ significantly in their service relationships with external customers (O'Shea, 1992). Within the market oriented private sector, the relationship between service provider and customer is normally direct and comparatively straightforward as shown in figure 1 below.

Figure : Relationship of State, Providers and Customers



Source: Murray (1990)

If the service on offer to the customer meets an actual or perceived need, at a competitive price, it will normally be demanded and sold. In such conditions, customer satisfaction should find expression through the level of sales as supply seeks to meet that demand.

The comparative freedom of consumers to choose between competing service providers, to select on the basis of price and/or quality, as well as to express satisfaction (or otherwise) with the service provided, means that customer needs are paramount in services provided by the private sector. With regard to the provision of public services, the provider customer relationship is often more complex and indirect.

Payment is not normally made directly for the service received and so customer control is weakened. Customer choice is very limited when provision is monopolistic. From the providers' viewpoint, ability to pay is often not a key determinant of demand and accordingly market

According to Dearstyne (1988), information and records management is often vaguely associated with filing. It is recognized that it represents an unglamorous and time-consuming activity. Because of this, many organizations are guilty of delaying the implementation of tactics to control records. Moreover, there is an air of the invisible to records: for the most part, problems are evident only to those staff members who work closely with them, and the depth and seriousness of shortcomings is often concealed, even from management level staff members who may participate in the management of records in a limited way. However, organizations only achieve seamless standards of work when there are comprehensive information and records management systems in place. Information and records management systems are often considered luxury items to be installed only when more urgent work has been completed. To delay implementation until other work has been completed would be to never put information and records management systems in place.

In line with the quest to have a reformed civil service for efficient public service, the government in 2003, came up with a strategy paper titled *Economic Recovery Strategy for Wealth and Employment Creation* which gave inter alia, a roadmap to civil service reforms. Specifically, an ICT policy for the Service was given priority such that e-government would be espoused to ensure coordinated activities; resources were to be utilized on core function; staff were to be appraised on their performances; carry out a benchmarking exercise to identify limited government costs in service delivery; and ensuring that service delivery was given out in an efficient, transparent and accountable

way (GoK, 2003). This strategy paper thus enabled agencies to have their service delivery checked out and measured within given timelines.

To effect the proposed changes, MDAs came up with Service Charters specifying the various services given by the organizations and the specific time taken to deliver these services. For immigration services, the process of application, and renewal of documents is hinged on the management of records in that each service seeker is apportioned a file before the processing of the document that they are seeking. For repeat clients, their file is retrieved and the processing of the new document is activated

2.3 Theoretical Framework

Formal development of adaptive management as an approach for natural resources management can be traced back to the 1970s and to research conducted at the International Institute for Systems Analysis (IIASA) in Laxenburg, Austria (Holling, 1978). As mentioned in the previous chapter, adaptive management draws from concepts within many different disciplines. Part of adaptive management's philosophical foundations, for example, lie within the field of industrial operations theory (Johnson, 1999; see also Everett and Ebert, 1986). Although Holling's seminal 1978 volume emphasizes ecosystem dynamics, it includes references to macroeconomics (Hafele and Burk, 1976), decision theory (Keeney, 1977), organizational behavior (Cyert and March, 1963), and policy analysis (Brewer, 1975). Thus, even in its articulation by ecological scientists in the late 1970s, adaptive management possessed strong interdisciplinary roots. Adaptive management seeks insights into the behavior of ecosystems that are utilized by

humans, and it draws upon theories from ecosystem sciences, economics and social sciences, engineering, and other disciplines. Adaptive management incorporates and integrates concepts such as social learning, operations research, economic values, and political differences with ecosystem monitoring, models, and science. Applications of adaptive management principles within the Corps of Engineers to date have focused on aquatic and hydrologic systems. Although this report encourages the Corps to consider ways in which adaptive management principles could be applied in other parts of its work program, as applications within the agency to date have focused on ecosystem restoration, these experiences are emphasized within this report.

Adaptive management does not postpone actions until “enough” is known about a managed ecosystem (Lee, 1999), but rather is designed to support action in the face of the limitations of scientific knowledge and the complexities and stochastic behavior of large ecosystems (Holling, 1978). Adaptive management aims to enhance scientific knowledge and thereby reduce uncertainties. Such uncertainties may stem from natural variability and stochastic behavior of ecosystems and the interpretation of incomplete data (Parma et al., 1998; Regan et al., 2002), as well as social and economic changes and events (e.g., demographic shifts, changes in prices and consumer demands) that affect natural resources systems. Adaptive management aims to create policies that can help organizations, managers, and other stakeholders respond to, and even take advantage of, unanticipated events (Walters, 1986). Instead of seeking precise predictions of future conditions, adaptive management recognizes the uncertainties associated with forecasting future outcomes, and calls for consideration of a range of possible future outcomes

(Walters, 1986). Management policies are designed to be flexible and are subject to adjustment in an iterative, social learning process (Lee, 1999).

Adaptive management is intended to increase the ability to fashion timely responses in the face of new information and in a setting of varied stakeholder objectives and preferences. It encourages stakeholders to bound disputes and discusses them in an orderly fashion while environmental uncertainties are being investigated and better understood. Management decisions are often difficult to change because managers are subject to ordinary human failings, including a tendency to resist recognizing and learning from their own errors. In a bureaucracy, this tendency may be amplified. Adaptive management can help reduce decision-making gridlock by making it clear that decisions are provisional, that there is often no “right” or “wrong” management decision, and that modifications are expected. Adaptive management should help stakeholders, managers, and elected officials and other decision makers recognize the limits of knowledge and the need to act on imperfect information.

Some of the disappointments with past efforts in implementing adaptive management can be traced to confusion surrounding definitions. There are many dimensions of adaptive management, and the ambiguities inherent in adaptive management can result in policymakers, managers, and stakeholders developing unique definitions and expectations. The term is complex and multidisciplinary, and participants in adaptive management programs should strive to become familiar with the broad literature on the topic. It should also be recognized that adaptive management is an evolving theory and

practice and that experiences to date are limited (Lee, 1999). The richness and potential of the concept, however, have drawn a great deal of attention, and its prospects for redressing complex public policy problems have generated a great deal of interest. Complex natural resources management problems, including many of those in which the Corps of Engineers is involved, defy simple solutions, and some of the case studies examined in this report may require an approach like adaptive management to reach agreeable, long-term solutions.

Various studies as reviewed have done great work on the role of records management in the delivery of services and especially in the libraries. Management of records proves to be a task to many organizations courtesy of the near-nil or little attention it is accorded yet the impact it has on the delivery of services is enormous. It places organizations in a position in the corporate world when comparison is done in form of ease of records retrieval, transparency, accountability and authenticity of records within these organizations. It does therefore enhance or inhibits the corporate image that an organization can actually possess or obtain from the public court.

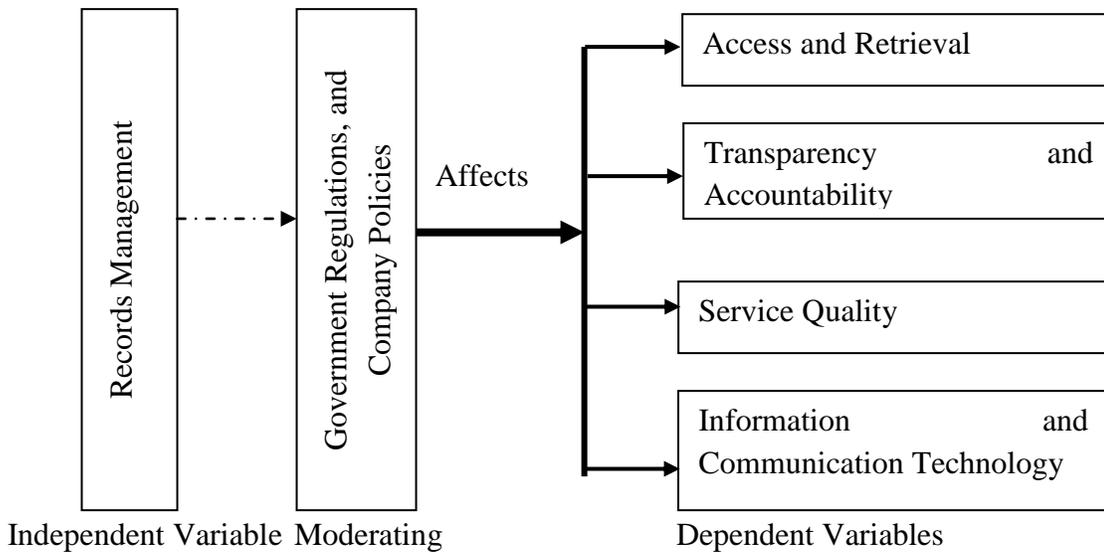
The adoption of the latest techniques in data management has also been cited as a fundamental aspect in management of records. The systems put in place plays a vital role in the context of organizational efficiency and effectiveness in dealing with internal matters and clients as well as the external customers and stakeholders. However, in t his review, the researchers have not related effectively the management of records to the delivery of services at Government departments. Indeed the gap that exists in this is the

fact that the studies have not been conducted at the Department of Immigration in Kenya.

This is the fundamental concept under which this study is conducted

2.4 Conceptual Framework

Figure : Conceptual Framework



Source: Researcher (2013)

The study adopted a conceptual framework based on the effects of records management on the various aspects defining the service delivery at the Immigration Department. The study undertook to find out the role records management in perspective of access and retrieval and the ultimate effect that it has on the delivery of services at the Ministry. The efficiency as which the information and records in general are accessed and retrieved from files would define the delivery of services at the Department while as the transparency and accountability of the said records at the Department would also help in

defining the efficiency of the delivery of services. The study too sought to understand how records management affects the quality of services offered at the Ministry since when the records can be easily accessed and the process thereof is transparent, it would help in enhancing the quality of service being offered. The time taken for a given service to be offered, the nature of customer service or care, the courtesy of the staff offering the service would all define the quality of the service being offered.

The application of the appropriate ICT services and facilities in offering the services also would help in enhancing service delivery at the Department. Indeed, the customers and the staff alike would very much appreciate the use of efficient technologies in retrieving files, managing the processing of passports and the management of all other services including tracking of files, documents and accounting for files and all other services. Thus this study sought to find the interrelationship between these factors defining delivery of services and the management of records within the Department but under the framework of legislations by Government and the policies managing the dispensation of services at the Department and the Ministry at large.

CHAPTER THREE

RESEARCH METHODOLOGY

3.1 Introduction

This chapter presents the methodology that was used in the study under the following headings: the study design, the target population, the sample and sampling procedures, the data collection instruments, data collection procedure, the data analysis procedures and the techniques used to present the data.

3.2 Study Design

The study adopted a descriptive research design that involved field visit to the department at the headquarters. Onyango (2001) observes that a descriptive research secures evidence concerning all existing situations or current conditions in a study, among other purposes. Applied to this study, data was collected from respondents for the purpose of conducting a study of the effects of records management on the delivery service at the Department of Immigration.

Descriptive survey research makes it possible to gather statistical information about aspects of education that interest policy makers and educators (Borg and Gall, 1989 cited in Orodho, 2005), and by involving abroad category of stakeholders, the proposed study fits within the cross-sectional sub-types of descriptive survey study types (Ibid). It combined both qualitative and quantitative approaches considered appropriate.

This borrowed from Obonyo, (1974), who asserts that no single method is ever adequate in investigating a problem with rival causal factors. He adds that this combination also

allows flexibility while examining multiple factors. The quantitative strategy enabled the researcher to collect data in the actual context in which the phenomenon occurs. It has the advantage of getting responses to the same question from a large number of respondents, which can be quantified, and conclusions drawn (Bell, 1993). Qualitative data was analysed using inferential statistics so as to obtain generalizations and conclusions from the responses of the respondents.

3.3 Target Population

The study targeted all the employees of the Department based at the headquarters at Nyayo house totaling to 413 spread out in four major sections. These sections are crucial in ensuring that departmental records are kept well. The specific focus on the headquarters is based on the fact that, it is the main hub of records management including storage, processing, analysis and even dissemination. Any data at the border points and branches of the Department are also available at the head office at real-time.

Table : Target Population

Department	Frequency	Percentage
Administration	53	12.8%
Human Resources	25	6.05%
Accounts and Finance	48	11.6%
Operations and Passport	287	69.49%
Total	413	100%

(HR Records, Department of Immigration, 2013)

3.4 Sample Design and Size

The employees were sampled by use of stratified random sampling. This was done so as to overcome the problem of skewed sampling where employees from some departments are not involved while some of specific departments are over represented (Mugenda and Mugenda, 2003). However, the study also used purposive sampling in some specific departments that manages records for Immigration since they would be the key informants for the study. Thus the researcher employed a mix of the sampling designs to obtain the entire sample. The study's 90 respondents was sampled as indicated in table 2 below:

Table : Sample Size

Department	Frequency	Sample Ratio	Sample Size
Administration	53	0.25	13
Human Resources	25	0.3	8
Accounts and Finance	48	0.25	12
Operations and Passport	287	0.2	57
Total	413	21.89%	90

(HR Records, Department of Immigration, 2013)

From the sections selected purposively, the sample was drawn using simple random sampling.

3.5 Data Collection and Instruments

Data collection was done using both the primary and secondary data. Primary data was critical because of their nearness to truth, and that a lot of new information can be obtained. This was collected by use of the questionnaire which was developed to achieve the set objectives of the study. Secondary data was obtained from libraries, journals, records in the Ministry of Immigration and other information available in libraries and internet. The data enabled the researcher to verify some of the information obtained using the primary source. They form the background information from where the study was based on. The questionnaire was developed in such a way that the respondents was probing so that it could provide a lot of information regarding the effects of records management in the delivery of service at the Department of Immigration. It made use of open and close ended questions to ensure that information was captured aptly.

3.6 Data Collection Procedure

Once permission to conduct research was granted by the relevant authorities, the data collection procedure followed. The researcher administered the questionnaire to individual respondents. The respondents were briefed on the purpose of the study and the procedure for conducting the exercise.

The exercise was arranged in such a manner as to have minimal interference with the services of the various individuals in their desks and offices. This boosted the respondents' availability and cooperation in the exercise. Questionnaires were distributed to the individual respondents and collected after one week.

3.7 Data Analysis

The collected data was coded, tabulated and summarized into frequency tables. Descriptive statistics were used majorly to analyse the data by obtaining measures of central tendency (mean, mode, median) as well as the measures of dispersion specifically the standard deviation and the variance. Descriptive statistics made it possible to consolidate large amounts of data and enable the researcher to make deductions. Inferential statistics and triangulation was used for qualitative data that had been collected. The data was also analysed with the help of the Statistical Package for Social Sciences (SPSS) and for comparisons on the relation between the independent variables and service delivery at the Department. The data was then presented using frequency tables, percentages, and graphical presentations including pie charts and bar graphs.

CHAPTER FOUR

DATA ANALYSIS AND INTERPRETATION

4.1 Introduction

The Chapter provides an analysis of the data that was collected from the field; it also does an analysis of the effects of records management on service delivery at the Immigration Department, as well as the analysis of the factors that the management of records is challenged from. The study sought to find out how records management affects transparency and accountability in the department of immigration, how the application of ICT has affected records management and finally to examine the challenges that the Department has faced in the management of records.

4.2 Data Analysis

4.2.1 Personal Information

The respondents were asked to indicate their gender to which it turned out that the majority were male at (59.4%) while the remainder 40.6% were female.

Table : Gender

	Frequency	Percent	Valid Percent	Cumulative Percent
Male	38	59.4	59.4	59.4
Female	26	40.6	40.6	100.0
Total	64	100.0	100.0	

In terms of the age brackets, the majority (30) representing 46.9% said they were aged between 36 and 45 years while another 22 respondents (34.4%) were aged between 26 and 35 years. only 1 of the respondents said that he was aged above 55 years while the remainder (11) were aged between 46 and 55 years. this is an indication that the majority of the respondents were relatively a younger lot.

Table : Age of Respondents

	Frequency	Percent	Valid Percent	Cumulative Percent
26-35 years	22	34.4	34.4	34.4
36-45 years	30	46.9	46.9	81.3
46-55 years	11	17.2	17.2	98.4
Above 55 years	1	1.6	1.6	100.0
Total	64	100.0	100.0	

In terms of their marital status, nearly all the respondents, 58, representing 90.6% of all the respondents said they were married while the remaining 6 (9.4%) said that they were single.

Table : Marital Status

	Frequency	Percent	Valid Percent	Cumulative Percent
Married	58	90.6	90.6	90.6
Single	6	9.4	9.4	100.0
Total	64	100.0	100.0	

When asked about their length of stay at the Department of Immigration, 50% of them (32) said that they had worked in the Department for between 6 and 10 years while another 19 of them said that they have been in the Department for a period of less than 5 years. Ten (10) other respondents representing 15.6% said that they had been at the Department for over 16 years. Only 2 respondents (3.1) said that they had been at the Department for between 11 and 15 years.

Table : Experience

	Frequency	Percent	Valid Percent	Cumulative Percent
Less than 5 Years	19	29.7	30.2	30.2
6-10 years	32	50.0	50.8	81.0
11-15 years	2	3.1	3.2	84.1
Over 16 years	10	15.6	15.9	100.0
No response	1	1.6	100.0	
Total	64	100.0		

On the academic qualifications, the respondents were asked about their highest academic qualifications to which the majority (30) representing 46.9% indicated that they had a bachelors degree while another 42.2% of the respondents (27) said they had other qualifications including post graduate Diplomas, Masters among others as their highest academic qualifications. Another 2 said that they had Advanced Level (Form Six) as their highest while 5 respondents (7.8%) said that they had secondary qualifications as their highest.

Table : Academic Qualification

	Frequency	Percent	Valid Percent	Cumulative Percent
Secondary	5	7.8	7.8	7.8
Form Six	2	3.1	3.1	10.9
Bachelors	30	46.9	46.9	57.8
Others	27	42.2	42.2	100.0
Total	64	100.0	100.0	

The study also wanted to know the designation of the respondents. Majority of the respondents (41) representing 64.1% said that they were in the middle level of management while another 19 of them said they were in the lower level of management. Two (2) of them said they were subordinates while only 1 of the respondents was at the top level management. This is clear that the Department has more middle level managers more that the lower level managers. It also shows that the top level managers are few confirming the management structure in the civil service the higher up the ladder the fewer the managers.

Table : Employee Designation

	Frequency	Percent	Valid Percent	Cumulative Percent
Top Management	1	1.6	1.6	1.6
Middle Management	41	64.1	65.1	66.7
Lower Management	19	29.7	30.2	96.8
Subordinate	2	3.1	3.2	100.0
No response	1	1.6	100.0	
Total	64	100.0		

When asked about the rate at which they considered the current records management at the Department, majority of the respondents (50%) indicated that it was good while another 23 (35.9%) said that the records management was just fair. Three of the respondents rated it excellent while 4 rated it poor. The remainder of the respondents (2) said that they did not know how records management rated at the Department.

4.2.2 Factors affecting Records Management

Table : Current Rate

	Frequency	Percent	Valid Percent	Cumulative Percent
Excellent	3	4.7	4.7	4.7
Good	32	50.0	50.0	54.7
Don't Know	2	3.1	3.1	57.8
Fair	23	35.9	35.9	93.8
Poor	4	6.3	6.3	100.0
Total	64	100.0	100.0	

When asked to explain their response above, some said that there was a defined order and system that would help in knowing exactly where the file was located, while others who rated it poor, said that tracing files a times is so tedious and a challenge and others said there was little knowledge on procedures and policies as regards records management. Others also indicated inadequate facilities and infrastructure for records management. Some also mentioned the lack of career progression for lower cadre staff as well as lack of attention of training for the lower cadre staff.

Respondents, representing the entire workforce at the Department, were also asked about the effect of Government legislation on records management to which the majority (23) representing 35.9% agreed while another 17 (26.6%) strongly agreed that the legislation affected records management. Nine (9) of them said they did not know, 7 (10.9%) disagreed while the remaining 5 (7.8%) said that they strongly disagreed. These results indicate a concurrence to Ngoepe (2004) who said that public servants must have information to carry out their work, and records represent a particular and crucial source of information and that records provide a reliable, legally verifiable source of evidence of decisions and actions. They document compliance or non-compliance with laws, rules, and procedures. Governments can no longer justify taking action with little or no reference to past performance or future goals

Table : Government Legislation

	Frequency	Percent	Valid Percent	Cumulative Percent
Strongly Agree	17	26.6	27.9	27.9
Agree	23	35.9	37.7	65.6
Don't Know	9	14.1	14.8	80.3
Disagree	7	10.9	11.5	91.8
Strongly Disagree	5	7.8	8.2	100.0
No response	3	4.7	100.0	
Total	64	100.0		

When asked whether the needs and the policies of the department affected the way records are managed, 42.2% of the respondents agreed while another 35.9% strongly

agreed. Another 12.5% said they did not know whether it affected but 3.1% and 1.6% disagreed and strongly disagreed that the management of records is affected by the needs and policies of the Department. Van der Waldt et al (2002) and Dearstynne (1985) were of the opinion that information is a useful resource to both private and governmental sectors and as such records have to be managed efficiently. They also connect the administration of public affairs with proper management of records arguing that there is need for proper standard policies for the management of records to enhance efficiency.

Table : Needs and Policies

	Frequency	Percent	Valid Percent	Cumulative Percent
Strongly Agree	23	35.9	37.7	37.7
Agree	27	42.2	44.3	82.0
Don't Know	8	12.5	13.1	95.1
Disagree	2	3.1	3.3	98.4
Strongly Disagree	1	1.6	1.6	100.0
No response	3	4.7	100.0	
Total	64	100.0		

On the effect of leadership style at the Department on records management, 27 respondents (42.2%), agreed that there was an effect while another 19 (29.7%), strongly agreed. only 10 respondents said that they did not know of there was an effect, 5 disagreed while the remainder 2 respondents strongly disagreed with this. this is an implication that really, how leaders lead, affect the management of records.

Table : Leadership Style

	Frequency	Percent	Valid Percent	Cumulative Percent
Strongly Agree	19	29.7	30.2	30.2
Agree	27	42.2	42.9	73.0
Don't Know	10	15.6	15.9	88.9
Disagree	5	7.8	7.9	96.8
Strongly Disagree	2	3.1	3.2	100.0
No response	1	1.6	100.0	
Total	64	100.0		

Twenty four (24) respondents strongly agreed that records management at the Department was affected by the application of Information and Communication Technology (ICT) while 21 of them representing 32.8% agreed to it. However, 6 respondents said they did not know if the ICT affected records management while another 5 of them disagreed and a further 3 strongly disagreed.

Table : Information and Communication Technology

	Frequency	Percent	Valid Percent	Cumulative Percent
Strongly Agree	24	37.5	40.7	40.7
Agree	21	32.8	35.6	76.3
Don't Know	6	9.4	10.2	86.4
Disagree	5	7.8	8.5	94.9
Strongly Disagree	3	4.7	5.1	100.0
No response	5	7.8	100.0	
Total	64	100.0		

On whether the level of training of the officers handling records at the Department affected the management of the records, 37.5% of them strongly agreed with that while another 26.6% said that they agreed. Eleven (11) respondents said that they did not know if the level of training affected the management of records while 6 of them disagreed that the level of training affected while the remaining 2 respondents strongly disagreed with this. Thurston (2005) confirms that ineffective records management comes as a result of dumping difficult personnel to the records management unit and lack of continuous training as well as lack of policies and procedures and standards to govern the management of records.

Table : Level of Training

	Frequency	Percent	Valid Percent	Cumulative Percent
Strongly Agree	24	37.5	40.0	40.0
Agree	17	26.6	28.3	68.3
Don't Know	11	17.2	18.3	86.7
Disagree	6	9.4	10.0	96.7
Strongly Disagree	2	3.1	3.3	100.0
No response	4	6.3	100.0	
Total	64	100.0		

4.2.3 Effects of Records Management

The study also sought information from the in charge of records as regards management of records. The study also interviewed a records officer at the Nyayo House who said that from the existence of immigration in pre-colonial Kenya, records were stored manually in form of index cards and files. Before 2003 there was no electronic backup of records.

From the year 2003 the microfilming system was introduced and was officially launched by Mr Henry Ole Ndiema the principal immigration officer. In microfilming records were stored in microchips and the idea was to have record back up in electronic form and also to have offsite back up at least 50 kilometers away from the main record storage site.

In the year 2005 PJ electronic cards replaced the microfilming form of storage which was launched by the officer in charge of records in may 2005. The electronic cards were replaced by record scanning in 2007 as a method of processing and storage of information. This is the method that is currently in use where by all information is gathered at the point of application and scanned upto the point of issuance or conclusion. This method of electronic storage is superior to the previous manual method because data is collected and stored electronically as backup in real time while processing is on going.

According to one key informant the records officer interviewed, there are over 1.8 million individual files and over 20 officers have undergone records management training in the last 3 years. There are inter-agency consultations and workshops with the aim of improving records management as a means of surmounting records management challenges.

The study sought to find out the effect that the records management had on various elements of the services at the Department. The respondents were asked their view on the

extent to which records management improved accessibility of the records. Majority of the respondents (68.8%) responded that the effect was to a great extent while another 21.9% said that the effect was to some extent. Only 3 respondents did not know whether there was an effect while only 1 respondent said that there was no effect. Indeed, Thurston (2005) states that ineffective records management leads to files being piled in different offices and corridors, as a result of lack of policies and procedures and standards.

Table : Access Increased

	Frequency	Percent	Valid Percent	Cumulative Percent
Great Extent	44	68.8	71.0	71.0
Some Extent	14	21.9	22.6	93.5
Don't Know	3	4.7	4.8	98.4
No Effect	1	1.6	1.6	100.0
No response	2	3.1	100.0	
Total	64	100		

On the effect of records management on the application of Information and Communication Technology at the Department, majority of the respondents (27) representing 42.2% said that the effect was to a great extent while another 26 (40.6%) said that the effect was to some extent. Only 6 respondents (9.4%) said that they did not know whether there was an effect yet only 1 respondent said the effect was there but to a little extent while the remaining 2 respondents said that there was no effect at the use of ICT. In 2003, the Government developed a roadmap to civil service reforms including an

ICT policy for the Service which was given priority such that e-government would be espoused to ensure coordinated activities; resources were to be utilized on core function; staff were to be appraised on their performances; carry out a benchmarking exercise to identify limited government costs in service delivery; and ensuring that service delivery was given out in an efficient, transparent and accountable way. The results from the study then agrees with this with 85.5% of the respondents agrees that ICT and its application influenced or affected the management of records.

Table : Application of ICT

	Frequency	Percent	Valid Percent	Cumulative Percent
Great Extent	27	42.2	43.5	43.5
Some Extent	26	40.6	41.9	85.5
Don't Know	6	9.4	9.7	95.2
Little Extent	1	1.6	1.6	96.8
No Effect	2	3.1	3.2	100.0
No response	2	3.1	100.0	
Total	64	100.0		

The study also sought to know if the respondents thought that the management of records affected the accountability, on whether it enhanced or not, to which the majority (37) representing 57.8% said that the effect was to a great extent while another 17 said that the effect was to some extent. Of the remaining respondents, 4 said they did not know, 2 said the effect was to a little extent and 1 said that there was no effect.

Table : Accountability

	Frequency	Percent	Valid Percent	Cumulative Percent
Great Extent	37	57.8	60.7	60.7
Some Extent	17	26.6	27.9	88.5
Don't Know	4	6.3	6.6	95.1
Little Extent	2	3.1	3.3	98.4
No Effect	1	1.6	1.6	100.0
No response	3	4.7	100.0	
Total	64	100.0		

The study also sought to know the effect that records management had on quality of the services at the Department. The respondents on average said that there was an effect where the majority (34) representing 57.4% said that the effect was to a great extent while another 16 respondents (25%) said that the effect was to some extent. Six (6) said that they did not know, 3 said the effect was to a little extent while only 1 respondent thought the effect was not there.

Table : Quality Enhanced

	Frequency	Percent	Valid Percent	Cumulative Percent
Great Extent	35	54.7	57.4	57.4
Some Extent	16	25.0	26.2	83.6
Don't Know	6	9.4	9.8	93.4
Little Extent	3	4.7	4.9	98.4
No Effect	1	1.6	1.6	100.0
No response	3	4.7	100.0	
Total	64	100.0		

On the effect of records management on the corporate image of the Department, 28 respondents said that the effect was to a great extent and yet another 20 of them also said that the effect was to some extent. Only 7 respondents said the effect was to a little extent while the remainder of the respondents (5) said that they did not know whether the management of records affected or influenced the corporate image of the respondents.

Table : Corporate Image

	Frequency	Percent	Valid Percent	Cumulative Percent
Great Extent	28	43.8	46.7	46.7
Some Extent	20	31.3	33.3	80.0
Don't Know	5	7.8	8.3	88.3
Little Extent	7	10.9	11.7	100.0
No response	4	6.3	100.0	
Total	64	100.0		

The study also sought to find out the effect of records management on the time used in management of records, majority of the respondents (40) representing 62.5% said that the effect was to a great extent, another 14 respondents representing 21.9% said that the effect was to some extent. Five (5) of them said that they did not know of there was an effect, while 3 said that the effect was to a little extent. Only 1 of them said that there was no effect.

Table : Time Reduction

	Frequency	Percent	Valid Percent	Cumulative Percent
Great Extent	40	62.5	63.5	63.5
Some Extent	14	21.9	22.2	85.7
Don't Know	5	7.8	7.9	93.7
Little Extent	3	4.7	4.8	98.4
No Effect	1	1.6	1.6	100.0
No response	1	1.6	100.0	
Total	64	100.0		

It was of interest for the study to also find out whether records management enabled quick response in delivery of service to the clients to which the majority (39) also said that the effect was there and to a great extent. This represented a 60.9% of the respondents. Another 23.4% of the respondents (15) said that the effect was there to some extent while only 4 of them said that the effect was to a little extent. Only 3 respondents said that there they did not know if records management enabled quick response during service delivery at the Department.

Table : Quick Response

	Frequency	Percent	Valid Percent	Cumulative Percent
Great Extent	39	60.9	63.9	63.9
Some Extent	15	23.4	24.6	88.5
Don't Know	3	4.7	4.9	93.4
Little Extent	4	6.3	6.6	100.0
No response	3	4.7	100.0	
Total	64	100.0		

It was of interest too to find out if the management of records motivated employees at the Department. Twenty six (26) of the respondents representing 40.6% agreed that records management motivated employees to a great extent while another 22 of the respondents (34.4%) agreed that it motivated employees but to some extent only. Five (5) respondents said that they did not know if it motivated while the remaining 8 respondents said that records management motivated employees yet to a little extent. According to Lee (1999), the management policies are designed to be flexible and are subject to adjustment in an iterative, social learning process which enhances employee motivation as well as efficiency in records management.

Table : Employee Motivation

	Frequency	Percent	Valid Percent	Cumulative Percent
Great Extent	26	40.6	42.6	42.6
Some Extent	22	34.4	36.1	78.7
Don't Know	5	7.8	8.2	86.9
Little Extent	8	12.5	13.1	100.0
No response	3	4.7	100.0	
Total	64	100.0		

The study also sought to find out whether records management helped in reducing operational costs within the Department to which 35 respondents (54.7%) agreed and said it reduced to a great extent while another 17 respondents (26.6%) agreed but said the effect was to some extent. Five (5) respondents representing 7.8% said that the management of records helped in reducing costs but to a little extent. Only 3 respondents said they did not know if there was a relation between the two while another 1 respondent said that there was no effect of records management on costs.

Table : Costs Reduction

	Frequency	Percent	Valid Percent	Cumulative Percent
Great Extent	35	54.7	57.4	57.4
Some Extent	17	26.6	27.9	85.2
Don't Know	3	4.7	4.9	90.2
Little Extent	5	7.8	8.2	98.4
No Effect	1	1.6	1.6	100.0
No response	3	4.7	100.0	
Total	64	100.0		

Asked on whether records management helped in reducing corruption within the Department, 212 respondents said that it helped to a great extent while and other 22 said that it helped to some extent. Six (6) respondents said it helped but to a little extent while 3 said that the management of records did not affect or help in reducing corruption. The remaining 10 respondents said that they did not know if records management affected or influenced corruption at the Department.

Table : Corruption Reduction

	Frequency	Percent	Valid Percent	Cumulative Percent
Great Extent	21	32.8	33.9	33.9
Some Extent	22	34.4	35.5	69.4
Don't Know	10	15.6	16.1	85.5
Little Extent	6	9.4	9.7	95.2
No Effect	3	4.7	4.8	100.0
No response	2	3.1	100.0	
Total	64	100.0		

On whether records management encouraged teamwork among employees at the Department of Immigration, the majority of the respondents (23) representing 35.9% said that the effect was to some extent while another 18 said that the effect was to a great extent. Another 12 respondents (18.8%) said that the effect was to a little effect while 6 of them said that they did not know if there was an effect while the remaining 2 said that there was no effect.

Table : Teamwork

	Frequency	Percent	Valid Percent	Cumulative Percent
Great Extent	18	28.1	29.5	29.5
Some Extent	23	35.9	37.7	67.2
Don't Know	6	9.4	9.8	77.0
Little Extent	12	18.8	19.7	96.7
No Effect	2	3.1	3.3	100.0
No response	3	4.7	100.0	
Total	64	100.0		

The study also sought to find out if the management of records enhanced good working relations between staff and clients to which the majority of the respondents (23) representing 35.9% said that it did affect to a great extent while another 18 said the effect was there but to some extent. However, 10 respondents said they did not know if there was an effect between the two variables while 9 of the respondents said that the effect was there but to a little extent. Only 2 respondents said that there was no effect of records management in enhancing good working relationship between staff and clients at the Department. The results indeed concurred with the works of the Adaptive Management Theory. Adaptive management incorporates and integrates concepts such as social learning, operations research, economic values, and political differences with ecosystem monitoring, models, and science.

Table : Working Relations

	Frequency	Percent	Valid Percent	Cumulative Percent
Great Extent	23	35.9	37.1	37.1
Some Extent	18	28.1	29.0	66.1
Don't Know	10	15.6	16.1	82.3
Little Extent	9	14.1	14.5	96.8
No Effect	2	3.1	3.2	100.0
No response	2	3.1	100.0	
Total	64	100.0		

Majority of the respondents (25) representing 39.1% agreed that records management enhanced good relations between managers and employees to some extent while another 21 said that the effect was to a great extent. Four (4) of them said they did not know if there was an effect while another 8 said that the effect was there but to a little extent. Four (4) others felt that there was no effect or relationship between records management food relations within the workplace.

Table : Good Relations

	Frequency	Percent	Valid Percent	Cumulative Percent
Great Extent	21	32.8	33.9	33.9
Some Extent	25	39.1	40.3	74.2
Don't Know	4	6.3	6.5	80.6
Little Extent	8	12.5	12.9	93.5
No Effect	4	6.3	6.5	100.0
No response	2	3.1	100.0	
Total	64	100.0		

When respondents were asked if they were aware Government legislation and Department policies which governs the management of records at the Department, the majority of them (49) representing 76.6% said that they were not aware while the remaining 11 respondents (17.2%) said that they were aware. This is a clear indication that the Department needed to do better in informing its employees on the policies and legislation that governed the management of records.

Table : Policy Awareness

	Frequency	Percent	Valid Percent	Cumulative Percent
Yes	11	17.2	18.3	18.3
No	49	76.6	81.7	100.0
No response	4	6.3	100.0	
Total	64	100.0		

The study also sought to know some of the issues that hinder efficient management of records at the Department. Some respondents indicated improper filing in the registry, lack of proper records management skills for some staff as well as deliberate misfiling of documents by some staff

When asked on what ways the management of records could be improved at the Department, respondents mentioned electronic filing systems, use of Movement Registers incase of power outages, conducting periodic census of records, regular staff training and awareness of records management. It was also mentioned that there was an urgent need to digitize the records at the department so as to enhance the management of the same. They

also mentioned the need to acquire modern stores and equipment for records management. Attention to promotion of lower cadre staff was also indicated as a main challenge and they cite other ministries where such staff have been promoted. The respondents also indicated that there was a need to ensure that a link between old and new records be established to enhance management of the same while at the same time also they indicated that a proper catalogue be provided and updated on a regular basis so as to ease records trace and management. Murphy (1997a) stresses that the principles of fairness and equity are most important in examining the concept of quality in public administration. He argues that efficiency and cost effectiveness are key elements, but unlike the private sector, the public service customer or client rarely has an option of an alternative competitive supplier. Therefore, according to Murphy, Equality is very important and should not be lost sight of when efficiency measures, including, for example, contracting out of public services are being implemented

The respondents were also asked whether they thought that regular training for staff was necessary to realize the full potential of the management of records, to which the majority (76.6%) thought that it was necessary to a great extent while another 20.3% said that it was necessary to some extent. Only 1 respondent (1.6%) said that he did not know whether the training on a regular basis was necessary.

Table : Training

	Frequency	Percent	Valid Percent	Cumulative Percent
Great Extent	49	76.6	77.8	77.8
Some Extent	13	20.3	20.6	98.4
Don't Know	1	1.6	1.6	100.0
No response	1	1.6	100.0	
Total	64	100.0		

CHAPTER FIVE

SUMMARY OF FINDINGS, CONCLUSION AND RECOMMENDATIONS

5.1 Introduction

The chapter provides a summary of the findings that the respondents gave, provides a conclusion for the various variables that the study sought to study, as well as providing the recommendations from the conclusions drawn for each of the variables. The chapter also suggests areas of further research by future researchers since it is not possible for this study to have completely exhausted issues to do with internet learning.

5.2 Summary of Findings

The majority of the respondents were male at (59.4%) while the remainder 40.6% were female while in terms of the ages, the majority (46.9%) aged between 36 and 45 and another 34.4% were aged between 26 and 35 years. Almost all the respondents, (90.6%), indicated that they were married. Exactly half of the respondents (50%) had worked at the Department for between 6 and 10 years while another 19 of them said that they have been in the Department for a period of less than 5 years and only 15.6% of them had been in the Department for over 16 years. Forty six percent (46.9%) of the respondents had a Bachelors degree while another 42.2% had other qualifications including post graduate Diplomas and Masters. Most of the respondents (64.1%) said they were in the middle level of management while another 19 of them said they were in the lower level of management.

Half of the respondents (50%) rated the current management of records as good while another 35.9% rated it fair. They explained that there was a defined order and system that would help in knowing exactly where the file was located, while others said that tracing files a times was so tedious and a challenge and the inadequate facilities and infrastructure for records management. Some others mentioned the lack of career progression and attention of training for lower cadre staff.

On the various factors affecting records management, 35.9% of respondents agreed and 26.6% strongly agreed that Government legislation affected an agreement with Ngoepe (2004) who said that public servants must have information to carry out their work. 42.2% of the respondents agreed while another 35.9% strongly agreed that the needs and the policies of the department affected the way records are managed, while 42.2% agreed that leadership style affected records management while another 29.7% strongly agreed. Twenty four (24) respondents strongly agreed that records management at the Department was affected by the application of Information and Communication Technology (ICT) while 21 of them agreed. 37.5% of the respondents strongly agreed and 26.6% agreed that the level of training affected the management of records while agrees with Thurston (2005) who said that ineffective records management comes as a result of dumping difficult personnel to the records management unit and lack of continuous training as well as lack of policies and procedures and standards to govern the management of records.

On the effect that the records management had on various elements of the services at the Department, majority of the respondents 68.8% said records management improved accessibility of the records 42.2% said that records management had affected the application of Information and Communication Technology to a great extent, while 40.6% said that the effect was to some extent. On the effect on accountability, 57.8% said it had been affected to a great extent, while the effect on the quality of the services at the Department, 57.4% of the respondents said the effect was to a great extent while another 16 respondents (25%) said that the effect was to some extent. On the effect of records management on the corporate image of the Department, 28 respondents said that the effect was to a great extent and yet another 20 of them also said that the effect was to some extent.

On the effect of records management on the time used in management of records, majority of the respondents (40) representing 62.5% said that the effect was to a great extent, another 14 respondents representing 21.9% said that the effect was to some extent. The study also asked about whether records management enabled quick response in delivery of service to the clients and the majority, 60.9% said that the effect was to a great extent. Twenty six (26) of the respondents representing 40.6% agreed that records management motivated employees to a great extent while another 22 of the respondents (34.4%) agreed that it motivated employees but to some extent only which agrees to what Lee (1999) said that the management policies are designed to be flexible and are subject to adjustment in an iterative, social learning process which enhances employee motivation as well as efficiency in records management.

54.7% of the respondents agreed that the records management helped in reducing operational costs within the Department to a great extent while another 17 respondents (26.6%) agreed but said the effect was to some extent and when asked whether records management helped in reducing corruption within the Department, 21 respondents said that it helped to a great extent while another 22 said that it helped to some extent. The study also sought to know the extent to which records management encouraged teamwork among employees at the Department where the majority (35.9%) said that the effect was to some extent while another 18 said that the effect was to a great extent. Another 35.9% of the respondents said that management of records enhanced good working relations between staff and clients to a great extent while another 18 said the effect was there but to some extent which agrees with the works of the Adaptive Management Theory which incorporates and integrates concepts such as social learning, operations research, economic values, and political differences with ecosystem monitoring, models, and science. Majority of the respondents (39.1%) agreed that records management enhanced good relations between managers and employees to some extent while another 21 said that the effect was to a great extent.

In contrast though, the 76.6% of the respondents said that they were not aware of the Government legislation and Department policies which govern the management of records at the Department but the other 17.2% were aware. This is a clear indication that the Department needed to do better in informing its employees on the policies and legislation that governed the management of records.

On the factors that hinder efficient management of records at the Department, respondents mentioned improper filing in the registry and lack of proper records management skills for some staff as well as deliberate misfiling of documents by some staff. But when asked on what ways the management of records could be improved at the Department, respondents mentioned electronic filing systems, use of Movement Registers incase of power outages, conducting periodic census of records, regular staff training and awareness of records management. They also mentioned that there was an urgent need to digitize the records at the department so as to enhance the management of the same and the need to acquire modern stores and equipment for records management. Attention to promotion of lower cadre staff was also indicated as a main challenge and they cite other ministries where such staff have been promoted. The respondents also indicated that there was a need to ensure that a link between old and new records be established to enhance management of the same while at the same time also they indicated that a proper catalogue be provided and updated on a regular basis so as to ease records trace and management. Murphy (1997a) stresses that the principles of fairness and equity are most important in examining the concept of quality in public administration. He argues that efficiency and cost effectiveness are key elements, but unlike the private sector, the public service customer or client rarely has an option of an alternative competitive supplier. Therefore, according to Murphy, Equality is very important and should not be lost sight of when efficiency measures, including, for example, contracting out of public services are being implemented.

The respondents were also asked whether they thought that regular training for staff was necessary to realize the full potential of the management of records, to which the majority (76%) thought that it was necessary to a great extent while another 20.3% said that it was necessary to some extent. When asked about the rate at which they considered the current records management at the Department, 50% of them indicated that it was good while another 35.9% said that the records management was just fair.

5.3 Conclusion

From the responses and analysis thereof, it can be concluded that the gender parity within the Department is near equal while the majority of the respondents are middle aged between 36 and 45 years of which nearly all of them are married. The experience of the respondents is also good enough with majority having at least 6 years within the Department. The qualifications of the respondents is also suitable with majority of them possessing a bachelors degree while more others have postgraduate qualifications which puts the respondents better placed to perform the assignments within the Department.

The current management of records is good according to 50% of the respondents who explained that there was a defined order and system that would help in knowing exactly where the file was located, while those who rated the current state as fair citing tracing files a times as being tedious and that there is a challenge of inadequate facilities and infrastructure for records management. Other respondents mentioned the lack of career progression and attention of training for lower cadre staff.

On the various factors affecting records management, 35.9% of respondents agreed and 26.6% strongly agreed that Government legislation affected and 42.2% agreed while another 35.9% strongly agreed that the needs and the policies of the department affected the way records are managed. Another 42.2% agreed that leadership style affected records management while another 29.7% strongly agreed while 24 respondents strongly agreed that records management was affected by the application of Information and Communication Technology (ICT) while 21 of them agreed. 37.5% strongly agreed and 26.6% agreed that the level of training affected the management of records

Majority of the respondents 68.8% said records management improved accessibility of the records 42.2% said that records management had affected the application of Information and Communication Technology to a great extent, while 40.6% said that the effect was to some extent while 57.8% said it had been affected to a great extent, while the effect on the quality of the services at the Department, 57.4% of the respondents said the effect was to a great extent while another 16 respondents (25%) said that the effect was to some extent. On the effect of records management on the corporate image of the Department, 28 respondents said that the effect was to a great extent and yet another 20 of them also said that the effect was to some extent.

On the effect of records management on the time used in management of records, 62.5% of the respondents said that the effect was to a great extent, another 14 respondents representing 21.9% said that the effect was to some extent and whether records management enabled quick response in delivery of service to the clients, 60.9% said that

the effect was to a great extent. 40.6% of the respondents agreed that records management motivated employees to a great extent while another 22 of the respondents (34.4%) agreed that it motivated employees but to some extent only. 54.7% of the respondents agreed that the records management helped in reducing operational costs within the Department to a great extent while another 17 respondents (26.6%) agreed but said the effect was to some extent and when asked whether records management helped in reducing corruption within the Department, 21 respondents said that it helped to a great extent while and other 22 said that it helped to some extent. On whether records management encouraged teamwork among employees at the Department, 35.9% said that the effect was to some extent while another 18 said that the effect was to a great extent. Another 35.9% of the respondents said that management of records enhanced good working relations between staff and clients to a great extent while another 18 said the effect was there but to some extent. Majority of the respondents (39.1%) agreed that records management enhanced good relations between managers and employees to some extent while another 21 said that the effect was to a great extent. 76.6% of the respondents said that they were not aware of the Government legislation and Department policies which govern the management of records at the Department but the other 17.2% were aware. This is a clear indication that the Department needed to do better in informing its employees on the policies and legislation that governed the management of records.

On the factors that hinder efficient management of records at the Department, respondents mentioned improper filing in the registry and lack of proper records

management skills for some staff as well as deliberate misfiling of documents by some staff. But when asked on what ways the management of records could be improved at the Department, respondents mentioned electronic filing systems, use of Movement Registers incase of power outages, conducting periodic census of records, regular staff training and awareness of records management. They also mentioned that there was an urgent need to digitize the records at the department so as to enhance the management of the same and the need to acquire modern stores and equipment for records management. Attention to promotion of lower cadre staff was also indicated as a main challenge and they cite other ministries where such staff have been promoted. The respondents also indicated that there was a need to ensure that a link between old and new records be established to enhance management of the same while at the same time also they indicated that a proper catalogue be provided and updated on a regular basis so as to ease records trace and management. The respondents were also asked whether they thought that regular training for staff was necessary to realize the full potential of the management of records, to which the majority (76%) thought that it was necessary to a great extent while another 20.3% said that it was necessary to some extent. When asked about the rate at which they considered the current records management at the Department, 50% of them indicated that it was good while another 35.9% said that the records management was just fair.

5.4 Recommendations

From the conclusion, the study recommends the following as regards the management of records at the Department of Immigration

- i) There is need to enhance the efficiency of records management by enhancing the defined order and system which helps in knowing exactly where the file was located and also provide modern and adequate facilities for management of records which will enhance the tracing of files and to make it is easier to access and retrieve a given file. There is also need for the management to enhance career progression and to facilitate staff of all cadres in for training and enhancement of skills. There is need to give more attention to this.
- ii) Since the respondents sited various factors affecting records management, the Department needs to enhance legislation which is friendly to records management, as well as need to facilitate records management so as to meet the needs and the policies of the department.
- iii) Leadership style is also cited to affect records management, thus there is need for the Directorate to enhance a positive style so as to give the employees a better environment to manage the records in a better way. There is also need to enhance the application of ICT has it is indicated to affect the management of records within the Department. The level of training affected the management of records and thus there is need to ensure that the employees are trained to suit the performance of the assignments that the management of records entails.
- iv) Since the respondents said records management improved accessibility of the records, there is need to enhance records management which will also facilitate in achieving better quality of the services at the Department. By enhancing records management also the Department will also enhance its corporate image by

speeding service delivery, increasing efficiency and reducing waiting time and customer complaints.

- v) Records management also reduces time used in management of records, enables quick response in delivery of service to the clients motivates employees and also helped in reducing operational costs within the Department. It also helps in reducing corruption within the Department, encouraged teamwork among employees at the Department, enhanced good working relations between staff and clients and also enhanced good relations between managers and employees. Thus there is need enhances and facilitate the management of records within the Department.
- vi) There is also need to inform the employees within the Department of all the legislation and policies that govern records management within the Department and the Government at large.
- vii) To check the on the factors that hinder efficient management of records at the Department, the Department needs to enhance proper filing in the registry and provide filing skills to the employees. This can be done through electronic filing systems, use of Movement Registers incase of power outages, conducting periodic census of records, regular staff training and awareness of records management.
- viii) There is also an urgent need to digitize the records at the Department so as to enhance the management of the same and the need to acquire modern stores and equipment for records management.

ix) Attention to promotion of lower cadre staff needs to be enhanced like other Government Departments.

5.5 Suggestions for further research

From study results and discussions, the study recommends that further study be done on:

1. The challenges of ICT application in records management in security related departments
2. The challenges facing reforms in records management instituted by the Government.

REFERENCES

- Bell, T.G. (1993). Educational Research. New York: New York Publishers.
- Borg, R W. and Gall M D (1989). Educational Research: An Introduction. Long man
New York
- Brewer, G. D. (1975). An analyst's view of the uses and abuses of modeling for decision making. Rand Corporation Paper P-5395
- Cyert, R. M., and March, J. G. (1963). A Behavioral Theory of the Firm. Englewood Cliffs, NJ: Prentice-Hall, Inc.
- Dearstyne, B. W. (1985). Managing Government Records: A Manual for Local Government Officials in New York State. Retrieved on January 4, 2012 from <http://www.eric.ed.gov>
- Dearstyne, B. W. (1988). *The Management of Local Government Records: A Guide for Local Officials*. New York: American Association for State and Local History.
- Harries, S. (2009). Managing Records, Making Knowledge and Good Governance. *Records Management Journal*. Vol. 19, No. 1. Emerald Group Ltd., p. 16-25.
- Holling, C. S. (ed.). (1978). Adaptive Environmental Assessment and Management. New York, NY: John Wiley and Sons.
- Keeney, R. L. (1997). A utility function for examining policy affecting salmon in the Skeena River. *Journal of the Fisheries Research Board of Canada* (34): 49-63.
- Lee, K. N. (1999). Appraising Adaptive Management. *Conservation Ecology* 3(2):3. Available online at <http://www.consecol.org/vol3/iss2/art3>, accessed February 13, 2003
- Mugenda, O. M. and Mugenda, A. G. (2003). Research Methods: Quantitative and Qualitative Approaches. Nairobi: African Centre for Technology Studies (ACTS) Press.

- Ngoepe, M. (2004). Accountability, Transparency and Good Governance: The National Archives and Records Service of South Africa's Role in Helping Government to Better Service Delivery to the South Africans. A conference Paper retrieved on January 2, 2012 from <http://www.liasa.org.za>
- Obonyo, P. (1994) Education and Career Expectations of Girls at Nyabururu High School, Kisii District. Unpublished M.Ed. Thesis. Kenyatta University, Nairobi (Kenya).
- Onyango, G.A. (2001). Competences Needed by Secondary School Head Teachers: A case study of Nairobi and Kakamega District. Unpublished Ph.D Thesis, Kenyatta University, Nairobi (Kenya).
- Orodho, J. A. (2005) (2nd Edition). Techniques of Writing Research Proposals and Reports in Education and Social Sciences. Nairobi: Kanezja HP Enterprises (Publishers).
- Parma, A. M., and NCEAS Working Group on Population Management. (1998). What can adaptive management do for our fish, forests, food, and biodiversity? *Integrative Biology* 1:16-26
- Regan, H. M., Colyvan, M., and Burgman, M. A. (2002). A taxonomy and treatment of uncertainty for ecology and conservation biology. *Ecological Applications* 12: 618-628
- Shephard, E. (2006). Why are Records in the Public Sector, Organizational Assets? *Records Management Journal*. Vol. 16, No. 1. Emerald Group Ltd., p. 6-12.
- Van de Waldt, G., Van Niekerk, D., Doyle, M. Knipe, A., & Du Toit, D. (2002). *Managing for Results in Government*. Sandown: Heinemann.
- Walters, C. J. (1986). Adaptive Management of Renewable Resources. New York, NY: Macmillan

APPENDICES

Appendix 1: Letter to Respondent

JANE OYARO

P.O. BOX 43844 – 00100

NAIROBI

Dear Sir/Madam,

RE: RESEARCH PROJECT

I am a Postgraduate student in Kenyatta University pursuing an Executive Master of Public Policy and Administration (EMPPA). I am currently carrying out a study on *Impact of Records Management on Service Delivery in Kenya's Immigration Department*. The success of the research substantially depends on your cooperation. I hereby request you to respond to the questionnaire attached as honestly and duly as possible and to the best of your knowledge. There are no correct or wrong answers.

The questionnaire is designed for the purpose of this study only, therefore the responses will absolutely be confidential and anonymously given.

Thanking you in advance.

Yours faithfully,

Jane oyaro

7. How would you rate the management of records at the Department?

Excellent Good Don't Know Fair
 Poor

8. What reasons would you have your answer as in 7 above?.....

.....

9. Do what extent do you agree records management is affected by the following factors at the Department?

Factor	5	4	3	2	1
Government Legislation					
Department needs and policies					
Leadership Style					
Information and Communication Technology					
Level of Training of Employees					

Where 5 – Strongly Agree, 4 – Agree, 3 – Don't Know, 2 – Disagree and 1 – Strongly Disagree

10. To what extent do you think the management of records affects the following factors (statements) at the Department?

Factor	5	4	3	2	1
Improves accessibility and Retrieval of files and documents					
The use of Information and Communication Technology					
It enhances accountability and Transparency					
Enhances the quality of service offered					
It enhances the corporate image of the Department					
It reduces the time used in delivery of Services at the Department					
Enables quick response to queries and complaints					

It motivates employees when they access and retrieve files easily					
It reduces on costs and time spent					
Helps in reducing culpability to corruption at the Department					
Encourages teamwork among staff members					
Enhances good working relations between staff and clients					
Enhances good managers – employees relations					

Where 5 – Great extent, 4 – Some Extent, 3 – Don’t Know, 2 – Little extent, and 1 – No Effect

11. Are you aware of Government legislation and Department policies which governs the management of records at the Department? Yes No

If yes, please list them

- i.
- ii.
- iii.
- iv.
- v.

12. What are some of the areas that the management of records has issues that still hinder efficient management?

- i.
- ii.
- iii.
- iv.
- v.

13. In what ways could the management of records be improved at the Department?

- i.

- ii.
- iii.
- iv.
- v.

14. To what extent do you think regular training for staff is necessary to realize the full potential of the management of records?

Extent	Great	Some	Don't Know	Little	No Effect
Response					

15. What other opinion would you have as regards this study but which might not have been captured?

.....

.....

.....

.....

.....

.....

.....

.....

.....

.....

THANKYOU FOR YOUR TIME AND RESPONSES

Appendix 3: Time Plan

Activities	2013					
	Mar	Apr	May	Jun	Jul	Aug
Proposal Writing	■	■	■			
Proposal Presentation			■			
Data Collection				■		
Data Analysis				■	■	
Report Writing					■	
Report Submission					■	■

Appendix 4: Budget

ITEM	SHS	CTS
Secretarial services	5,000	00
Photocopying and binding	2,000	00
Transport and Communication	10,000	00
Stationery	2,000	00
Internet and Consultation	3,000	00
Miscellaneous expenses	3,000	00
Total	25,000	00