

**LEVERAGING RECORDS MANAGEMENT IN ENSURING ACCESS TO  
PUBLIC INFORMATION FOR SUSTAINABLE DEVELOPMENT IN UASIN  
GISHU COUNTY, KENYA**

**BY**

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## **DEDICATION**

This project is a tribute to my parents, Philip Kimaiyo and Brigid Kimitei for their prayers, inspiration, and untiring efforts that have seen me this far; to my loving and caring wife Pamela Chebii and our lovely daughter Verona Jerop for their love, understanding, and sacrifice; to my friends for their patience, perseverance and constant support during the entire period of my studies; and lastly, I dedicate this thesis to the memory of my late supervisor Prof. Justus Wamukoya for his advice and assistance during my educational pursuits, may his soul Rest in Peace. I shall forever cherish your prayers and words of encouragement. Thank you and may the blessings of God be with each and every one of you.

## ABSTRACT

Access to public information is crucial for sustainable development. However, in many countries of the world, especially in developing economies, this is an ideal whose achievement has faced challenges marked by limited technological infrastructure, fragmented records management systems and insufficient resources. In the Kenyan context, studies have revealed that challenges in records management affect access to public information for sustainable development. It was against this backdrop, that the present study sought to assess how records management can be leveraged to ensure access to public information for sustainable development in Uasin Gishu (UG) County. Consequently, the study addressed the following objectives namely to: examine the current records management practices in UG County; establish the link between UG County Integrated Development Plan (CIDP) and access to public information; evaluate the effectiveness of records management in ensuring access to public information as a prerequisite for the attainment of sustainable development in the County; and propose records management strategies that will enhance access to public information held by the County government as a means of promoting sustainable development. The study was anchored on two pivotal theoretical frameworks: The Records Continuum Model and the Process Model of Information Management. It was grounded on pragmatic research paradigm associated with mixed methods approach and intrinsic case study design. The population of the study was 110 respondents comprising, 10 County Executive Committee members (CECs), 15 Chief Officers (COs), and 30 Members of the County Assembly (MCAs) representing the public all of whom drive the development agenda of the County and 55 Records and Clerical Officers (RCOs) charged with the responsibility of records management. Given the small size of the population, a complete enumeration of the population (census sampling) was adopted. Quantitative data was collected from COs, RCOs and MCAs using questionnaires while qualitative data was collected through in-depth interviews with CECs, supplemented by observation and documentary review. Qualitative data was analyzed thematically and presented in a narrative description while quantitative data was analyzed using descriptive statistics. The findings of the study revealed that UG County's records management practices remain largely paper-based. The study also found that the County's CIDP is aligned with access to public information for sustainable development, as evidenced by strong institutional commitment to transparency, stakeholder engagement, records management integration, and Sustainable Development Goal (SDG) 16 albeit with implementation gaps. Similarly, the study also found that records management in the County is largely effective in supporting access to public information and sustainable development, though capacity, policy, and digitization gaps constrain full realization of its benefits. It further found that UG County is pursuing ICT-driven records management strategies to enhance access to public information. The study thus concluded that records management plays a critical role in providing access to public information for sustainable development. The study recommends that UG County government develops and implements a comprehensive records management policy, allocate adequate resources for the records management function, and conduct regular staff training in records management.

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**LIST OF ABBREVIATIONS**

CIDP:	County Integrated Development Plan
COs:	County Chief Officers
CECs:	County Executive Committee
EU:	European Union
FOIA:	Freedom of Information Act
KIPPRA:	Kenya Institute for Public Policy Research and Analysis
MCAs:	Members of the County Assembly
PAIA:	Promotion of Access to Information Act
PMIM:	Process Model of Information Management
RCM:	Records Continuum Model
SDGs:	Sustainable Development Goals
US:	United States

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## CHAPTER ONE

### INTRODUCTION AND BACKGROUND INFORMATION

#### 1.1 Introduction

This chapter provides an in-depth introduction to the research, setting the stage for a comprehensive exploration of the intricate relationships between management of records, sustainable development, and access to public information in Uasin Gishu County, Kenya. This introductory chapter serves as a gateway to the study, offering a detailed background of the research context, highlighting the significance and relevance of the study within the broader framework of sustainable development goals, and presenting a compelling statement of the problem. Additionally, it provides a clear overview of the research questions and objectives that underpin the study's approach.

By delving into the specific objectives and the overall structure of the research, this chapter offers readers a roadmap for the subsequent chapters, showcasing the study's contribution to both the academic discourse and the practical domain of records management and information access in the county. Ultimately, the chapter serves as a vital foundation for the study, establishing the rationale, scope, and importance of the research, and inviting readers to embark on a journey of understanding and discovery in the realm of access to public information for sustainable development at the county level in Kenya.

#### 1.2 Background to the Study

Access to information is a fundamental human right, recognized globally as a cornerstone of democratic societies and a catalyst for sustainable development (Kemoni & Ngulube, 2022). Access to public information is linked to Goal 16 of the Sustainable Development Goals (SDGs), particularly Target 10, which specifically emphasizes

ensuring access to public information and protection of fundamental freedoms, in accordance with national legislation and international agreements (Hummel & Schlick, 2023). This target underscores the importance of transparency, accountability, and participation in decision-making processes within societies. Through promoting access to public information, societies can enhance accountability mechanisms, foster transparency in governance processes, and empower citizens to actively engage in decision-making (Bovens et al., 2020).

Accessible information enables individuals, communities, and civil society organizations to monitor progress, advocate for their rights, and hold governments and institutions accountable for their actions (Debowski & Goldsmith, 2022). Moreover, access to public information is crucial for addressing a myriad of global challenges outlined in the SDGs, ranging from poverty eradication and quality education to gender equality and environmental sustainability. Informed citizens are better equipped to make choices that contribute to sustainable development outcomes and advocate for policies that prioritize inclusivity and equity (Kemoni & Ngulube, 2022).

Realizing the SDGs through ensuring access to public information thus necessitates effective records management as the foundation for transparency and accountability. Efficient record-keeping ensures the creation, maintenance, and accessibility of accurate and reliable information, facilitating evidence-based decision-making and policy formulation (Ngoepe & Keakopa, 2021). It enables governments and institutions to track progress toward SDGs, allocate resources efficiently, and respond promptly to emerging challenges. Additionally, it empowers citizens and stakeholders to access critical data, participate in development processes, and hold authorities accountable (Kemoni & Ngulube, 2022). Optimizing records management practices will therefore

enable governments establish a robust information infrastructure that underpins the achievement of SDGs, ensuring that sustainable development initiatives are well-documented, transparent, and sensitive to the demands of communities and society at large.

Several developed economies have set exemplary standards in leveraging records management for effective access to public information. For instance, Denmark's "Open Government Data" initiative provides citizens with easy online access to government records, fostering innovation and public engagement (Xiao et al., 2019). In the United States, the Freedom of Information Act (FOIA) of 1966 requires government organizations to provide sought information, ensuring transparency and accountability (Bebbington & Larringa, 2021). Australia's National Archives is renowned for its meticulous records management, preserving historical documents and facilitating public access. In addition, countries like Sweden and the Netherlands have pioneered e-archives, making vast digital collections available to the public (Bovens et al., 2020). These initiatives, driven by advanced records management practices and supported by robust legal frameworks, exemplify how developed economies prioritize access to public information, promoting informed citizenship and responsible governance.

Several developing economies, particularly in Sub-Saharan Africa, have also made significant strides in leveraging records management to achieve effective access to public information. For instance, South Africa's Promotion of Access to Information Act (PAIA) of 2000 has been a cornerstone in ensuring citizens' right to access government records, enhancing transparency and accountability (Ngoepe & Keakopa, 2021). Rwanda's "Umushyikirano" (Umushyikirano translates to a meeting in which participants are able to exchange ideas, share experiences and ask questions of one

another) platform facilitates public access to government decisions and discussions, while Ghana has implemented the "Open Data Initiative" to provide access to a wide range of government data sets, stimulating innovation and civic engagement (Bakare & Abioye, 2021). These initiatives, underpinned by improved records management practices and regulatory frameworks, exemplify the commitment of developing economies and Sub-Saharan African nations to empower their citizens with essential information for informed decision-making and sustainable development.

In Kenya, the law guarantees everyone's access to information in the Constitution under Article 35, which affirms the right of the general population to obtain data kept by the government and other entities (Government of Kenya, 2010). This constitutional provision underscores the importance of ensuring that government records are not only well-maintained but also made readily accessible to the public. Similarly, the Access to Information Act of 2016 has set the stage for a more open government by promoting proactive disclosure of information and the establishment of information access points. Further, in line with global trends, this commitment to transparency and accountability has been recognized as a driver of the country's sustainable development initiatives (Njoroge & Minja, 2018). Leveraging records management to enhance access to public information thus aligns directly with the legal framework and potentially contributes significantly to the country's sustainable development agenda. This is particularly true at the county level, as counties are at the forefront of delivering essential services and implementing development projects that directly impact citizens' lives (Bvuma & Joseph, 2019). It however remains scantily explored in the Kenyan body of knowledge, how records management is leveraged in the country to ensure information is available to the public for long-term prosperity, and much less in Uasin Gishu County. This has necessitated the present study.

### **1.2.1 Records Management**

Records management is a systematic approach to the creation, maintenance, retrieval, preservation, and disposal of records in an organization or institution (Ack et al., 2020). Records encompass a wide range of information, including documents, files, emails, databases, and more, that substantiate a company's operations, transactions, and decisions (Tagbotor et al., 2022). The fundamental objective of the management of records is to guarantee that these records are efficiently and effectively managed throughout their lifecycle, from creation to disposal, in a way that supports the organization's operations, legal obligations, and accountability (Chinyemba & Ngulube, 2022).

Records serve as the backbone of public administration, providing a comprehensive account of government activities, decisions, and transactions (Robek et al., 2019). Effective records management is therefore an essential component of modern governance. It has a pivotal role in documenting the delivery of public services, preserving historical information, and ensuring accountability (Seniwoliba et al., 2021). Furthermore, records management is crucial for compliance with regulatory and legal requirements. Effective management of records is built upon several key principles. First and foremost, records must be created and organized in a systematic and consistent manner to ensure their accuracy and reliability (Ifedili & Agbaire, 2022). Each record should be appropriately classified, indexed, and tagged with metadata, facilitating retrieval and location when required. Management of records also emphasizes the importance of ensuring the security and confidentiality of sensitive information while promoting accessibility for authorized user (Chinyemba & Ngulube, 2022).

Records management is of paramount importance for various reasons. It makes observing regulations and legal requirements easier, ensuring that an organization meets its obligations for recordkeeping, data protection, and privacy (Ack et al., 2020). Moreover, it supports effective decision-making by providing historical data, trends, and insights, which are essential for planning and strategy development (Seniwoliba et al., 2021). In the event of audits, investigations, or legal disputes, well-managed records can serve as evidence, protecting the organization's interests. Additionally, records management promotes efficiency and productivity by reducing redundancy, minimizing the risk of data loss, and streamlining document retrieval processes (Chike & Mensa, 2021).

In today's digital age, records management has evolved significantly to accommodate electronic records, which have become the norm in many organizations. Digital records management involves the use of specialized software and tools to manage electronic documents, emails, databases, and other digital assets (Oliveira & Souza, 2019). It introduces new challenges such as data security, preservation of digital formats, and long-term accessibility. However, it also offers benefits in terms of searchability, ease of sharing, and reduced physical storage requirements. As organizations continue to transition to digital recordkeeping, good processes for managing records are still necessary to make sure that the benefits of technology are harnessed while preserving the integrity and accessibility of valuable information (Brown & Chen, 2018).

### **1.2.2 Records Management and Access to Public Information**

Access to public information is intricately linked to records management, as effective records management practices are fundamental to ensuring that information is accessible, accurate, and preserved over time (Harrison et al., 2022). Records

management involves the systematic control of an organization's records throughout their lifecycle, from creation or receipt to eventual disposition. Firstly, proactive disclosure of information, a key principle of access to public information, relies on robust records management systems (Gascó-Hernández et al., 2022). Governments and institutions must maintain accurate and organized records to facilitate the proactive release of certain types of information to the public. This requires implementing policies and procedures for identifying, categorizing, and managing records that are of public interest or importance (Faulkner et al., 2019).

Secondly, the right to request and receive information on demand depends on the ability of organizations to locate and retrieve relevant records in response to inquiries or requests from individuals or organizations (Soma et al., 2023). Effective records management ensures that records are indexed, searchable, and easily accessible, enabling timely responses to information requests (Zhao & Fan, 2018). Thirdly, transparency, accountability, and non-discrimination in the provision of information are upheld through transparent records management practices. This includes documenting decision-making processes, maintaining accurate records of actions and decisions, and ensuring equitable access to information for all stakeholders (Zhao & Fan, 2018).

Moreover, records management plays a crucial role in safeguarding sensitive or confidential information while balancing the right to access with other legitimate interests, such as privacy and national security (Faulkner et al., 2019). This involves implementing security measures, access controls, and retention schedules to protect sensitive records from unauthorized access or disclosure (Harrison et al., 2022). Overall, records management is essential for supporting access to public information by ensuring the availability, reliability, and integrity of records that are vital for

transparency, accountability, and democratic participation (Rantala et al., 2020). Effective records management practices are therefore indispensable for upholding the principles and objectives of access to public information within organizations and institutions (Rodriguez-Garcia et al., 2019).

### **1.2.3 Sustainable Development**

Sustainable development is a holistic and multifaceted concept that encompasses the concept of addressing current demands without sacrificing subsequent generations' capacity to address their own requirements (Chachage et al., 2022). It recognizes the interdependence of societal ecological, and economic aspects in shaping the well-being and prosperity of societies. Sustainable development attempts to strike a compromise among growth in the economy, social justice, and safeguarding the environment to ensure that development is not only inclusive and equitable but also environmentally responsible (Frost et al., 2020).

Several key principles underpin the concept of sustainable development. One of the fundamental principles is the integration of societal ecological, and economic aspects, often referred to as the "triple bottom line" (Hummel & Schlick, 2023). It emphasizes the importance of considering the long-term consequences of actions and policies on all three fronts. Another key principle is the notion of equity and fairness, ensuring that development benefits all members of society and does not exacerbate existing inequalities (Lamberton, 2019). Sustainability also relies on responsible resource management, reducing waste, and minimizing negative environmental impacts. Lastly, the concept of intergenerational equity acknowledges the rights of future generations and the need to preserve natural resources and biodiversity for their benefit (Chachage et al., 2022).

Sustainable development is essential for tackling urgent issues like global warming and loss of biodiversity, poverty, and inequality (Manetti & Becatti, 2019). It provides a framework for governments, organizations, and communities to plan and implement policies and practices that prioritize long-term well-being over short-term gains (Bebbington & Larringa, 2021). Sustainable development promotes adaptability to both ecological and financial turbulence, contributing to the overall stability of societies. Moreover, it recognizes the finite nature of Earth's resources and seeks to promote responsible consumption and production patterns to ensure a sustainable future for humanity (Lamberton, 2019).

While sustainable development is widely acknowledged as a critical goal, it faces significant challenges. These include the persistence of unsustainable consumption patterns, inadequate policy frameworks, and the need for global cooperation to address cross-border issues like climate change (Frost et al., 2020). Nevertheless, advancements in sustainable technologies, renewable energy, circular economy activities, and multilateral agreements such as the United Nations' SDGs represent significant steps toward achieving sustainable development (Bebbington & Larringa, 2021). Civil society, businesses, and governments worldwide are increasingly recognizing the urgency of embracing sustainability, with the aim of securing a more prosperous, equitable, and environmentally responsible future for all (Manetti & Becatti, 2019).

#### **1.2.4 Access to Public Information and Sustainable Development**

Access to information by the public plays a pivotal role in advancing sustainable development by enhancing transparency, accountability, and informed decision-making at all levels of society (Colombo & Femminis, 2022). Access to accurate and timely information empowers individuals and communities to actively engage in civic life,

participate in governance processes, and advocate for their rights and needs (Bottrel & Do, 2018). In this way, it contributes as it relates to sustainable development's social component by promoting equity, inclusion, and social justice.

Access to public information is particularly crucial in the context of environmental sustainability. It enables citizens to access data on environmental issues, track the impact of development projects, and hold authorities accountable for environmental regulations (Díez, 2021). Informed communities can advocate for sustainable practices, monitor pollution, and address environmental degradation, contributing to the protection of ecosystems and natural resources. Additionally, access to environmental information fosters awareness about climate change, which is a critical aspect of the SDGs, and encourages participation in mitigation and adaptation efforts (Colombo & Femminis, 2022).

Access to public information also supports economic growth and the economic dimension of sustainable development. In providing entrepreneurs, researchers, and businesses with access to valuable data and market information, it stimulates innovation, fosters entrepreneurship, and promotes responsible consumption and production patterns (Randel, 2023). Transparent government procurement processes and access to business-related information facilitate fair competition and reduce corruption, thereby creating an enabling environment for sustainable economic development (Igwe, 2019). In this way, access to public information is integral to fostering economic growth that is equitable, environmentally responsible, and aligned with the principles of sustainable development.

### **1.2.5 Overview of Uasin Gishu County**

Uasin Gishu County is among the 47 counties in Kenya, located in the Great Rift Valley region of East Africa. Named after the indigenous Sengwer community's word "wasingishu," which means "beautiful sceneries," the county is renowned for its picturesque landscapes, lush farmlands, and vibrant cultural heritage. Uasin Gishu County has a rich history and has contributed much to Kenya's agricultural and economic development. The county's administrative headquarters is Eldoret, which is also its largest city and a prominent urban center in the region (County Government of Uasin Gishu, 2023).

Uasin Gishu County's geography is characterized by fertile highlands, making it a vital agricultural hub in Kenya. The county is part of the country's "breadbasket," known for its maize, wheat, and dairy farming. Agriculture, both large-scale and small-scale, forms the backbone of the local economy, providing employment and sustenance to a significant portion of the population. In addition to agriculture, Uasin Gishu County has witnessed economic diversification, with trade, education, and health services becoming prominent sectors (Gitegi & Iravo, 2016).

Uasin Gishu County boasts a rich cultural heritage with various communities coexisting harmoniously. The county is home to the Kalenjin people, who have a vibrant cultural tradition, including music, dance, and storytelling. Eldoret, the county's capital, is a major education hub with several universities, colleges, and schools. This has attracted students from various parts of Kenya and beyond, contributing to the county's cosmopolitan atmosphere. The county has also produced numerous world-class athletes, particularly in long-distance running, who have brought international recognition to the region (Kenya Institute for Public Policy Research and Analysis (KIPPRA), 2023).

Uasin Gishu County continues to evolve and embrace modernization while preserving its agricultural heritage and cultural diversity. With its economic significance, educational institutions, and contributions to Kenya's sports and culture, the county plays a dynamic role in the nation's development and is a region of growing importance in the East African context. As the county experiences economic and social transformation, the need for accessible and well-managed information becomes increasingly vital (County Government of Uasin Gishu, 2023).

As with the rest of the counties in the country, governance in Uasin Gishu county is decentralized. Article 177 of Kenya's 2010 Constitution created the positions of Members of County Assembly (MCAs) as elected representatives who play a pivotal role in representing the interests of the public, making laws, overseeing government activities, and driving development initiatives at the county level (Ochieng, 2020). Similarly, Article 179. (1) of the Constitution establishes the County executive committees, in whose executive authority of the county is vested. The committee consists of the county governor and the deputy county governor; and members appointed by the county governor, with the approval of the assembly, from among persons who are not members of the assembly. This constitutional provision ensures that the Committee represents a diverse array of individuals from outside the County Assembly, thereby broadening the spectrum of representation within the county's executive leadership.

Further, Section 45 of the County Governments Act No. 17 of 2012 provides for the position of the County Chief Officers (COs). It is provided that the county governor shall nominate qualified and experienced COs from among persons competitively sourced and recommended by the County Public Service Board; and with the approval

of the County Assembly, appoint COs. According to the Act, a county chief officer shall be responsible to the respective county executive committee member for the administration of a county department as provided under section 46; and shall be the authorized officer in respect of exercise of delegated power. Therefore, though not elected, COs serve as representatives of the public by virtue of their roles and the rigorous process through which they are appointed. They are accountable to the County Executive Committee Members, who are themselves part of the executive arm vested with authority by the people through their elected county governor and deputy governor.

As such, MCAs, CECs and COs constitute the public's representation in governance at the county level. Engaging these leadership in the study on access to public information in Uasin Gishu County enabled the research to not only recognize their importance but also provide them with a platform to contribute the public's perspectives on the county's records management practices and their implications for governance and development (County Government of Uasin Gishu, 2023). This inclusive approach aligns with the principles of participatory governance, wherein the involvement of elected representatives fosters greater transparency, responsiveness, and accountability in decision-making processes (World Bank, 2017). In this regard, one of the principal instruments guiding county development is the County Integrated Development Plan (CIDP). Developed every five years in accordance with the County Governments Act, the CIDP outlines the county's strategic priorities, programs, and resource allocation frameworks. It serves as a blueprint for planning, budgeting, and implementing development initiatives at the county level (KIPPRA, 2023). As the main planning and implementation framework, the CIDP also generates and relies upon significant

volumes of records and information across various departments. These records are crucial not only for internal coordination and tracking of progress but also for public access, transparency, and inclusive monitoring of the development process (Ochieng, 2020). Understanding how the CIDP interfaces with records management systems is therefore essential in evaluating the accessibility of public information and the realization of sustainable development in Uasin Gishu County.

### **1.2.6 State of Records Management Practices in Uasin Gishu County**

Available county and secondary evidence indicate that records management in Uasin Gishu County is still transitioning from predominantly paper-based and departmentally fragmented registries toward more standardised and ICT-enabled approaches (Ochieng, 2020). This may affect the timely retrieval, reliability, and routine availability of information needed for governance and development decision-making. Although Kenya's constitutional and statutory access-to-information obligations apply at county level, the practical ability to meet information requests depends on how consistently records are created, classified, stored, preserved, and traced across departments, including how well asset and information controls are implemented in day-to-day administration (KIPPRA, 2023).

In Uasin Gishu County, existing documentation points to constraints that commonly weaken records control in devolved units, including limited digitisation capacity, uneven records systems across offices, and institutional resource and skills gaps that can delay retrieval and reduce the completeness of information available for accountability and service delivery (Gitegi & Iravo, 2016). At the same time, the County has signalled intent to strengthen records management through initiatives such as more centralised and standardised systems, adoption of digital records technologies,

staff capacity-building, and greater proactive disclosure through official communication channels (County Government of Uasin Gishu, 2023). The extent to which these efforts have translated into consistent, countywide improvements in access to public information remains insufficiently documented in the local evidence base, creating a clear rationale for the present study.

### **1.3 Statement of the Problem**

Access to public information is not only crucial but also indispensable for the achievement of sustainable development, especially at the county level in countries like Kenya. At the county level, where governance directly impacts citizens' daily lives, access to public information serves as a linchpin for transparent and accountable governance (Harrison et al., 2022). It empowers local communities to engage in decision-making processes, ensuring that development initiatives align with their specific needs and priorities (Gascó-Hernández et al., 2022). Through fostering transparency and accountability within county governments, it mitigates the risk of corruption, mismanagement, and resource misallocation, thereby contributing to economic growth, social equity, and environmental sustainability (Hummel & Schlick, 2023). As such, access to public information at the county level ensures that the principles of sustainable development are not just lofty ideals but practical realities, making it an indispensable component of effective governance and development in local contexts.

Access to public information in Uasin Gishu County has over the years faced a multitude of challenges (Maina, 2022). These include limited technological infrastructure, fragmented record management systems, insufficient resources dedicated to information dissemination, limited public awareness about their right to access

government-held information, a lack of resources for digitization and modernization, and limited capacity within government institutions for proactive disclosure and efficient responses to information requests (Gitegi & Iravo, 2016; Maina, 2022). These challenges collectively hinder the county's ability to provide accessible information to its citizens, impeding informed decision-making, citizen engagement, and the overall pursuit of sustainable development objectives at the local level (Maina, 2022). Further, the report of the Auditor-General on county executive of Uasin Gishu for the year ended 30 June, 2022 reveals that contrary to the Law, except for information technology assets, all other assets of the County Executive of Uasin Gishu were not tagged to map critical information on their location and persons responsible for their custody. In the circumstance, the system applied by Management to secure the assets of the County Executive does not comply with the law and puts the assets at risk of loss and misuse (Office of the Auditor-General, 2022).

In an effort to address these inadequacies, the county government has embarked on several records management initiatives. These initiatives include the establishment of centralized and standardized records management systems, embracing digital records management technologies to enhance accessibility and reduce paperwork, implementing capacity-building programs to train personnel in modern records management practices, and promoting proactive disclosure of essential information through various communication channels, including official websites and public notices (County Government of Uasin Gishu, 2023). However, there is scanty documentation on the link between records management and access to public information for sustainable development generally and in Uasin Gishu County, Kenya in particular. Whereas a number of related research has been done, the focus has largely been on the linkage between records management and the broader service delivery and public

participation (Gitegi & Iravo, 2016; Njoroge & Minja, 2018; Maina, 2022). Against this backdrop, the present study sought to bridge this knowledge gap by investigating how records management is leveraged to ensure access to public information for sustainable development in Uasin Gishu County, Kenya and to suggest strategies for improvement that will help in enhancing access to public information held by the county government as a means to promoting sustainable development.

#### **1.4 Aim of the Study**

The study investigated how records management can be leveraged to ensure access to public information for sustainable development in Uasin Gishu County with a view to suggest strategies for improvement.

#### **1.5 Research Objectives**

The study sought to address the following objectives namely to:

- i. Examine the current state of records management practices within the Uasin Gishu County Government.
- ii. Establish the link between Uasin Gishu CIDP and access to public information for sustainable development of UG County.
- iii. Assess the extent to which records management practices facilitate access to public information for sustainable development in Uasin Gishu County.
- iv. Propose records management strategies that will enhance access to public information held by the county government as a means to promoting sustainable development.

## **1.6 Research Questions**

- i. How is the current state of records management practices within the Uasin Gishu County Government?
- ii. How does CIDP facilitate access to public information for sustainable development of UG County?
- iii. How does records management influence public access to information for sustainable development in Uasin Gishu County?
- iv. Which records management strategies can be adopted to enhance access to public information held by the county government as a means to promoting sustainable development?

## **1.7 Significance of the Study**

This study is important for the county government of Uasin Gishu as it provides a roadmap that can enable the county government to improve its records management practices to better respond to public information needs of various stakeholders. The county government can take targeted actions to enhance its capacity for information organization, preservation, and accessibility by identifying the existing inadequacies and drawbacks in records management. A more robust records management system would not only foster transparent and accountable governance but also improve the county government's ability to monitor progress towards sustainable development goals, allocate resources efficiently, and engage with its citizens in an informed and inclusive manner. Ultimately, this study's findings and recommendations can serve as a blueprint for transforming records management within the county government, enabling it to fulfil its mandate more effectively.

For citizens of Uasin Gishu County, this study's significance lies in the promise of improved access to information and increased opportunities for civic engagement. Transparent and accessible records management allows citizens to access vital data, participate in governance processes, and hold government officials accountable for their actions. Civil society organizations can also benefit by using the study's results to advocate for enhanced records management practices and the implementation of policies that support access to public information. In doing so, they can play a crucial part in promoting responsibility, openness, and good administration within the county.

This study is important for policy makers in Uasin Gishu County and beyond. It provides invaluable insights into the critical role of managing records in facilitating access to public information and its subsequent impact on transparent and accountable governance. The recommendations and findings of this study can guide the development of informed policy decisions aimed at enhancing records management practices within the county government. Policy makers can use this research to formulate and implement policies that promote efficient records management, proactive disclosure of information, and compliance with access to information laws. In doing so, they can lay the groundwork for a more transparent and responsive government, aligning with the county's sustainable development agenda and ensuring that the public's right to access information is upheld.

For scholars and researchers, this study represents an opportunity to delve into the complex interplay among management of records, sustainable development and access to information by the public at the local level. It offers a rich empirical context to explore theoretical concepts related to governance, transparency, and accountability within county governments. Scholars can use the results of this research as a basis for

further academic inquiry, generating knowledge that contributes to the broader field of public administration, information management, and governance studies. Moreover, by shedding light on the challenges and solutions specific to Uasin Gishu County, this study can serve as a reference for comparative research, allowing scholars to draw lessons and insights.

### **1.8 Scope of the Study**

Uasin Gishu County has six sub county offices spread all over the county with County government headquarters being situated in Eldoret town. The investigation was limited to the Headquarters of the County Government of Uasin Gishu for logistical and functional reasons. In terms of content scope, the study focused on records management practices within the county executive and county assembly, with particular emphasis on records creation, organization, storage, retrieval, appraisal, preservation, and disposal. The study specifically examined how records are managed at the headquarters level and how these practices support or constrain access to public information relating to departmental activities, development planning, and governance processes. With regard to the methodological scope, the study concentrated on mapping records management processes and information access mechanisms as implemented at the headquarters, drawing insights from senior decision-makers, technical officers, and operational records staff using a mixed-method approach.

### **1.9 Limitations of the Study**

Because records are highly confidential by nature, it was challenging to get people to provide their information while performing conversations. The investigator tried to convince the participants, nevertheless, that the goal was not to look up specific data about records management in the county but rather to interrogate the methods and

systems for maintaining records to evaluate how well they are working and how they promote the attainment of sustainable development in Uasin Gishu County. Another challenge was the generalizability of the study findings to other counties in Kenya. To address this, the study recommends similar studies be replicated in other counties for context-specific evidence.

### **1.10 Assumptions of the Study**

The current study was guided by the following assumptions:

- i. Access to public information is paramount in the achievement of sustainable development in Uasin Gishu County government.
- ii. Uasin Gishu County government creates records during every phase of its operations; however, current records management practices adopted do not ensure access to public information necessary for the attainment of sustainable development.

### **1.11 Operational Definition of Terms**

**Information guidance:** In this study, information guidance refers to the structured policies, procedures, tools, and institutional mechanisms that direct how information is created, classified, accessed, used, and interpreted within UG County Government. It encompasses records management policies, access procedures, classification systems, filing structures, ICT platforms, and staff instructions that enable county officers and the public to

locate, understand, and use official information for decision-making, accountability, and service delivery.

**Sustainable development:** In the context of this study, *sustainable development* denotes the County Government's pursuit of socio-economic, environmental, and institutional progress that meets present development needs without undermining the ability of future generations to meet theirs. Operationally, it is reflected through evidence-based planning, equitable resource allocation, transparent governance, alignment with the CIDP and contribution to the attainment of the SDGs, particularly SDG 16 on access to public information and accountable institutions.

**Public information:** For the purposes of this study, public information refers to official records and data generated, received, and maintained by the Uasin Gishu County Government in the course of its administrative, legislative, financial, and service-delivery functions, which are legally accessible to citizens upon request or through proactive disclosure. This includes development plans, budgets, policies, reports, registers, and other records that enable public participation, oversight, transparency, and informed engagement in county governance.

### **1.12 Chapter Summary**

The present chapter has laid the foundation for the study by presenting an overview of Uasin Gishu County and the critical issues surrounding management of records, sustainable development and access to public information within the county. The chapter highlighted the challenges faced in bridging the gap between policy aspirations and practical implementation, underscoring the importance of this research in addressing these inadequacies. The significance of this study was emphasized for the county government, citizens, civil society, policy makers and scholars.

## **CHAPTER TWO**

### **LITERATURE REVIEW**

#### **2.1 Introduction**

This chapter delves into an extensive review of the existing literature related to managing records, access to public information, and development that is sustainable. It synthesizes key concepts, theoretical frameworks, and empirical studies that provide insights into the intricate relationships among these crucial elements. The literature review examines global and regional perspectives, highlighting best practices, challenges, and lessons learned in similar contexts. Moreover, it explores the theoretical foundations that underpin our study, laying the groundwork for the conceptual framework that will guide our research. The chapter further develops the conceptual model which graphically depicts the linkage among the variables explored in the study. In examining the relevant body of knowledge, Chapter Two informs the development of research questions, and a solid theoretical foundation for the subsequent chapters, facilitating a deeper understanding of the issues and solutions explored in this study.

#### **2.2 Theoretical Framework**

The theoretical review section of this study forms the bedrock upon which the research is built. The study was particularly anchored on two pivotal theoretical frameworks, which are the Records Continuum Model (RCM) and the Process Model of Information Management (PMIM). These frameworks, each with its distinct insights and perspectives, provide a holistic understanding of records management, access to public information, and their intricate relationship with sustainable development.

### **2.2.1 Records Continuum Model**

The Records Continuum Model is a theoretical framework developed by Australian archivist and records management scholar Upward (1992). The central tenet of the RCM is that records are not static, discrete entities but rather exist on a continuum, evolving over time in response to changing contexts and functions (McKemmish, 2001). The model challenges the traditional notion of records as fixed, complete, and unchanging entities, emphasizing the dynamic nature of records and their close connection to organizational activities and processes. Key interconnected and dynamic variables within the RCM include records' creation, capture, classification, access, management, and disposition, all of which are influenced by organizational culture, context, and technology (Upward, 2000).

Records begin their existence with creation and capture during everyday business activities, both intentionally created and incidentally captured as a natural by-product of organizational operations. They are then classified according to organizational systems, reflecting their purpose, function, and value (McKemmish et al., 2010). This classification process is influenced by organizational culture and context. Subsequently, records can be accessed and retrieved by authorized users when needed, which is critical for making informed decisions and supporting business processes (Reed, 2005). As records progress through their lifecycle, they require ongoing management, including preservation, retention, and disposition decisions, to guarantee that they remain authentic, dependable, and practical. Finally, records reach the end of their lifecycle, at which point decisions are made regarding their retention, transfer to archives, or destruction, based on legal requirements and organizational policies. Throughout this continuum, records are shaped by the specific organizational and

cultural context in which they exist, impacting their content, structure, and meaning (Upward, 2005).

Critiques of the RCM often revolve around its complexity and the challenges it poses for practical implementation. Some argue that the model's emphasis on the continuum and the dynamic nature of records can be difficult to translate into concrete records management practices, leading to confusion and uncertainty among practitioners (Reed, 2005). Additionally, the RCM's applicability may vary across different organizational contexts, making it less universal in its approach. Some critics also contend that the model does not provide clear guidance on how to manage records effectively within this continuum, leaving room for ambiguity in implementation (McKemmish et al., 2010).

#### **(i) Relevance of the Records Continuum Model to the Study**

In the context of the present study on the management of records, access to information by the public, and development that is sustainable in Uasin Gishu County, the RCM is highly relevant. RCM is a theoretical framework that views records management as a continuous process, from the creation of records through to their eventual disposition. In the context of the study objectives outlined, the RCM can provide a theoretical grounding for each objective as follows:

The study first sets out to examine the current records management practices in place at Uasin Gishu County. The RCM emphasizes the importance of understanding the entire lifecycle of records, including their creation, use, maintenance, and eventual disposition. This objective aligns with the RCM by focusing on assessing the existing records management practices within Uasin Gishu County, including how records are

created, organized, stored, and accessed. The study also seeks to establish the link between Uasin Gishu CIDP and access to public information for sustainable development of UG County. The RCM recognizes that records are created and used within specific organizational contexts and activities. This objective relates to understanding the development plans and activities of Uasin Gishu County within the broader framework of sustainable development. It involves identifying the types of records generated as part of development planning processes and how these records contribute to the county's goals and objectives.

The study further seeks to analyze the extent of access to public information in Uasin Gishu County. The RCM acknowledges the importance of ensuring that records are accessible to authorized users throughout their lifecycle. This objective aligns with the RCM by focusing on assessing the accessibility of information held by Uasin Gishu County to the public. It involves examining the mechanisms in place for providing access to records and identifying any barriers or challenges to access. The study also seeks to evaluate the effectiveness of records management in ensuring access to public information as a prerequisite for the attainment of sustainable development in the county. The RCM emphasizes the role of records management in facilitating access to information and supporting organizational objectives. This objective involves assessing how well records management practices within Uasin Gishu County contribute to ensuring access to public information, particularly in the context of sustainable development goals. It includes evaluating the efficiency, effectiveness, and adequacy of records management systems and processes in meeting the information needs of stakeholders.

The study further seeks to propose records management strategies that will enhance access to public information held by the county government as a means to promoting sustainable development. The RCM provides a framework for developing comprehensive records management strategies that address the entire lifecycle of records. This objective involves leveraging insights from the RCM to recommend practical strategies for improving records management practices within Uasin Gishu County. It includes identifying areas for improvement, such as enhancing records capture, classification, storage, retrieval, and dissemination, to better support access to public information and contribute to sustainable development goals.

**(ii) Gaps in the use of the Records Continuum Model to the Study**

While the Records Continuum Model (RCM) offers valuable insights and a holistic approach to records management, certain gaps and limitations must be acknowledged in its application to this study. First, the RCM's conceptualization is rooted in a Western, developed-world context, which may not fully capture the unique challenges and contexts of records management in a developing country like Kenya and within a specific county, Uasin Gishu. Cultural, infrastructural, and resource disparities may influence the practical implementation of RCM principles. Second, the RCM's focus on recordkeeping within formal institutions might not fully consider the broader ecosystem of records and information in the county, including the role of informal information flows and community-level practices that impact access to public information and sustainable development.

Further, while the RCM recognizes the dynamic nature of records, it may not provide a nuanced understanding of the impact of rapidly evolving digital technologies and their potential to transform records management and information accessibility within Uasin

Gishu County. Additionally, the RCM might not extensively address the interplay between records management, information security, and public trust, which are crucial elements in the county's journey toward sustainable development. Therefore, while the RCM offers a strong foundational framework for understanding records management, its application to this study should be considered within the context of these potential gaps, necessitating a more comprehensive approach that accounts for local nuances and challenges.

The study acknowledges and addresses these gaps in the application of the RCM by adopting a comprehensive approach that considers local contexts, challenges, and evolving technological landscapes. The following is how the study addresses these gaps. The study recognizes the limitations of applying a Western-centric model like the RCM to a developing country context like Kenya and a specific county such as Uasin Gishu. To address this, the study employs a mixed-methods approach that incorporates qualitative data collection techniques such as interviews, focus groups, and observations. These methods allow for a deeper understanding of the cultural, infrastructural, and resource disparities that may impact records management practices in Uasin Gishu County.

The study also acknowledges that the RCM's focus on formal institutions might overlook the role of informal information flows and community-level practices. To address this gap, the study includes an exploration of informal information-sharing mechanisms and community-level practices that influence access to public information and sustainable development outcomes. This ensures a more holistic understanding of the records and information ecosystem within the county. Recognizing the impact of rapidly evolving digital technologies on records management, the study incorporates an

assessment of the county's digital infrastructure, capabilities, and challenges. This includes an examination of how digital technologies are transforming records management practices and information accessibility within Uasin Gishu County. The study acknowledges that the RCM might not extensively address the interplay between records management, information security, and public trust. To address this gap, the study includes an evaluation of information security measures and their impact on public trust in the county government's handling of information.

### **2.2.2 The Process Model of Information Management**

The Process Model of Information Management (PMIM) offers a complementary approach to addressing the identified gaps in RCM by emphasizing a more procedural, step-by-step understanding of information handling that is adaptable to diverse contexts, including those of developing countries like Kenya. Unlike the RCM, which primarily focuses on the lifecycle of records from a holistic and continuous perspective, the PMIM delineates specific stages of information management—such as creation, capture, organization, storage, dissemination, and disposal—with an emphasis on the processes and workflows that ensure information is efficiently managed and accessible (Khan et al., 2013). This specificity allows for the incorporation of local nuances, infrastructural limitations, and cultural contexts, directly addressing the gap of a Western-centric model. Moreover, PMIM inherently accommodates the integration of digital technologies by focusing on the adaptability of processes to embrace evolving tech landscapes (Davenport & Volpel, 2001), thus offering solutions to rapidly changing digital environments in places like Uasin Gishu County. It also recognizes the importance of informal information flows and the broader ecosystem of records and

information, including community practices, by allowing for flexibility in how information processes are designed and implemented.

The Process Model of Information Management is a theoretical framework proposed by Swedish archivist and records management scholar Choo (1998a). The central tenet of this model is that information management is a dynamic and ongoing process that is integral to an organization's activities, rather than a discrete set of practices or activities (Choo, 1998b). The model emphasizes that information management should be integrated into an organization's core processes, reflecting the interconnected nature of information creation, use, and disposition. Key variables within the Process Model include information creation, information use, and information disposition, all of which are influenced by organizational culture, context, and technology (Davenport & Volpel, 2001).

The model is underpinned by three key variables, including information creation, information use and information disposition. Information is continually created as part of an organization's routine activities, including documentation of decisions, transactions, and communications (Khan et al., 2013). It encompasses both structured data and unstructured content generated in various formats. Information is actively used to support decision-making, business processes, and communication within the organization. It is a valuable resource that informs actions and strategies (Podgórski, 2010). Information disposition involves the decisions made regarding information, including whether it is retained, archived, deleted, or otherwise managed. This variable also encompasses compliance with legal and regulatory requirements related to information retention and disposal (Davenport & Volpel, 2001).

Critics of the PMIM often point to its theoretical nature and the challenges it presents for practical implementation. Some argue that while the model emphasizes the integration of information management into organizational processes, it may not provide clear guidance on how to achieve this integration in real-world settings (Khan et al., 2013). Additionally, the model's emphasis on information as a process rather than a static entity that can make it complex to translate into concrete records management practices, potentially causing confusion among practitioners. Moreover, the model's applicability may vary across different organizational contexts, making it less universally applicable (Podgórski, 2010).

#### **(i) Relevance of the Process Model of Information Management**

In the context of the present study on management of records, access to public information, and development that is sustainable in Uasin Gishu County, the PMIM offers a relevant theoretical framework. The model's emphasis on information as a dynamic and integral aspect of organizational processes aligns with the challenges faced in bridging policy aspirations and practical implementation within the county government. In recognizing the interconnected nature of information creation, use, and disposition, the model provides insights into how effective information management can influence access to public information and, subsequently, sustainable development outcomes. Further, the model's acknowledgment of the organizational culture's influence, context, and technology on information management aligns with the study's focus on the specific challenges and opportunities within Uasin Gishu County's governance and development context.

The Process Model of Information Management is also highly relevant to this study as it offers a comprehensive and systematic framework for understanding how

information flows within an organization and how it is utilized to support decision-making and organizational processes (Svensson & Berg, 2021). In the context of Uasin Gishu County, where efficient records management and access to public information play pivotal roles in the attainment of SDGs, the PMIM's relevance becomes evident. Firstly, the PMIM emphasizes the dynamic and evolving nature of information as it moves through various stages of creation, capture, storage, retrieval, and dissemination. This aligns with the study's objective of examining the present practices of managing records within the County and how they influence the accessibility of public information. The PMIM's focus on information as a resource essential for effective decision-making and service delivery directly pertains to Uasin Gishu County's efforts in ensuring transparent governance and inclusive development.

Moreover, the PMIM recognizes the importance of aligning information management with organizational processes and objectives, ensuring that information supports the achievement of strategic goals. In the County's context, the alignment of records management and information accessibility with SDGs is paramount. The PMIM's emphasis on process efficiency and effectiveness corresponds with the study's aim of evaluating the effectiveness of records management in ensuring access to public information. The model's recognition of the interplay between information, processes, and technology resonates with the study's exploration of how digital archiving systems and technological infrastructure impact public access to vital information in a rapidly evolving information landscape (Oliveira & Souza, 2019). Therefore, the Process Model of Information Management serves as an apt framework for understanding the intricate relationships between records management, access to public information, and

the county's pursuit of sustainable development, providing a valuable theoretical lens for this research.

### **(ii) Gaps in the use of the Process Model of Information Management**

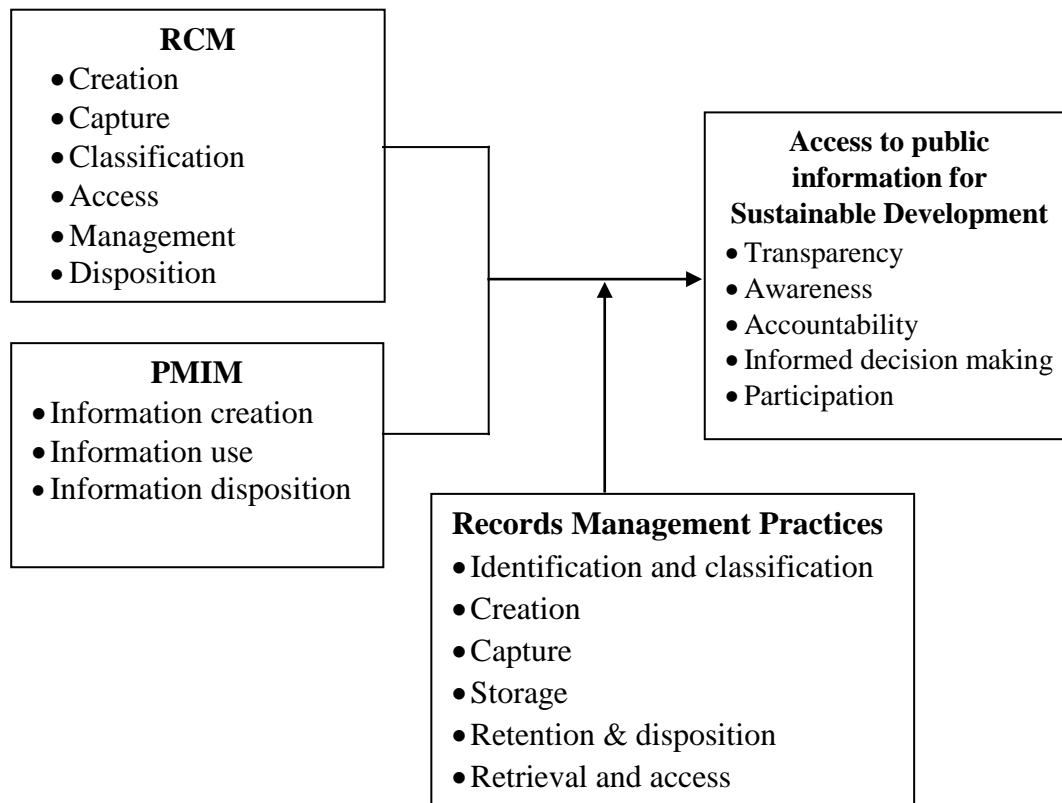
The Process Model of Information Management provides a comprehensive framework for understanding the flow of information within an organization, but it is not without certain gaps when applied to this study. First, the PMIM may not fully address the complexities of information management within a public sector organization operating at the county level in a developing country context (Mehta & Thakur, 2021). The model's origins and primary applications are often found in corporate environments, which can be significantly different from the public administration and governance structures of Uasin Gishu County. Additionally, the PMIM may not sufficiently account for the intricacies of managing information that directly impacts sustainable development goals and access to public information, which are central to the study's focus.

Furthermore, the PMIM's primary emphasis on process efficiency and integration may not fully capture the unique challenges and complexities that public sector organizations face, such as the need for transparency, accountability, and the promotion of public participation in governance. Finally, the model may not fully address the dynamic relationship between technological advancements and information management, particularly in a rapidly evolving digital landscape, which is a key consideration in the study of records management and public information access within Uasin Gishu County. Therefore, while the PMIM provides a valuable framework, its application to this study should consider these gaps, necessitating a comprehensive

approach that accounts for the specific nuances and challenges inherent to the County's context and goals.

### **2.2.3 Conceptual Framework**

The development of a comprehensive theoretical model is pivotal to the study's overall objective of unravelling the intricate relationships between two influential theoretical frameworks, the RCM and the PMIM, and the critical study variables of management of records, sustainable development and access to public information. Anchoring the research in these two distinguished models, the RCM emphasizes the dynamic nature of records within an organizational context, while the PMIM underscores the continuous integration of information management into core organizational processes. In forging a theoretical nexus between these frameworks and the variables, the study aspires to illuminate the complex interplay between effective records management, transparent access to public information, and the overarching pursuit of sustainable development goals. This theoretical model in Figure 2.1 serves as the study's compass, guiding us through an exploratory journey that seeks to uncover the pivotal role of information governance in shaping the trajectory of sustainable development within the unique governance landscape of Uasin Gishu County, Kenya.



*Figure 2.1: Theoretical Model*

*Source: The Researcher (2024)*

### 2.3 Empirical Review

The empirical review section represents the cornerstone of the study, where the section embarks on a comprehensive exploration of past related studies drawn from a spectrum of global, regional, and local contexts. This multifaceted review encompasses a diverse array of research endeavors, each shedding light on the intricate relationships between management of records, access to information by the public, and development that is sustainable. Throughout this review, the study identifies research gaps, recognizing areas where existing studies may have laid the foundation but left room for deeper inquiry and more localized insights. This empirical review sets the stage for this research, leveraging the collective wisdom of past scholarship to guide the exploration of management of records, access to information by the public, and development that is sustainable within the distinctive context of Uasin Gishu County.

### **2.3.1 Records Management Practices**

Smith and Wang (2020) conducted a comparative analysis of records management practices between the United States (US) and Kenya. Their findings revealed marked differences, with the US demonstrating more advanced records management systems. However, a methodological gap was observed as the study primarily relied on quantitative data, leaving room for a more nuanced qualitative analysis, especially in the Kenyan context. Moreover, it didn't delve deeply into the cultural factors influencing records management, which is a significant contextual aspect. Furthermore, the study did not explore the broader conceptual framework linking records management to sustainable development, indicating a conceptual gap that calls for further research.

Brown and Garcia (2019) explored records management practices in Australian corporations. Their study provided valuable insights into the corporate sector, showcasing how well-established records management practices enhance organizational efficiency. However, it did not delve into the government context, leaving a methodological gap in terms of comparative analysis. Additionally, it lacked discussions on management of records challenges in the public sector, a contextual gap that is significant for a thorough comprehension of managing record. Furthermore, the study did not consider the sustainable development perspective, highlighting the need for future research to explore this crucial linkage.

In a study on records management in developing countries with reference to Nigeria, Okon and Kim (2021) focused on records management practices in Nigeria. Their findings shed light on the challenges faced by developing countries in establishing robust records management systems. While the study provided valuable insights into

the Nigerian context, it exhibited a methodological gap as it did not compare records management practices in developing countries with those in developed countries. The study also lacked a broader regional perspective, which could have enriched the contextual understanding of records management challenges. Moreover, it did not explore the relationship between managing records and sustainable development, indicating a conceptual gap that calls for further investigation.

Smith and Chen's (2018) comparative study on electronic records management practices in government with reference to Canada and Sweden examined electronic record management practices in government organizations. Their findings demonstrated that both Canada and Sweden had made significant strides in adopting electronic records management systems. Although the study offered valuable insights, it had a methodological gap as it primarily relied on quantitative data from the Canadian context, leaving a need for more in-depth qualitative analysis. Furthermore, it did not consider insights from developing countries, creating a contextual gap in the research. The study also did not delve deeply into sustainable development aspects related to records management, indicating a conceptual gap that warrants further exploration.

Kim and Martinez (2022) examined records management practices in local government settings with reference to the United States, Australia, and India. Their findings revealed differences in records management practices among the studied countries, with the United States and Australia exhibiting more advanced systems. The study offered valuable comparative insights, but it had a methodological gap as it lacked in-depth case studies from India. Moreover, it did not provide a broader representation of practices of managing records in other emerging economies, which is essential to

contextualize findings. Additionally, the study did not comprehensively explore the sustainable development dimensions of records management, highlighting the need for further research in this area.

Haruki and Nakamura (2023) conducted a comparative analysis of the United Kingdom and Japanese corporations' practices of managing records. Their results unveiled that Japanese corporations had well-established practices of managing records, comparable to those in the United Kingdom. While the study offered comparative insights, it exhibited a methodological gap by not including in-depth qualitative data from the United Kingdom. Additionally, it did not consider the government sector, which is vital for a comprehensive understanding of practices of managing records. Furthermore, the study did not extensively discuss the role of records management in sustainable development, indicating a conceptual gap that warrants further exploration.

White and Santos (2022) examined records management practices within European Union (EU) institutions. Their research found that larger EU institutions had more comprehensive records management systems compared to smaller ones. While the study provided valuable insights, it had a methodological gap as it did not include insights from smaller EU institutions, leaving potential variations unexplored. Furthermore, it could benefit from a broader contextual perspective beyond the EU. Additionally, the study did not delve deeply into sustainable development dimensions, creating an opportunity for future research to investigate this critical linkage.

In a case study conducted by Johnson and Ndlovu (2021), the difficulties with keeping records in the South African government sector were examined. Their findings highlighted various challenges, including inadequate infrastructure and limited

resources. While it provided valuable case studies, it exhibited a methodological gap as it primarily focused on quantitative data analysis. Additionally, the study lacked a comparative perspective with developed countries, representing a contextual gap in understanding records management practices. Furthermore, it did not extensively discuss the role of records management in sustainable development, indicating a conceptual gap that requires further investigation.

In Kenya, Nyamwamu (2018) investigated the records management procedures used by Kenya Reinsurance Corporation Limited in the oversight of public institutions. Data was gathered using a combination of qualitative and quantitative methodologies, as well as the RCM theoretical model. The subject of the study comprised of 150 employees. A total of 50 staff members made up the investigation's sample. According to the investigation's findings, categorization and referencing are the most crucial records management procedures used to make information within the company easily accessible. The study however fails to link the records management practices to access to public information, presenting a conceptual gap.

### **2.3.2 Records Management and Access to Public Information**

Anderson and Williams (2021) utilized qualitative interviews and content analysis to compare records management practices and their impact on public access in South Africa and the United States. Findings revealed disparities in management of records infrastructure, with the United States having advanced systems. South Africa faced challenges due to resource constraints. Access to public information was better facilitated in the United States. Methodologically, more quantitative data would strengthen the findings. Contextually, broader representation from other developing

countries is needed. Conceptually, the study did not extensively explore the sustainable development dimensions of records management.

Garcia and Patel (2020) employed a mixed-method approach, combining surveys and document analysis to assess public access to government information in India. The study found that while India had made progress in digitizing records, challenges in retrieval and public access persisted due to bureaucratic barriers. The need for standardized records management practices was evident. Methodologically, in-depth qualitative interviews with government officials would have added depth. Contextually, comparative insights with other developing countries are necessary. There was no explicit conceptual linkage in the study between records management and sustainable development.

Oliveira and Souza (2019) employed a comparative case study methodology employing document analysis and interviews to assess electronic records management practices in the United States and Brazil. The research identified variations in electronic records management maturity, with the United States having more robust systems. Brazil faced challenges in policy implementation and resources, affecting public access. Methodologically, quantitative data would have complemented qualitative findings. Contextually, a broader range of developing countries could provide more insights. Conceptually, the study did not explicitly explore the sustainable development implications of records management.

Kei and Asahi (2022) employed a comparative analysis using document analysis and expert interviews to assess managing records in the context of initiatives on open government information in Japan and the United Kingdom. The research found that both countries had advanced records management systems, but differences in open

government data initiatives affected public access. Japan had a more centralized approach, while the UK emphasized transparency. Methodologically, including citizen perspectives would enhance the study. Contextually, insights from other developed and developing countries are needed. The study did not explicitly define how records management connects to sustainable development.

Mehta and Thakur (2021) employed a comparative case study approach, combining interviews and document analysis to assess practices in managing records in local government settings in Japan, India, and Kenya. The study revealed variations in records management practices and challenges across these countries. While Japan had well-structured systems, India and Kenya faced resource constraints affecting public access. Methodologically, more quantitative data could provide a comprehensive understanding. Contextually, insights from other developing countries are necessary. Conceptual ties between records management and sustainable development were not clearly articulated in the study.

Schneider and Fischer (2020) employed a comparative analysis using surveys and interviews to evaluate the linkage between management of records and citizen engagement in Germany and Brazil. The research found that while Germany had robust records management systems that facilitated citizen engagement, Brazil faced challenges in records management, affecting public access and engagement. Methodologically, including government officials' perspectives would enhance the study. Contextually, insights from other developing countries are needed. The study failed to directly relate records management to sustainable development at the conceptual level.

Tan and Lin (2018) employed a comparative case study approach, utilizing interviews and document analysis to assess practices of managing records in the setting of digital transformation in the United States and Singapore. The investigation revealed that both countries had embraced digital transformation, but the United States had more mature records management practices. This influenced access to public information. Methodologically, a quantitative survey could complement qualitative findings. Contextually, insights from other developed and developing countries are necessary.

Bakare and Abioye (2021) utilized a mixed-method approach involving surveys, interviews, and document analysis to investigate records management and public access in Nigeria. The research revealed significant challenges in records management practices in Nigeria, affecting access to public information. Resource constraints and policy implementation gaps were evident. Methodologically, more quantitative data could strengthen the findings. Contextually, comparative insights with other developing countries are necessary. The study did not also clearly establish a connection between records management and sustainable development.

In Kenya, Maina (2022) studied the utility of management of records in service delivery of Uasin Gishu County. Employing the descriptive design, the study's main conclusions showed that Uasin Gishu County produced a great deal of documents on paper. At the county administrative center, records management was in disrepair and service delivery procedures were subpar. The investigation came to the conclusion that the government of the county was ineffective at achieving its goals because bad records management had led to poor provision of services. The study however presents a conceptual gap having broadly focused on services delivery, which overlooks the much more nuanced access to public information, necessitating the present study.

### **2.3.3 Access to Public Information and Sustainable Development**

Svensson and Berg (2021) used a mixed-method approach, combining surveys and qualitative interviews, to assess the impact of access to public information on sustainable development in Sweden and Kenya. Findings revealed that Sweden, with its robust information access policies, had more effective outcomes in terms of sustainable development. In contrast, Kenya faced challenges related to infrastructure and policy implementation, impacting its sustainable development efforts. Methodologically, a broader range of data sources could enhance the study. Contextually, comparative insights from more developing countries are needed. The study did not also offer a clear conceptual framework linking records management to sustainable development.

Ferreira and Lima (2020) employed a comparative case study approach, combining content analysis and interviews, to assess transparency and information access in the setting of sustainable development in the United States and Brazil. The investigation found that the United States had well-established transparency mechanisms, contributing to more effective sustainable development outcomes. Brazil faced challenges in transparency and public access, affecting its sustainable development goals. Methodologically, including a broader range of stakeholders' perspectives could enrich the findings. Contextually, insights from other developing countries are necessary. A direct conceptual relationship between records management and sustainable development was absent in the study.

Müller and Meyer (2019) utilized a mixed-method approach, involving surveys and document analysis, to assess information accessibility and its impact on sustainable development in Germany and India. The research found that Germany's robust information accessibility mechanisms contributed to effective sustainable development

outcomes. India faced challenges related to information infrastructure, affecting its progress in sustainable development. Methodologically, including more qualitative data from stakeholders could enhance the study. Contextually, comparative insights from other developing countries are needed. The study did not make an explicit conceptual connection between records management and sustainable development.

Sora and Aoki (2021) utilized a comparative case study approach, combining surveys and interviews, to assess local governance, information accessibility, and their impact on sustainable development in India and Kenya. The study revealed variations in local governance practices and information accessibility across these countries. Effective information accessibility in India contributed to more sustainable development outcomes, while Kenya faced challenges. Methodologically, incorporating community perspectives could enrich the study. Contextually, insights from other developing countries are necessary. It lacked a clear theoretical association between records management and sustainable development.

Kim and Smith (2020) employed a comparative analysis using surveys and document analysis to investigate the relationships between transparency, accountability, and sustainable development in the United States and South Africa. The research found that the United States' robust transparency and accountability mechanisms contributed to effective sustainable development outcomes. South Africa faced challenges related to accountability, affecting its sustainable development. While this study employed surveys and document analysis, it did not include qualitative interviews with government officials and citizens. Incorporating their perspectives would provide a more comprehensive understanding of the relationships between transparency, accountability, information access, and sustainable development. While the study

explored transparency and accountability, it did not explicitly delve into the importance of managing records in facilitating being accountable, openness, and information availability to the general public. Incorporating records management as a conceptual dimension would enhance the study's depth and relevance to the field.

Nkosi and Mahlangu (2022) employed a comparative analysis using surveys and interviews to assess the relationship between citizen engagement, information access, and sustainable development in Japan and South Africa. The research found that Japan's citizen engagement mechanisms and information access contributed to effective sustainable development outcomes. South Africa faced challenges in citizen engagement and public access, affecting its progress in sustainable development. Methodologically, including government officials' perspectives could enhance the study. Contextually, insights from other developing countries are needed. The study did not conceptually demonstrate how records management supports sustainable development.

Chike and Mensa (2021) employed a comparative analysis using surveys and interviews to investigate the impact of open data on sustainable development in the United Kingdom and Ghana. The study revealed that the United Kingdom's open data initiatives played a significant role in sustainable development by promoting transparency and public engagement. Ghana faced challenges in open data implementation, affecting its sustainable development goals. Methodologically, incorporating data from marginalized communities could strengthen the study. Contextually, insights from other developing countries are necessary. Conceptually, the study could explore the link between records management and open data for sustainable development.

In Kenya, Gitegi and Iravo (2016) set out to identify the elements influencing public involvement in efficient devolved administration in Uasin Gishu County. The county's Transitional Authority Administrator and stratified random selection were used to choose the 105 Uasin Gishu County inhabitants for the purpose of the investigation. According to the investigation's results, citizen ability to obtain information, citizen awareness of public involvement, and county administrations' responsiveness to the needs of the public all had an impact on public engagement. While the study demonstrates the importance of access to information by citizens, the study fails to link the concept of records management, presenting a conceptual gap.

#### **2.4 Research Gaps**

The empirical literature reviewed reveals several persistent gaps that necessitated the present study. First, although numerous studies have examined records management practices across developed and developing contexts, most focus either on corporate settings or national-level institutions, with limited county-level evidence from devolved governments in Kenya, and even fewer studies offering in-depth case analysis of a single county such as Uasin Gishu (Smith & Wang, 2020; Brown & Garcia, 2019; Kim & Martinez, 2022).

A clear conceptual gap also emerges across much of the literature, where records management is examined in isolation from access to public information or sustainable development, despite the growing policy emphasis on transparency, accountability, and SDG 16 (Nyamwamu, 2018; Schneider & Fischer, 2020; Bakare & Abioye, 2021). Third, many comparative and international studies privilege developed-country contexts, leaving developing-country realities underexplored or treated superficially (Okon & Kim, 2021; Oliveira & Souza, 2019; Mehta & Thakur, 2021). Fourth,

methodological gaps are evident, as several studies rely predominantly on either quantitative surveys or document analysis, with limited integration of mixed methods that combine institutional perspectives, practitioner insights, and contextual observation (Smith & Chen, 2018; Anderson & Williams, 2021; Svensson & Berg, 2021).

Further, Kenyan studies tend to focus narrowly on service delivery or public participation, without explicitly examining how records management systems enable or constrain access to public information as a prerequisite for sustainable development (Maina, 2022; Gitegi & Iravo, 2016). In response to these gaps, the present study adopts a mixed-methods approach grounded in records management and information management theories, focuses explicitly on Uasin Gishu County as a devolved unit, and systematically examines the interrelationship between records management practices, access to public information, and sustainable development, thereby providing localized, theory-informed, and policy-relevant evidence that is largely absent from existing scholarship.

## **2.5 Chapter Summary**

This section has critically examined and synthesized the extant literature relevant to the research topic. Drawing on a comprehensive selection of theoretical models and empirical studies, it explored the concepts of management of records, sustainable development and access to public information. The review encompassed studies conducted in both advanced and emerging contexts, providing insights into records management practices, information accessibility, and sustainable development outcomes. Additionally, it identified methodological, contextual, and conceptual gaps in the literature, paving the way for the research to address these limitations and contribute to the field. The following chapter delves into the research methodology.

## **CHAPTER THREE**

### **RESEARCH METHODOLOGY**

#### **3.1 Introduction**

This chapter outlines the blueprint that guided the study through the investigation on leveraging records management in ensuring access to public information for sustainable development in Uasin Gishu County, Kenya. The chapter entails the research paradigm that this study is grounded on and the research design which provides the study's strategy. It then provides insights into the population under scrutiny and the strategy employed to select a representative sample. The chapter further delves into the data collection methods, elucidating how the study intends to gather the information required to address the research objectives. The chapter also sheds light on the procedures employed in data collection, after which it unveils the significance of a pilot study in ensuring the validity and reliability of the instruments. The chapter also covers data analysis techniques that unearthed valuable insights from the collected data. Lastly, in adherence to ethical standards, the chapter considers the ethical implications of the study. As such, this chapter serves as the compass guiding the study through the research landscape, ensuring that the study is methodologically robust and ethically sound.

#### **3.2 Research Paradigm**

Research approaches encompass diverse ontological and epistemological orientations that underpin the fundamental convictions regarding the character of existence and the ways in which knowledge is constructed. There are various world views that guide how research is conducted which include positivism, interpretivism, pragmatism, post-positivism, critical theory, postmodernism and participatory/action research paradigm.

Positivism, rooted in a realist ontology and empirical epistemology, assumes an objective reality that exists independently of human perception and can be quantified through empirical observation (Clark et al., 2021). On the other hand, interpretivism, grounded in a constructivist ontology and hermeneutic epistemology, contends that the social fabrication of reality and that understanding the subjective meanings attributed by individuals is vital to knowledge creation (Bell et al., 2019). Pragmatism, with a pluralist ontology and practical epistemology, emphasizes the usefulness of different research methods to solve specific problems, combining elements of both positivism and interpretivism (Cooper & Schindler, 2018).

Post-Positivism builds on positivism but acknowledges that reality can never be fully understood with absolute certainty. It incorporates both quantitative and qualitative methods, recognizing that research is influenced by biases and limitations in measurement. This paradigm is often used in social science research where objectivity is sought but with a recognition of human subjectivity, such as studying employee retention strategies using structured questionnaires and interviews (Clark et al., 2021). Critical Theory examines power structures, inequalities, and the need for social transformation. It often employs qualitative approaches such as discourse analysis and ethnography to critique dominant ideologies and advocate for marginalized groups. Research within this paradigm is activist-oriented, for example, investigating how economic policies impact marginalized communities and proposing alternative frameworks for social justice (Bell et al., 2019).

Postmodernism challenges grand narratives and absolute truths, emphasizing multiple realities and subjective experiences. It employs methods such as narrative analysis, discourse analysis, and ethnography to deconstruct dominant ideologies. This paradigm

is particularly useful in exploring complex socio-cultural issues, such as analyzing the discourse surrounding climate change policies in Kenya and how different stakeholders interpret them (Saunders et al., 2019). Feminist Paradigm centers on gendered experiences, social justice, and the power dynamics that shape research and society. It uses qualitative methods like feminist ethnography and participatory research to challenge traditional perspectives and amplify marginalized voices. An example of research within this paradigm is studying gender diversity on corporate boards and its influence on decision-making and performance (Collis & Hussey, 2021). Participatory/Action Research Paradigm involves collaboration between researchers and participants to create knowledge and drive social change. It prioritizes engagement, reflection, and action, often using qualitative and participatory methods such as workshops and community-based research. This paradigm is common in grassroots development projects, such as working with farmers to develop sustainable agricultural practices and improve productivity (Kothari, 2019).

This study was anchored on the pragmatism research paradigm, as it sought to adopt the mixed methods approach, which combines both quantitative and qualitative methods in line with both positivism and interpretivism respectively. The selection of the pragmatic research paradigm in this study is justifiable and well-suited to address the complex nature of the research questions and objectives. The pragmatic paradigm, often considered a fusion of positivist and interpretivist paradigms, recognizes the need for both quantitative and qualitative approaches to investigate multifaceted phenomena comprehensively (Kothari, 2019). Firstly, the study involves a multifaceted inquiry into practices in managing records, access to information, and their implications for sustainable development in Uasin Gishu County. A pragmatic paradigm allows for the

integration of various research methods, such as surveys, interviews, and observations. This versatility enables a more holistic examination of the topic, considering the quantitative data obtained through surveys and the qualitative insights gathered through interviews. As records management and its link to sustainable development encompass a wide range of variables, this paradigm accommodates the diversity of information sources necessary for an in-depth exploration (Saunders et al., 2019).

Secondly, the pragmatic paradigm aligns with the applied nature of the study. The research seeks to offer practical recommendations for policy and practice, addressing the records management challenges and fostering better access to information. Adopting this paradigm, the study prioritizes the application of findings in real-world scenarios. The pragmatic paradigm encourages researchers to produce actionable insights by acknowledging the dynamic relationship between theory and practice, bridging the gap between academic research and practical implications (Collis & Hussey, 2021). Lastly, the use of the pragmatic paradigm in this study corresponds to the context-specific nature of the research. Uasin Gishu County presents a unique environment with its own challenges and needs regarding records management and sustainable development. The pragmatic paradigm accommodates the local context and emphasizes the relevance of research findings to the specific setting in which the study takes place. This paradigm recognizes that knowledge generation should be responsive to the context's particular requirements, and in this case, the study seeks to provide tailored recommendations and strategies to deal with the difficulties the County is facing (Kothari, 2019).

### **3.3 Research Approach**

Seminal scholarly works (Kothari, 2019; Bell et al., 2019; Clark et al., 2021) identify three key research approaches that is including mixed methods research (MMR), qualitative research, and quantitative research. This research employed the explanatory sequential MMR approach, having combined both qualitative and quantitative techniques. Quantitative methods involved the collection of numerical data using structured questions, while qualitative methods involved both in-depth interviews and open-ended questionnaire items for a nuanced understanding of access to information, managing records and their impact on sustainable development in Uasin Gishu County. The mixed methods component integrates both approaches, allowing for triangulation and a comprehensive exploration of the research problem. According to Saunders et al. (2019), this approach enhances the validity and reliability of the findings, supports deeper exploration, and aligns with the study's pragmatic goal of providing practical recommendations for managing records in the sustainable development context. The MMR approach is elaborated in the following section.

#### **3.3.1 Mixed Methods Research**

The utilization of the explanatory sequential MMR approach in this study is well-justified, given the research study multifaceted nature and the need to gain a comprehensive understanding of records management practices, access to information, and their impact on sustainable development in Uasin Gishu County. An explanatory sequential MMR approach involves combining qualitative as well as quantitative study techniques, which, in this context, provides distinct advantages (Bell et al., 2019).

Firstly, the explanatory sequential MMR approach allows for triangulation, which enhances the validity and reliability of the findings. Utilizing both qualitative

interviews and quantitative surveys, the study leverages the strengths of each method to cross-validate the results. For instance, the quantitative surveys provide numerical data, such as mean scores and standard deviations, offering statistical insights into respondents' perceptions. Meanwhile, qualitative interviews delve deeper into the nuances of records management practices and access to information, providing rich contextual information. Combining these data sources, the study achieves a more comprehensive and robust analysis (Creswell & Plano Clark, 2017).

Secondly, the explanatory sequential MMR approach facilitates a deeper exploration of the research problem by capitalizing on the complementary nature of qualitative and quantitative methods. The quantitative surveys yield statistical evidence and trends that can be quantified, which helps in assessing the prevalence of certain perceptions and practices. Meanwhile, qualitative interviews provide a more nuanced understanding of the underlying reasons, motivations, and challenges related to records management and access to information. This holistic approach allows for a deeper understanding of the interplay between records management and sustainable development, capturing both the "what" and the "why" (Tashakkori & Teddlie, 2010).

Lastly, the use of explanatory sequential MMR aligns with the pragmatic nature of the study, focusing on practical recommendations. Combining data from both quantitative and qualitative sources assists in producing actionable insights that cater to both policy and practice. The study seeks to provide recommendations for enhanced managing records, promoting access to public information, and supporting sustainable development in Uasin Gishu County. The explanatory sequential MMR approach ensures that these recommendations are informed by both empirical evidence and

contextual insights, reinforcing the study's relevance to the County's specific needs (Saunders et al. (2019).

### **3.4 Research Design**

The current study adopted an intrinsic case study design to conduct an in-depth exploration of records management practices and access to public information in Uasin Gishu County. An intrinsic case study is used when a researcher seeks to understand a specific case due to its unique characteristics rather than for generalization purposes (Tashakkori & Teddlie, 2010). In this context, Uasin Gishu County was chosen due to its governance structure, the significance of records management in service delivery, and the necessity to examine its compliance with national and international records management standards. Unlike instrumental case studies, which aim to develop broader theories, this study was primarily concerned with gaining rich, contextual insights into the county's records management system, its effectiveness, and the challenges affecting access to public information (Creswell & Clark, 2017).

The intrinsic case study design was particularly suitable because it facilitated a detailed and context-sensitive investigation of records creation, maintenance, use, appraisal, disposition, and preservation within the county. Given that records management is deeply embedded in institutional structures and regulatory frameworks, understanding the unique operational environment of Uasin Gishu County was essential. The study benefited from this approach by allowing a comprehensive analysis of both administrative and technical aspects of records management. The use of qualitative methods, including interviews, document reviews, and observations, enabled the collection of rich, descriptive data, which provided insights into the strengths and gaps in records management policies and practices. This holistic approach was instrumental

in evaluating the extent to which the county government ensures transparency, accountability, and access to public information (Ivankova et al., 2006).

Further, this design was justified by the need to examine context-specific challenges and opportunities in records management, which might not be captured through other research methodologies such as surveys or experimental designs. The findings from Uasin Gishu County could serve as a benchmark for improving records management practices within the county itself, rather than being applied to other counties in Kenya. The study's focus on policy implementation, digital transformation, and stakeholder engagement required a method that could accommodate multiple perspectives and intricate institutional dynamics. Adopting an intrinsic case study design, the study was able to present a detailed, nuanced, and practical assessment of records management in Uasin Gishu County, ultimately contributing to policy recommendations for enhancing public information access and sustainable development.

### **3.5 Study Population**

The target population denotes to the specific group of entities or individuals that the investigation sets out to investigate and from which the research sample is drawn (Tashakkori & Teddlie, 2010). In relation to the present investigation, the target population encompassed key stakeholders within Uasin Gishu County, Kenya, representing both the County Executive and the County Assembly. The County Executive consists of County Executive Committee (CECs) members, County Chief Officers (COs), Records Officers, and Clerical Officers who play pivotal roles in the governance, administration, and records management processes within the county government. COs, Records Officers, and Clerical Officers, who serve as the custodians and facilitators of public access to records, were included as county staff responsible

for receiving, processing, and responding to public information requests. This ensured that both public-facing and institutional perspectives on access to public information were adequately captured.

Members of the public were included in the study indirectly through Members of County Assembly (MCAs), who act as constitutionally mandated representatives of citizens and routinely interface with public information requests during legislation, oversight, and public participation forums. Further, COs serve as representatives of the public by virtue of their roles and the rigorous process through which they are appointed. They are accountable to the County Executive Committee Members, who are themselves part of the executive arm vested with authority by the people through their elected county governor and deputy governor. This comprehensive target population ensures that the research captures insights and perspectives from key actors across the county's administrative and legislative domains. Table 3.1 breaks down the target population.

**Table 3.1: Population of the Study**

<b>Category of staff</b>	<b>Population</b>
County Executive Committee Members (CECs)	10
County Chief Officers (COs)	15
Members of County Assembly (MCAs)	30
Records Management Officers	17
Records clerks (Clerical Officers)	38
<b>Total Population</b>	<b>110</b>

(Source: Uasin Gishu County Website, 2019)

From the Table 3.1, all the investigation's participants were placed in the Uasin Gishu County Headquarters in Eldoret. CECs were chosen for the investigation given that the subjects were well versed on matters of development since they provide supervision of the administration in the county and all decentralized units and agencies in the county. COs were selected for this study since they are the chief accounting officers of their respective departments thus responsible for among other tasks disbursement of funds for the projects approved and budgeted for. MCAs are elected representatives and their role is legislation and in the context of this study, they were chosen as a representation of the people of Uasin Gishu. Records Management Officers are staff who possess specialized instruction in handling records at the degree, diploma, or certificate, levels. This group of employees provides assistance for the management and oversight of registry operations and protocols. As a result, they guarantee that work proceeds smoothly in the databases. The different documentation management divisions employ clerical officers who are in charge of storing daily communications into the proper files, retrieving and distributing files to the proper action officers, and providing customer support.

In the study, the element of 'public' in access to public information was observed by including MCAs and CECs in the research process. MCAs and CECs are elected representatives who play a pivotal role in representing the interests of the public, making laws, overseeing government activities, and driving development initiatives at the county level (Ochieng, 2020). In involving these stakeholders in the study, the research ensured that the perspectives and insights of those directly involved in governance and decision-making processes were considered, thereby enhancing the relevance and applicability of the study's findings to the broader public. Previous studies have also recognized the importance of involving elected representatives in

research related to governance and access to public information (Tufte, 2014). In the context of Kenya's decentralized governance structure, MCAs serve as a crucial link between the government and the citizens they represent, making their inclusion in research endeavors essential for promoting transparency, accountability, and citizen engagement (Mokua, 2013).

### **3.6 Sampling Procedure**

Sampling is the procedure of identifying a portion or a representative group from a greater population or target population with a view to undertaking research (Saunders et al., 2019). The primary goal of sampling is to draw valid conclusions about the larger population by studying a smaller, manageable subset of it (Kumar, 2018). In the case of this study, the total population of interest, comprising both the Uasin Gishu County Executive and the County Assembly, was comparatively small. Considering the comparatively manageable population size, the investigation adopted a census inquiry approach, wherein the entire population was considered, and every eligible member of the population was included in the research (Aina and Ajiferuke, 2002; MacDonald, 2020).

The census survey sampling procedure, in this context, involved identifying and listing all eligible individuals within the County Executive and County Assembly. This process commenced with the compilation of a comprehensive roster of all CECs, Chief Officers, Records Officers, and Clerical Officers within the County Executive, as well as all the MCAs within the County Assembly. Once the roster was established, the researcher proceeded to contact and invite all listed individuals to participate in the study, ensuring that every eligible member of the population had the opportunity to provide their insights and perspectives. This census approach was chosen to maximize

the representation of key stakeholders and obtain a comprehensive view of the research phenomena within the specific context of Uasin Gishu County.

### **3.7 Data Collection Techniques**

The methodical approaches and tools used to gather knowledge or information for the purpose of research are referred to as data collecting techniques (Creswell & Guetterman, 2019). Within the pragmatism paradigm, which emphasizes the four main data collection techniques were utilized in this study, which include semi-structured questionnaires, in-depth interviews, observations and documentary review (Bryman & Bell, 2017). These data collection techniques were chosen to facilitate a holistic and nuanced exploration of the research phenomena while aligning with the pragmatism paradigm's emphasis on a mix of both quantitative and and qualitative data.

#### **3.7.1 Semi-Structured Questionnaires**

Semi-structured questionnaires were administered to Chief Officers, Records Management Officers, Clerical Officers and Members of the County Assembly. Records Management Officers and Records Clerks were included as respondents through structured questionnaires, which was appropriate given their large numbers and operational roles across departments. This approach enabled the study to capture standardised, system-wide evidence on records creation, access, storage, appraisal, and preservation.

Defined as a data collection method that combines elements of both structured and open-ended questions, offering a flexible and standardized approach to gathering information (Kumar, 2018), semi-structured questionnaires are justified for a number of reasons. These questionnaires ensured a consistent set of core questions for all participants, facilitating standardized data collection and efficient comparative analyses

(Creswell & Guetterman, 2019). The structured nature of questionnaire responses also enabled the study to employ quantitative data analysis methods, making it suitable for exploring patterns and trends in the perceptions and experiences of key stakeholders within the County Executive of Uasin Gishu County. Furthermore, the flexibility of semi-structured questionnaires allowed participants to provide additional context and detail, enriching the data with nuanced insights relevant to the study's focus on managing records, sustainable development and access to public information. This method's efficiency in reaching a sizable number of participants further made it well-suited for comprehensive data collection, ensuring a holistic exploration of the research phenomena.

### **3.7.2 In-depth Interviews**

In-depth Interviews were administered to CECs as strategic decision-makers whose roles involve policy formulation, budget allocation, and institutional oversight of records management, thereby complementing operational data with governance-level insights. The decision was further informed by the study's focus on institutional capacity, policy alignment, and strategic governance of records management. CECs oversee sectoral policy direction, approve development plans, and allocate resources that directly shape records management systems and access to public information. Interviewing CECs therefore enabled the study to capture strategic and cross-departmental insights, while operational perspectives from records management officers were systematically captured through questionnaires.

The choice of in-depth interviews as a data collection technique in this study is well-justified for several compelling reasons. Firstly, in-depth interviews allow for a deep exploration of the intricate and context-specific dynamics surrounding managing

records, sustainable development and information access to the public in Uasin Gishu County. Through open and exploratory dialogues, the study uncovered not only what these stakeholders know but also how they interpret and make meaning of records, access to public information access, and their role in the county's sustainable development efforts.

Secondly, in-depth interviews offered the flexibility needed to adapt to the specific context of Uasin Gishu County, where cultural, political, and economic factors may influence the perceptions and practices related to records management and information access. This method allowed for the customization of interview questions to suit the participants' backgrounds and roles, ensuring that the data collected are contextually relevant and sensitive to the local dynamics (Kumar, 2018). Moreover, interviews provided the opportunity for individuals who were encouraged to voice their opinions in their own distinctive terms, allowing for the exploration of subtle nuances and the uncovering of rich, context-specific insights that may not be accessible through other data collection methods.

### **3.7.3 Observations**

The inclusion of observations as a data collection technique in this study is well-justified and contributes to the holistic exploration of managing records, sustainable development and information access to the public within Uasin Gishu County. Firstly, observations allow researchers to directly witness and document activities, behaviors, and practices in their natural context, providing valuable contextual insights that complement and enrich data obtained through interviews and document reviews (Tashakkori & Teddlie, 2010). In relation to the present investigation, observations enabled the researcher to gain an in-depth understanding of how records are managed

and accessed within the county government's day-to-day operations. Researchers observed the actual processes, workflows, and challenges faced by records officers, clerical staff, and other relevant personnel. For instance, the researcher witnessed the handling of physical records, the use of electronic recordkeeping systems, and the interactions between individuals and records within various county government departments. This firsthand knowledge allowed for a comprehensive exploration of the practical aspects of records management and its implications for access to public information and sustainable development initiatives.

Secondly, observations provide an opportunity to uncover tacit knowledge and non-verbal cues that may not be fully captured through interviews or document analysis alone (Sekaran & Bougie, 2019). Within the county government setting, unspoken practices, informal interactions, and non-verbal communication had a big impact on how managing records was done, behaviors and information access patterns. Observations enabled the researcher to detect nuances, patterns, and cultural aspects that might be difficult to articulate verbally but are crucial in understanding the lived experiences of individuals within the county government. For example, the researcher observed how records are organized, stored, or accessed, as well as the level of cooperation and collaboration among staff members. These subtle details contributed to a more nuanced and holistic comprehension of the research phenomena.

Lastly, the choice of observations aligns with the pragmatism paradigm's emphasis on understanding social phenomena in their natural context. In immersing themselves in the county government environment and observing records management practices and information access behaviors firsthand, the researcher gained a deeper appreciation of the unique sociocultural and institutional factors that influence these processes within

Uasin Gishu County. Observations enhanced the study's contextual sensitivity and allowed for the exploration of the dynamic and evolving nature of records management and information access, acknowledging that these phenomena are influenced by local context, practices, and interactions.

#### **3.7.4 Documentary Review**

Finally, documentary review involved a thorough examination of official documents, reports, policies, and records related to records management and sustainable development in the county, enabling a comprehensive analysis of the existing documentation and its implications on sustainable development initiatives and access to public information. The inclusion of documentary review as a data collection technique in this study was highly justified, as it contributed a valuable dimension to the exploration of managing records, sustainable development and information access to the public in Uasin Gishu County.

Firstly, documentary review allows researchers to access a wealth of existing official documents, records, policies, reports, and other written materials related to records management and sustainable development within the county government (Bryman & Bell, 2017). These documents serve as essential artifacts that provide insights into the formalized practices, regulations, and strategies employed by the government in managing records and promoting sustainable development initiatives. Systematically reviewing these documents, the researcher identified and analyzed the policies and guidelines governing management of records, assess the transparency and openness of the county government in providing information access, and examine the alignment of practices in the management of records with sustainable development goals (Bell et al., 2019). Additionally, documentary review enables the study to track historical

developments, trace the evolution of records management practices, and discern any changes or trends in the county's approach to information accessibility and sustainable development planning (Clark et al., 2021).

Secondly, the use of documentary review complements the qualitative data obtained through interviews and observations by providing an objective and documented source of information (Cooper & Schindler, 2018). While interviews and observations captured the subjective perspectives and behaviors of individuals, document analysis offered an objective and verifiable basis for understanding the official stance, procedures, and documentation systems within the county government (Kothari, 2019). This triangulation of information sources improved the credibility and validity of the study's findings, allowing for a more thorough and reliable examination of the study's issues. Furthermore, documentary review allows for the inclusion of historical and policy context, shedding light on the factors that have shaped records management and access to public information practices over time (Saunders et al., 2019).

Lastly, documentary review aligns with the pragmatism paradigm's emphasis on context and meaning-making (Kumar, 2018). The official documents produced by the county government represent institutionalized knowledge and practices, reflecting the government's official stance on records management, information access, and sustainable development. In examining these documents, the study gained insight into the formal narratives, objectives, and priorities set by the county government, providing a critical backdrop against which the perceptions and experiences of stakeholders can be contextualized and analyzed. In essence, documentary review added depth and context to the study, ensuring that the research captures both the official and lived

dimensions of managing records, sustainable development and information access to the public within Uasin Gishu County.

### **3.8 Data Collection Procedure**

The information gathering procedures for this study commenced with the acquisition of an introductory letter from the University, which served as a formal request to apply for a research license from the National Commission for Science, Technology, and Innovation (NACOSTI). Once the research license was granted, the researcher proceeded to formally seek permission from the Uasin Gishu county government, securing their consent and cooperation for data collection. Subsequently, the interviews (Appendix 1), questionnaires (Appendix (2,3 and 4), observations (Appendix 5) and document review were administered through either by face-to-face or telephone. The physical administration involved delivering and retrieving questionnaires from the identified respondents, while the online approach enabled participants to complete and return the questionnaires electronically. These data collection procedures ensured ethical compliance, legal authorization, and the effective acquisition of data from key stakeholders within the county governments, thereby contributing to a comprehensive understanding of the study's research questions.

### **3.9 Reliability and Validity of Research Instruments**

Reliability and validity are essential considerations in ensuring the quality and credibility of research instruments and data collection procedures. The stability and consistency of investigation instruments is referred to as dependability, indicating whether the same results can be obtained when the instruments are applied repeatedly to the same participants or in similar circumstances (Collis & Hussey, 2021). Researchers employ various methods to measure the reliability and validity of research

instruments, ensuring the accuracy and consistency of data collection processes, common among which include triangulation, pre-testing and member checking (Tashakkori & Teddlie, 2010; Collis & Hussey, 2021). Consequently, the current study utilized methodic triangulation, pre-testing and member checks to ensure reliability and validity of the research instruments.

### **3.9.1 Methodic Triangulation**

Utilizing several data resources, research techniques, or investigators is known as triangulation to cross-verify findings and conclusions (Kothari, 2019). Three approaches were used in the present investigation to check for the investigation tools validity and reliability, ensuring the trustworthiness of the data collected. Triangulation was utilized to enhance both reliability and validity. Employing a combination of documentary review, in-depth interviews, questionnaires and observations, the study aimed to corroborate and validate the information gathered through different data collection techniques, thereby enhancing the reliability and validity of the research findings. Data was also triangulated by collecting data from CECs, Chief Officers, Records Management Officers, Clerical Officers and MCAs.

### **3.9.2 Pre-testing**

To ensure the validity of the research instruments employed in this study, a comprehensive debriefing session was conducted with subject-matter experts in the fields of records management, sustainable development, and information access as prescribed by Saunders et al. (2019). This collaborative review process enabled the researcher to tap into the experts' deep insights and practical experiences, facilitating a critical evaluation of the instruments' relevance, coverage, and appropriateness in capturing the nuances of access to public information and records management

practices within Uasin Gishu County. This rigorous vetting process not only affirmed the instruments' capacity to accurately gather pertinent data but also refined their design to enhance the reliability and validity of the collected data, ensuring that the study's findings are grounded in a robust methodological foundation.

### **3.9.3 Member Checking**

Member checking entails providing respondents with the initial study results and conclusions so that they could provide feedback on the accuracy and completeness of the data collected (Creswell, 2013). This member validation process enhances the validity of the study by validating the researcher's interpretations against the perspectives and experiences of the participants, further establishing the reliability of the study's conclusions (Sekaran & Bougie, 2019). In this study, the investigator allowed the respondents to counter check the findings in order to confirm the contents as an accurate picture of their views. Their feedback was considered and used to enrich the study findings.

### **3.10 Data Analysis and Presentation**

The analysis of data and presentation phase of the investigation is a critical component that involves the systematic analysis of the information gathered to uncover insights and spot trends and answer the research questions (Tashakkori & Teddlie, 2010). In this study, the data analysis process employed a mixed-methods approach, whereby both quantitative and qualitative data analysis techniques were employed. To analyze the quantitative data obtained from structured part of the questionnaires, the study employed descriptive analysis. This involved summarizing and quantifying responses to specific questions. Descriptive statistics including frequency distributions, proportions, averages, and standard deviations were in this regard calculated to provide

a clear overview of participants' responses. To aid in the descriptive analysis, the Statistical Package for Social Sciences (SPSS) was used.

Regarding the qualitative information gleaned from the in-depth interviews and unstructured part of the questionnaire, a thematic analysis approach was used. Thematic analysis is a qualitative method which seeks to establish, analyze, and report themes or patterns within the data and is particularly well-suited for studies that seek to explore the depth and complexity of qualitative data (Creswell & Guetterman, 2019). As per Sekaran and Bougie (2019), the thematic analysis process began with the thorough familiarization of the data, including transcripts of in-depth interviews, observational notes, and documented materials. This initial immersion allowed the investigation team to gain a comprehensive understanding of the data and its context. Next, a systematic coding process was undertaken, where significant segments of text related to the research themes were identified and assigned codes. These codes were produced both deductively, based on predetermined research objectives and inductively, enabling the emergence of new codes and themes from the data itself. As coding continued, similar codes were grouped together to form broader themes, creating a hierarchical structure that captured the richness of the data. This thematic framework was continuously refined and revised as coding progressed, ensuring that it accurately represented the content and meaning of the data.

Once the coding and theme generation process was complete, the research findings were organized and presented in a coherent and structured manner. The presentation of findings involved the construction of narratives and descriptions for each identified theme, supported by verbatim quotations from the participants to illustrate key points. Visual aids, such as tables, charts, and diagrams, were also used to enhance the

presentation and provide a clear overview of the findings. The researcher ensured that the presentation of findings remained closely aligned with the research questions, allowing for a logical and comprehensive exploration of the relationships between managing records, sustainable development and access to public information within Uasin Gishu County. This approach to data analysis and presentation facilitated a rich and nuanced understanding of the research phenomena while maintaining transparency and rigor in reporting the findings.

In this study, respondents were referred to by the code 'Rn', with R standing for 'Respondent' and the *n* representing the respondent's number in the analysis. For instance, the first respondent will be coded as R1. This is aimed at ensuring their anonymity and protect their privacy, a practice well-supported in research ethics literature (Babbie, 2016; Creswell & Poth, 2018). This method not only safeguards the personal and professional identities of the participants but also encourages them to provide candid and comprehensive responses without fear of repercussions (Sieber & Tolich, 2013). Anonymizing participants through coding is essential, particularly in contexts involving sensitive topics like access to public information and records management, where the risk of exposure could influence the willingness of respondents to share truthful insights (Israel & Hay, 2006). Therefore, the use of codes to refer to respondents enhances the ethical rigor of the study, ensuring that data integrity and participant confidentiality are maintained throughout the research process.

### **3.11 Ethical Considerations**

The researcher guaranteed that in the entire research process, ethics in research were observed. The study was conducted with formal authorization both from the National Commission for Science, Technology and Innovation (NACOSTI) and from the County

Government, including an official introductory letter that clearly stated the purpose, scope, and academic nature of the research. The researcher also respected respondents' busy schedules by employing flexible scheduling, aligning interviews with participants' availability, including early morning, lunch-hour, and post-meeting time slots.

The study particularly ensured that information given by participants was exclusively utilized for addressing the research objectives and for academic purposes. The researcher respected participants' rights to refrain from responding to the questionnaire or interviews. The researcher was particularly cautious not to force people to give data to the investigator that they had no desire to. In cases when respondents were unwilling to disclose information that was personally identifiable to them, the investigator respected their wishes in order to avoid violating their privacy.

Respondents were also guaranteed that their personal details would be kept private. The investigator took care in this respect to avoid publishing any details given in confidence or sufficient intimate data to reveal the respondents' identities. To ensure this, the investigator stayed away from sensitive information like names, addresses, and dates of birth amongst other details. Respondents were further referred to using codes rather than their real names or any directly identifiable information, a practice justified by the need to ensure confidentiality and protect the privacy of participants. This approach aligns with ethical research practices, particularly in sensitive areas such as records management and access to public information, where the disclosure of respondents' identities could potentially expose them to risks or professional reprisals. Coding participants also encourages more honest and open responses, as anonymity can reduce the fear of judgment or retaliation. Confidentiality was also upheld through effective administration and protection of information.

### **3.12 Chapter Summary**

The chapter has explained the research approach, design, and instruments used in the investigation. It justified the adoption of a pragmatist paradigm, a case study design, and the use of the data collection instruments. The chapter further described the target population and sampling procedure, and explained the techniques of data collection employed, including semi-structured questionnaires, in-depth interviews, observations, and documentary review. It discussed the validity and reliability of research instruments and provided insights into the data analysis and presentation process.

## CHAPTER FOUR

### DATA PRESENTATION, ANALYSIS AND INTERPRETATION

#### 4.1 Introduction

In this chapter, the investigation adopts a mixed-methods approach, integrating both quantitative and qualitative data analysis techniques. To decipher the structured data obtained from questionnaires administered to COs, MCAs, Records Management Officers and Clerical Officers, the study employs a descriptive analysis, providing a comprehensive overview of respondents' perceptions and viewpoints. Simultaneously, the qualitative data stemming from in-depth interviews with CECs and the unstructured sections of the questionnaires are subject to a thematic analysis, unraveling the nuanced narratives, themes, and insights conveyed by participants. This comprehensive approach ensures that the multifaceted dimensions of records management, public information access, and their role in sustainable development are meticulously explored, facilitating a deeper understanding of their interplay within the county's unique context.

#### 4.2 Response Rate

The investigation adopted a census survey of all CECs, Chief Officers, Records Officers, and Clerical Officers within the County Executive as well as all the MCAs within the Uasin Gishu County Assembly, who totaled 110. With a total of eight (8) interviews conducted out of the total target number of ten (10); and 73 questionnaires returned out of 100, a return rate of 72.7% was achieved as illustrated in Table 4.1.

**Table 4.1: Response Rate**

Category of Staff	Questionnaires		Dully Completed
	Administered	Frequency	%
COs	15	11	73.3%
Records Management Officers and Clerical Officers	55	43	78.2%
MCAAs	30	18	60.0%
<b>Category of Staff</b>	<b>Interviews</b>	<b>Dully Completed</b>	
	Administered	Frequency	%
CECs	10	8	80.0%
<b>Response Rate</b>	<b>110</b>	<b>80</b>	<b>72.7%</b>

**Source: Survey Data (2021)**

In accordance with Saunders et al. (2019), the 72.7% established return rate was deemed excellent and thus suitable for data assessment. According to Collis and Hussey (2021), a return rate of 70% or higher is considered "excellent," a rate of 60% is considered "good," and a rate of 50% is considered "adequate." The exceptional return rate can be attributed to the hiring and training of five research assistants who helped administer the questionnaires according to the researcher's direction and oversight, who personally administered the in-depth interviews.

**4.3 Respondent Profile**

The study sought to first provide an overview of respondents' profiles, as regard their designations; the name of the respective departments; the highest academic qualification attained; and the years served in that position. Presenting an overview of respondents' profiles was considered not only essential for interpreting and contextualizing participants' responses but also ultimately, for providing a

comprehensive analysis representative of the diverse experiences based on different respondent professional and demographic profiles. Responses were analyzed descriptively and presented in both tabular and graphical formats.

#### 4.3.1 Response by Department

Understanding the departmental affiliations of respondents allows for a comprehensive categorization of participants, enabling the identification of common trends and variations among different departments. As such, the study sought to establish response by department. This categorization is vital in discerning potential variations in records management practices and perspectives on public information access across various administrative units within the County Government of Uasin Gishu. Results presented Table 4.2.

**Table 4.2: Response by Department**

Department	CECs		COs		RMOs and RCs (Clerical Officers)	
	n	%	n	%	n	%
Lands, Housing, Physical Planning and Urban Development	1	12.5	2	18.2	22	51.2
Information and Communication Technology, Trade and Industrialization	1	12.5	1	9.1	3	7.0
Roads, Transport and Public works	1	12.5	1	9.1	10	2.3
Agriculture, Fisheries and Livestock Development	1	12.5	2	9.1	2	4.7
Health Services	1	12.5	1	9.1	4	9.3
Cooperatives and Enterprise Development	1	-	1	9.1	2	4.7
Devolution, Administration and Public Service Management	1	12.5	1	9.1	5	11.6
Water, Natural Resources, Environment, Wildlife Management and Tourism	-	-	1	9.1	1	2.3
Education, Social Services, Youth Affairs, Culture and Sports	-	-	1	9.1	1	2.3
Finance and Economic Planning	1	12.5	-	-	2	4.7
<b>Total</b>	<b>8</b>	<b>100</b>	<b>11</b>	<b>100</b>	<b>43</b>	<b>100</b>

**Source: Field Data (2021)**

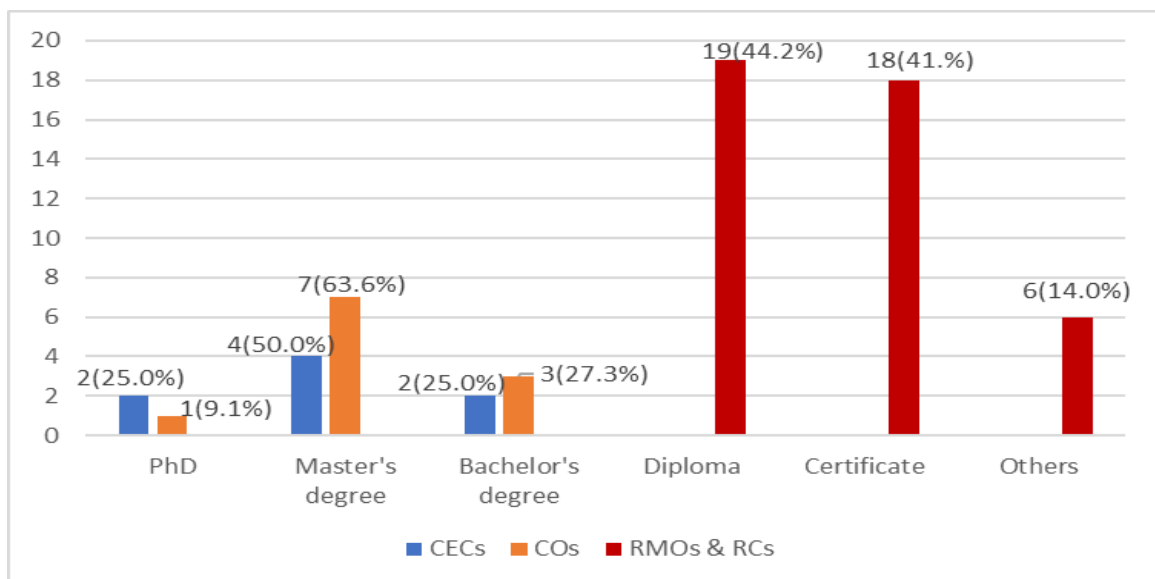
As tabulated, different departments were represented across different participant groups. A total of eight (8) CECs were reached, one (1) drawn from each department except for Water, Natural Resources, Environment, Wildlife Management and Tourism and Education, Social Services, Youth Affairs, Culture and Sports. A total of 11 COs were also reached, approximately equally distributed (9.1%) across all departments, with Lands, Housing, Physical Planning and Urban Development recorded slightly more (18.2%) within the respondent group. Further, a total of 43 Clerical Officers were reached, recorded the largest respondent category with a majority (51.2%) drawn from the Lands, Housing, Physical Planning and Urban Development department; distantly followed by Devolution, Administration and Public Service Management (11.6%); and Health Services (9.3%).

The findings reveal a varied representation of departments among different participant groups, meaning that the investigation is reflective of the various perspectives on the role of records management in ensuring access to public information for the county's sustainable development, based on work experiences in the respective fields. The findings also align with existing literature emphasizing the need for a cross-functional approach to records management within public organizations (Smith & Wang, 2020). Among Chief Officers, the distribution is relatively equitable across departments, highlighting a broad perspective on records management practices within the County Government, consistent with the idea that records management is a shared responsibility (Upward, 2005). It is noteworthy that Lands, Housing, Physical Planning, and Urban Development exhibited a slightly higher representation, potentially indicating the importance of land and urban planning records. Furthermore, the significant presence of Clerical Officers, particularly within the Lands, Housing, and Urban Development department, underscores the vital role of front-line staff in records

management (Bakare & Abioye, 2021). These findings reflect the dynamic and interdepartmental nature of managing records in a public sector context, demonstrating the need for a coordinated approach across various units to ensure the efficient management of information and accessibility (Okello, 2019).

#### 4.3.2 Response by Highest Academic Qualifications

Capturing respondents' highest academic qualifications offers insights into the level of expertise and knowledge within the participant groups. It provides context for interpreting their responses and evaluating the degree to which their past learning might influence their perceptions and understanding of records management and its role in sustainable development. To this end, the research aimed to determine response by highest educational achievements. Results are as shown in Figure 4.1.



**Figure 4.1: Response by Highest Academic Qualifications**

*Source: Field Data (2021)*

As depicted, different education levels were recorded across the participant groups, reflecting the hierarchical structure of county administration. Among the CECs (n = 8), the majority held a Master's degree (4; 50.0%), while equal numbers had attained PhD

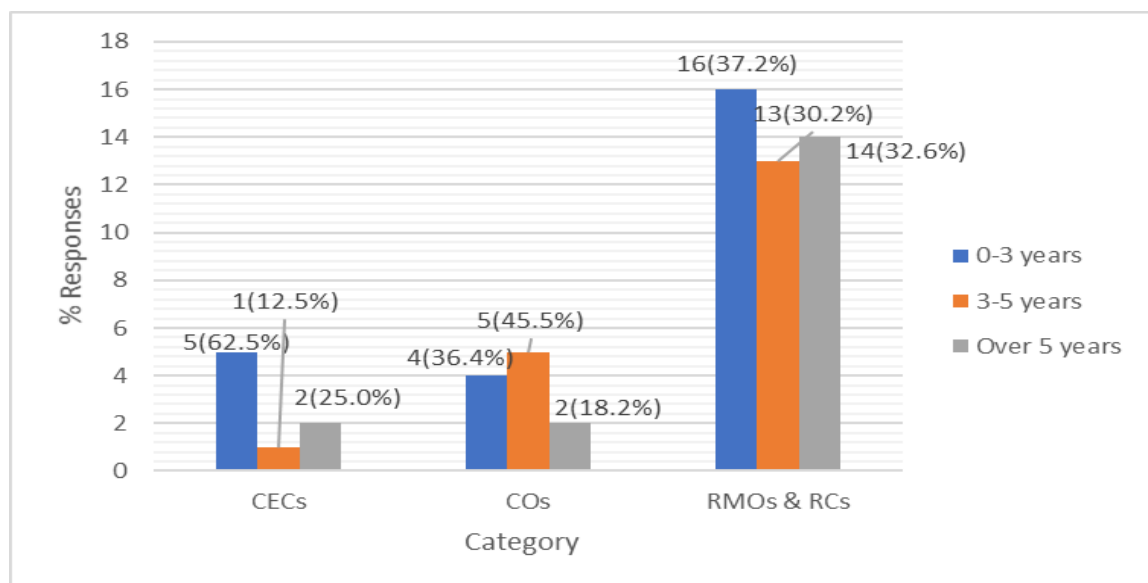
and Bachelor's degrees (2; 25.0% each). Similarly, most Chief Officers (n = 11) possessed a Master's degree (7; 63.6%), followed by Bachelor's degree holders (3; 27.3%) and those with PhDs (1; 9.1%). In contrast, records management officers and clerical staff (n = 43) were largely qualified at certificate (18; 41.9%) and diploma levels (19; 44.2%), with a smaller proportion falling under other qualifications (6; 14.0%). This distribution is consistent with public sector staffing norms, where senior management roles are typically occupied by officers with advanced academic training, while operational records functions are undertaken by technically trained personnel (Republic of Kenya, 2017; International Council on Archives, 2016; Shepherd & Yeo, 2003).

The findings reveal a varied representation of education levels among different participant groups, meaning that the study is reflective of the various perspectives on the role of records management in ensuring access to public information for the county's sustainable development, based on education levels among participants. The findings further highlight an interesting trend in alignment with the existing literature. Notably, the higher prevalence of advanced degrees, such as Masters and PhDs, among CECs and Chief Officers corresponds to the notion that senior management positions often require higher educational qualifications (Okon & Kim, 2019). The substantial representation of clerical officers with Certificate and Diploma qualifications suggests that roles involving routine records management may not demand advanced academic credentials (Ngoepe & Keakopa, 2021). However, it is essential to consider the potential impact of education levels on the participants' perceptions and approaches to records management, which can vary depending on their educational background (Kim & Martinez, 2022). This study's findings emphasize the significance of customizing procedures for managing records and training to suit the educational diversity within

the county government, recognizing that different roles may require distinct skills and expertise (Maina, 2022).

### 4.3.3 Response by Work Experience

Knowing the years served in their respective positions aids in gauging the depth of professional experience among respondents. This information helps in understanding how tenure may correlate with varying viewpoints on records management and public information access. Moreover, it is valuable for determining whether respondents' experiences influence their interpretations of the impact of records management on sustainable development. In this regard, the study sought to establish response by work experience. Results are as shown in Figure 4.2.



**Figure 4.2: Response by Work Experience**

**Source: Field Data (2021)**

As showcased on Figure 4.2, a diversity of work experience was recorded. A majority of CECs (5; 62.5%) had worked in the County for less than 3 years, followed by 2 (25.0%) either having worked for over 5 years or having worked for between 3 and 5 years (2; 25.0%). A majority of COs affirmed to having worked for between 3 and 5

years (5; 45.5%), closely followed by 4 (36.4%) having worked for less than 3 years while 2 (18.2%) had worked for over 5 years. Further, a majority of RMOs and RCs had worked for less than 3 years (16; 37.2%), closely followed by 14 (32.6%) having worked for over 5 years, while 13 (30.2%) had worked for between 3 and 5 years.

The findings reveal a varied representation of work experience among different participant groups, meaning that the study is reflective of the various perspectives on the role of records management in ensuring access to public information for the county's sustainable development, based on work experience. The diverse range of work experience among the participant groups aligns with the broader discussions in the literature concerning the tenure of personnel in public sector organizations (Kemoni & Ngulube, 2022). The majority of CECs having worked in the county for less than 3 years may reflect the potential for high turnover rates in senior management positions within government bodies (Mehta & Thakur, 2021). Conversely, Chief Officers, who play critical roles in records management and governance, indicate a somewhat more balanced distribution of work experience. The findings imply that varying levels of experience exist among personnel in different roles, which can influence their understanding of records management, information access, and their implications for sustainable development (Njoroge & Minja, 2018). This diversity of work experience suggests that techniques for enhancing the management of records and access to public information must consider the specific needs and knowledge levels of different personnel categories within the county government, emphasizing the importance of tailored training and capacity-building initiatives (Tagbotor et al., 2022).

## **4.4 Presentation of Data**

The study results obtained from interviews, questionnaires, observation and document review are presented in this section. The findings are structured into themes derived from the four research questions and are arranged in the following order: Current records management practices; Uasin Gishu development plan and sustainable development; access to public information; the effectiveness of records management in ensuring access to public information as a prerequisite for the attainment of sustainable development; and strategies to enhance access to public information as a means to promoting sustainable development.

### **4.4.1 Current Records Management Practices**

This section presents comprehensive findings on the various components that constitute records management practices within Uasin Gishu County, encompassing the entire lifecycle from creation to preservation. The section particularly evaluates the several facets of managing records, such as creation of records, usage and access of records, documents storage and maintenance, records evaluations, disposal and retention, preservation of records, and the general state of managing records. In analyzing these elements, the section provides a thorough understanding of the county's records management framework. Furthermore, the views of respondents on the overall effectiveness and efficiency of these records management practices are scrutinized, offering insights into the strengths and areas for improvement as perceived by those directly involved in or affected by these practices.

#### **(i) Records Creation**

To comprehend the creation of records, the respondents were asked to comment on their mandate and whether they played any role in the creation of records. The eight

(8) CEC members interviewed all indicated that in discharging their mandate they heavily relied on records and therefore they play a key role in the creation of records. Their views are summarized by the words of one of the CECs coded as R3 for purposes of data presentation as follows:

*“CECs are responsible for managing and coordinating functions of the county administration and its departments. Hence, they are the primary creators and users of the records as they delivered services” (R3, August 20<sup>th</sup>, 2021).*

To probe further on records creation, the interviewees were asked if there were any documented instructions to guide the process of records creation. Their feedback in this regard was negative as they unanimously stated that “there was an absence of records procedure manual that would have documented directions to guide their actions”.

A comparable query was put forth to the 11 Chief Officers (see question 2 (ii), Appendix 2). A number of responses were provided in this regard, as abridged in Table 4.3:

**Table 4.3: Responsibilities of Chief Officers**

<b>Respondent</b>	<b>Response</b>
R9	“Creation of financial records, including budgets, expenditure reports, and audit trails”
R11	“Creation of strategic plans, staffing records, recruitment documentation, and policy documents”
R12	“Creation of records such as duty rosters, performance evaluations, and staff reports”
R13	“Generating records related to project plans, progress reports, and implementation milestones”
R14	“Creating records of system specifications, user manuals, and maintenance logs”
R15	“Creating records related to security of the information systems, such as security protocols, transparency reports, and stakeholder communications”
R17	“Creation of operational records, activity logs, and departmental reports”

**Source: Field Data (2021)**

Data from respondents showed that Chief Officers as the chief accounting officers oversaw all activities in departments that generated different types of records that required proper management.

The investigator aimed to determine the participants' familiarity with the business functions of their sections, and the records created. Data from the dully filled questionnaires indicate that all the 43 records officers and clerks responded that they were aware of and took part in the following business activities: opening of files; records creation, receipt and capture; records use and maintenance; records access and retrieval; secure and conducive records storage; periodic appraisal of records, disposal and retention; and records preservation. Two records management staff further noted that their role is to support the development, implementation and maintenance of the information systems, enhance the security of the information systems as well promote information sharing, transparency and accountability towards the general public and other stakeholders.

A summary of the records received and generated from the business activities is abridged in Table 4.4:

**Table 4.4: Summary of the Records Received and Generated**

Respondent	Response
R23	“Administrative records including policies, internal memos, circulars, performance appraisal reports, strategic plans, minutes of meetings and conferences”
R28	“Personnel records such as those pertaining to employment, training and disciplinary matters”
R31	“Medical records such as medical examination reports, patient records”
R37	“Financial records such as budgets and budget planning records, payroll records, vouchers grants, accounting

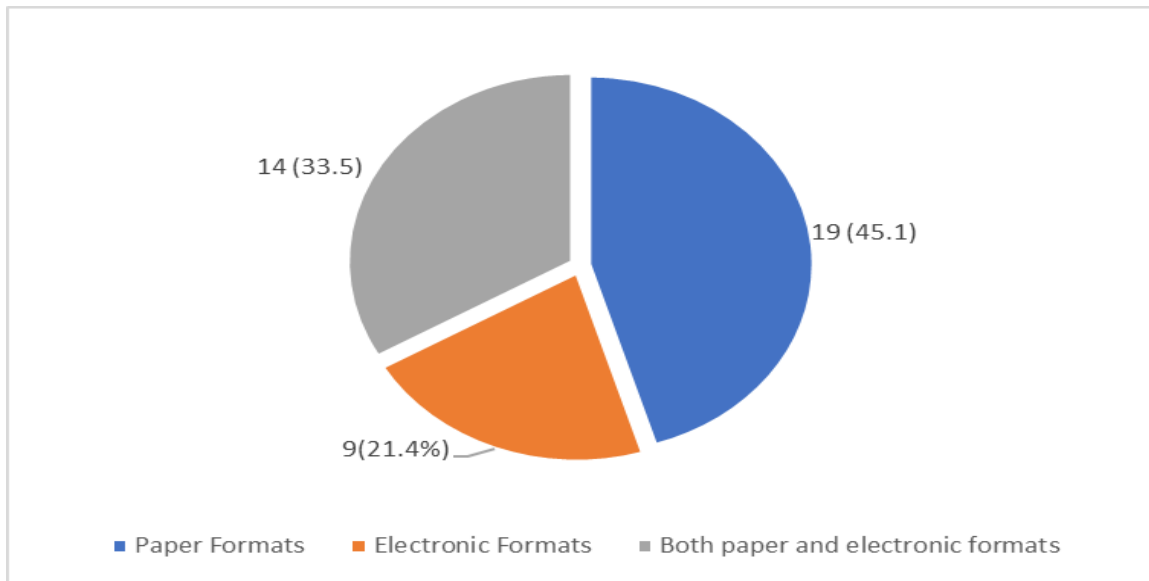
	records and audit reports”
R41	“Legal records relating to contracts, licences, executive orders, rules and regulations, leases, bond forms, memorandum of understandings, and land records such as title deeds, sale agreements, maps, and building plans among others”

**Source: Field Data (2021)**

According to the respondents surveyed, business operations produced a large amount of documentation. This is in line with findings by academics like Wamukoya (2000), who claimed that documents are a by-product of commercial activities, and Shepherd and Yeo (2003), who agreed that records can be created during a process or subsequently through the deliberate act of keeping documentation.

The data collected revealed that records management staff at Uasin Gishu county were responsible for overseeing documents at all stages of their existence and making them available when needed, which facilitated the accomplishment of their mission by guaranteeing an efficient exchange of information. Three records officers also stated that records played a crucial role in carrying out reforms since they provided documentation of the actions taken and the resources that were utilized throughout the reform processes.

On being asked in what formats the records were being created, most (19; 45.1%) of the records management officers and records clerks indicated paper formats, followed by 14 (33.5%) respondents who indicated both paper and electronic formats, while 9 (21.4%) affirmed to electronic formats (Figure 4.3).



**Figure 4.3: Records' Formats**  
**Source: Field Data (2021)**

Those surveyed said they created and captured documents using technology and scanning devices, yet even with gadgets, they nevertheless received and handled documents on paper more often than digital ones. The researcher also observed that most records in the central registry and departments were in formats based on paper. All the 43 respondents further stated that the personnel records are classified numerically and those created at the departments are alpha-numerically classified according to their subjects. One respondent (R7) pointed out that:

*“Alphanumeric filing system is used to classify subject records based on a subject while personnel records are organized using payroll numbers hence, they are classified numerically” (R7, August 20<sup>th</sup>, 2021).*

The findings from the records management staff showed that the county's documentation management procedure is primarily based on paper, that has caused retrieving files to be delayed even while plans are underway to move information to an electronic records system.

Based on the statistics displayed, the researcher deduced that records play a crucial role in supporting administrative operations of the county by supplying trustworthy

information upon which all actions and decisions of the county are taken. Effectively managed records also facilitate the attainment of accountability and transparency in the county since records can be easily availed to the public for the verification of activities and actions of public servants. Reliable, accurate and complete records therefore have an effect on county governance agencies' leadership and administration by ensuring information is freely available and directly accessible which is necessary for the attainment of sustainable development goals. Records are an essential resource that must be appropriately handled in accordance with the principles of the Records Continuum Model, where business operations are so intertwined that borders become insignificant; therefore, records must be handled throughout the time of production to the point of destruction (Xioami, 2001).

#### **(ii) Records Access and Use**

On records access and use, the respondents were asked on how Uasin Gishu regulated access to the records and the ease of access to the records by persons interested with the records. All the 43 records officers and records clerks were in agreement that while there was no formal access policy document in Uasin Gishu County, there are procedures on access to records within the records management policy which imposes restrictions and security classifications to some records in categories identified as vital, confidential, and general records. One respondent (R23) stated that:

*“Access and use of county records by stakeholders is granted through a written authorization from the county secretary while access by staff is by authorization from the accounting officer” (R23, August 20<sup>th</sup>, 2021).*

In agreement, a CEC member stated that the policy is clear on who can access what type of records, and that it was essential for protecting sensitive information while ensuring transparency where necessary.

Similarly, a CCO remarked:

*“We follow strict protocols to ensure only authorized personnel can access certain records, maintaining the integrity and security of our information” (CCO, August 20<sup>th</sup>, 2021).*

To corroborate these claims, the researcher requested to review the records management policy and it became apparent that the Uasin Gishu County Records Management Policy contains a procedure for access to records that controls the movement of information in and out of the County records management systems and allows the records to be viewed by different categories of users. One of the respondents (R41) had this to say:

*“The policy ensures that only authorized personnel can access sensitive records, thereby maintaining the integrity and security of the information. This system of controlled access is crucial for protecting the county's data and ensuring compliance with regulatory requirements” (R41, August 20<sup>th</sup>, 2021).*

On further inquiry on who uses the records created in the County, all 43 records management officers and records clerks (clerical officers) noted that action officers, authorized researchers, and intrigued individuals from the public may utilize records after obtaining permission and in compliance with established guidelines.

The researcher then sought to establish whether when records were needed, they had tools to help with searches and retrieving. A majority of the records officers and records clerks (30) reported the availability of a file classification system, an index, and that the shelves and bulk filers had labels that made it easier to retrieve the documents. All the records officers and records clerks (43) concurred that they had a working filing system. The respondents expounded that the personnel records were arranged in a numeric classification scheme while subject records such as land records were arranged in an alphanumeric classification scheme in the order in which they were created.

The investigator was shown around a section of the central registry filing area and had the opportunity to observe the filing procedure in action in order to fully comprehend the filing method that was being employed. A majority of the records kept are land records, which are arranged into blocks that correspond to the county's whole map. An example of a file reference number as observed by the researcher was UGC/B.30(Kimumu)2000 denoting a land record number 2000 for a parcel of land located in Kimumu which is categorized under block 30 in Uasin Gishu County. Further, the respondents explained that the filing system had been instrumental since it made retrieval easier as it indicates the precise location where the records are likely to be found within the storage area and combines well with the index and labelling on the bulk files and shelves. However, a few respondents (14.0%) stated that it was difficult to retrieve files from some parts of the registry because a lot of archival boxes with closed subject files were visibly stacked up inside a section of the registry hence bringing congestion.

On whether there is a method for tracking records/files that were recently dispatched, all the records management officers and records clerks (clerical officers) 43 noted that as files moved from a single stage of usage to another, they kept track of them in file movement registers. In addition, the researcher also observed the tools available for records control at the central registry which included inventory registers, circulation registers and file request registers.

From the findings, although Uasin Gishu County did not have a formal access policy, there are procedures on access to records which had restrictions on who would gain access to the records. These procedures need to be reviewed periodically to determine the need to de-classify information to give enough flexibility to the process of

information access to respect access to information requirements provided that the guidelines in the government security manual are not contravened while yet allowing data access as needed. Appropriate levels of access, restrictions and control mechanisms for handling records also need to be specified in the records management procedures manual and made available when requested in order to provide citizens with information about the records in the registry so that they know what is available for use. This would streamline and improve registry operations. The file classification system, tracking mechanism and labeling on bulk filers and shelves helped in records retrieval hence ensuring timely access to the records. Finally, the file/document tracking system was also efficient since it documented the movement and use of every document/file as it circulated from one office to the other hence maintaining an auditable trail of records transactions. In conclusion, records access and use in Uasin Gishu County can be summarized as having been fairly well managed.

It can be deduced from the findings, that in Uasin Gishu County, tools for searching and retrieving records were available. A majority of records officers and clerks reported the presence of a file classification system, an index, and labeled shelves and bulk filers that facilitated the efficient retrieval of records. All records officers and clerks confirmed the existence of a functioning filing system, with personnel records organized numerically and subject records, such as land records, arranged in an alphanumeric classification scheme based on their creation order. Although the county lacked a formal access policy, there were established procedures for access to records, including restrictions on who could access them. Consistent with extant literature (Smith & Wang, 2019; Johnson & Ndlovu, 2021; Brown & Garcia, 2019), these findings suggest that while some systems were in place to manage records, there is room for reviewing and potentially de-classifying certain information to make access

more flexible and aligned with access to information requirements, while still adhering to government security guidelines.

The Uasin Gishu County Records Management Policy includes a detailed procedure for accessing records that effectively controls the movement of information within and outside the county's records management systems. This procedure is designed to categorize records as vital, confidential, or general, and establish clear access controls for different user groups. Such a policy is instrumental in ensuring that sensitive information is only accessible to authorized individuals, thereby maintaining the integrity and security of the records (Kallberg & Johansson, 2021). Access controls are essential not only for protecting sensitive information but also for promoting transparency and accountability by ensuring that relevant stakeholders can access the necessary information without compromising security (Borglund & Engvall, 2014). In delineating who can access what type of record and under what conditions, the policy helps prevent unauthorized access and potential misuse of information, which is crucial for maintaining public trust and supporting effective governance (Johnson, 2017). Furthermore, the implementation of such access controls aligns with best practices in records management, ensuring that information is managed in a way that supports organizational efficiency and compliance with legal requirements (Shepherd & Yeo, 2003). The investigator found these access controls beneficial in providing a structured framework that safeguards records while allowing appropriate parties to view necessary information, thereby enhancing both security and accessibility.

### **(iii) Records Maintenance and Storage**

In an effort to comprehend the storage of records and maintainance in the county, records management officers and records clerks (clerical officers) were asked a number

of questions; first, on how records are filed and/ or arranged, majority of the records management officers and records clerks (clerical officers) 37(86.0%) noted that records were filed in spring and hard cover files and arranged in a chronological order using the dates. The respondents were then asked if there were any specific locations where current, semi-current, and non-current records may be kept. According to all the 43 participants (100.0%) participants, there were no spaces specifically allocated for current, semi-current, and non-current documentation, a factor that has led to congestion of the registry.

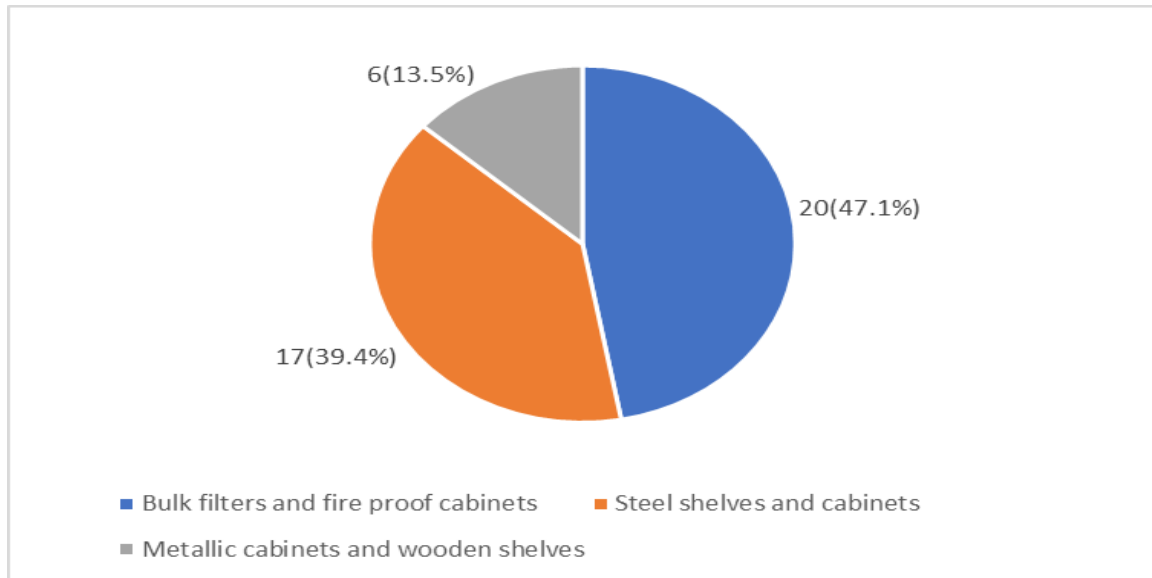
A CEC member explained:

*“The lack of designated storage areas for different types of records is a significant challenge, causing inefficiencies in our registry operations” (CEC, August 20<sup>th</sup>, 2021).*

Another CO added that the county government needed to invest in proper archival facilities to manage our records better and reduce congestion. Observations in the registry further showed that closed files were stored in archival boxes and placed in one section within the registry while some could be seen heaped on top of shelves and on the floor without any kind of arrangement hence looked disorganized. The Records Officer in charge of the central registry reported that the County had procured two containers to serve as the archives for the county which at the time of completing data gathering had not been delivered.

In order to gain further insights about records storage in the County, a question was asked about the storage facilities being used in the registry. As illustrated in Figure 4.4, the records officers and clerks gave varied responses. 20 (47.1%) of those who responded said that the filing equipment that was provided were bulk filers and fire proof cabinets, 17 (39.4%) of the respondents indicated steel shelves and cabinets as

the available storage facilities while 6 (13.5%) of the respondents indicated metallic cabinets and wooden shelves.



**Figure 4.4: Storage Facilities**

**Source: Field Data (2021)**

Most of the participants who indicated bulk filers and fire proof cabinets explained that both equipment were working well for the registry since files stored in bulk filers could be easily accessed from more than one section. They also offered the best storage since once closed; the doors were completely sealed hence kept away agents of deterioration such as dust, water, light and other pollutants. However, those respondents who indicated both wooden shelves and steel shelves noted that closed files were mostly stored in this equipment hence they did not provide the best storage since the records were left exposed to unauthorized access, loss, destruction and agents of deterioration. The researcher observed that the quality of the storage equipment such as bulk filers and cabinets was good though generally, the records storage facilities were inadequate. It was also observed that those records stored on open shelves and on the floor were mostly closed files and were not in any particular order hence causing delays in retrieving files.

The researcher asked how the electronic records are stored. Majority of the records management officers and records clerks (60.5%) said that electronic records are arranged and kept in sub-folders and folders that are designed to hold related records about particular subjects. They added that folders are stored in storage devices including hard drives, optical disks and flash discs whenever they are needed. Those respondents (39.5%) who had a contrary opinion explained that their work involved mostly handling manual records hence they were not aware of how e-records are stored and managed. One particular respondent (R37) elaborated that:

*“I was assigned to handle subject files which mostly involve manual filing, storage and retrieval of records hence not familiar with the technology used to store electronic records” (R37, August 20<sup>th</sup>, 2021).*

Observations made on the storage facilities and data from respondents show that Uasin Gishu County seemed to have fairly good storage equipment in the registry though they are inadequate to store the huge volume of records. The observations further revealed that although the records storage area was designed in such a way that it had 2-way and 4-way work stations for records management staff, there were challenges of lack of space since the registry doubled up as storage for current, semi-current and non-current records as well as working space for records staff. Lastly, some records management staff were not familiar with the utilization of technology to manage e-records.

On how they ensured the security of both manual and electronic records, records management officers and records clerks gave different responses. Some of the participants (58.1%) indicated that both paper and e-records were secure. The explanation given was that just as they keep physical documents locked in fire-resistant file cabinets and bulk filers; they also keep computers protected with passwords to guarantee the safety of documents. They also observed that confidential files were kept under lock and key in a confidential registry to enhance their security. Furthermore,

they indicated that since the central registry was fitted with closed circuit television (CCTV) cameras, this provided a good measure of security to the files. The investigator confirmed this by observing that both the central registry and confidential registry were fitted with CCTV cameras placed at strategic locations within the central registry, strong grill doors and windows for security and clients were being served at the counter in the central registry.

Those respondents (34.9%) who had a different opinion felt that since the central registry served as both a storage facility and a workspace for the registry staff, it was an uphill task to guarantee the security and accountability for the records. They also pointed out that the cabinets and bulk filers were not adequate hence some records were heaped on top of shelves without any arrangement due to lack of space further aggravating the challenge of missing files thus posing a security risk to sensitive records.

One respondent (R23) noted that:

*“Records have not been stored in a very secure environment because some active files are placed on shelves, closed files have not been moved to a records centre and since every records staff in the registry can access the filing area, it is difficult to ensure accountability in the handling of records” (R23, August 20<sup>th</sup>, 2021).*

Participants to the survey at the time stated that several cabinets were faulty and could not be locked, thus jeopardizing the security of records. The researcher observed that equipment such as heat and smoke detectors; and electricity backups were not available though the Records Officer in charge of the registry indicated that the purchase and installation of this equipment had been factored in the budget for the year 2021/2022.

The study's findings shed light on the storage and maintenance of records in Uasin Gishu County, revealing a mix of practices. Based on the statistics displayed, it can be

deduced that records storage in Uasin Gishu County faced challenges that if not addressed may render records irretrievable hence inhibiting efficient access to records and information. Records management officers and clerks reported that records were primarily filed in spring and hardcover files, organized in chronological order based on dates. However, a significant challenge was the lack of locations specifically designated to store current, semi-current and non-current records, leading to congestion in the registry and disorganized storage of closed files. In line with findings by White and Santos (2022), the observation indicated that closed files were sometimes stored in archival boxes, heaped on shelves, or even on the floor without proper arrangement. Notably, the County had plans to establish archives using containers. Storage equipment included bulk filers, fireproof cabinets, steel shelves, cabinets, metallic cabinets, and wooden shelves, indicating a range of storage facilities in use. Consistent with Xiao et al. (2019), in the realm of digital records, the most of those surveyed mentioned that these records were organized into folders and sub-folders, stored in various electronic devices such as hard drives, optical disks, and flash drives. However, a significant proportion of respondents primarily dealing with manual records expressed limited awareness of how electronic records were stored and managed. In line with Dong et al. (2017), these findings underline the need for better organization and designated areas for records storage, of both physical and electronic records, to improve access and overall records management practices.

#### **(iv) Records Appraisal, Retention and Disposal**

Records management officers and records clerks (clerical officers) were asked at what point they appraised records in the county. Based on the responses filled in the questionnaires, a majority of the records clerks seemed unaware of what records

appraisal is and at what point it is performed. However, a few of the records officers and records clerks (27.9%) highlighted that records are appraised in the event that the County believes that certain documents are not anymore required for ongoing office operations. However, they acknowledged that records appraisal is rarely done at the county. This was corroborated by the records officer in charge of the central registry who noted that:

*“There is no programme for records appraisal and disposition, the last appraisal exercise was done in 2013 with the onset of county governments and the then Eldoret Municipal records that were found to have been dismissed were put in archival boxes and stored in a section within the central registry and no action was done to them to date” (R20, August 20<sup>th</sup>, 2021).*

A CEC member commented that appraisal is crucial for keeping the county government’s records system manageable, but better training and awareness was needed among staff about this process. A CCO stated:

*“We only appraise records when space is an issue, which isn't ideal; there should be regular intervals for appraising documents” (R16, August 20<sup>th</sup>, 2021).*

The researcher observed that this was consistent with the directive of circular no. “OP/CAB.1/48A” dated 22 March 2013 issued by the then Head of Public Service which provided guidelines on the management of records including appraisal and disposal within the ongoing abolition, merger or transfer of functions across ministries or between national to the newly launched devolved systems of government (County governments).

Based on the statistics displayed and observations made on the state of records appraisal, there is a huge backlog of unappraised records hence compounding the challenge of congestion within the registry. On the criteria used to appraise records, 11 records officers and records clerks noted that appraisal is guided by the policy which

requires each type of record to have an established retention period based on administrative, legal, research, historical and financial values and is the basis upon which appraisal is made.

The researcher sought to establish whether there is a retention and disposal schedule at the County. Similarly, most of the clerical officers (records clerks) did not respond to the question. One respondent noted that retention and disposal is handled by the senior records officer. 4 (9.3%) of the records management officers agreed that the County had a schedule for retention and disposal of records though it had not been reviewed since 2013; and on how the schedule is a useful tool in the management of records, their reactions were summarized in Table 4.5:

**Table 4.5: Summary of Records Management Officers’ Responses on Schedule for Retention and Disposal**

Respondent	Response
R22	“Helps to identify and preserve records of long-term value and secure them from accidental destruction”
R24	“Prompt disposal of records whose retention period has ended”
R31	“Helps to store records which must be temporarily retained after their retention period based on issues such as litigation”

**Source: Field Data (2021)**

Regarding how e-records are appraised and disposed off; all the respondents 43 indicated that there was no criteria in place for the appraisal and disposal of e-records since digitization had not been fully rolled out in the county.

Finally, the study sought to determine the procedure used for records disposal. The procedure to be followed in disposing of records is described in detail in the records management policy and is as follows: In collaboration with the Director of KNADS, the County Government will develop a retention and disposal schedule that will be

evaluated on a regular basis to make sure it stays effective; Semi-active records will be moved to the County Records Center to await appraisal as the start of the records disposal process at the departmental level; Non-active records shall be appraised to ascertain their value; those that have continuing value shall be moved to the National Archive in accordance with the organization's retention and disposal schedule; and records that have no value shall be destroyed with the Director of KNADS's approval. When KNADS approves the destruction of valueless records, the County Head of Records Management Unit, or a designated representative in consultation with the County Secretary, shall witness and certify the destruction. Valueless records shall be destroyed through pulping, shredding, incineration or any other environmentally friendly destruction method.

The data reveals that appraisal and disposition is rarely done despite the fact that there is a very elaborate procedure for records appraisal, retention and disposal in Uasin Gishu County. At the time of data collection, it was observed that appraisal and disposal had not been done since the county did not have an updated retention and disposal schedule.

The results regarding records appraisal practices in Uasin Gishu County reflected a lack of awareness among many records clerks about what records appraisal entails and when it is typically performed. However, a portion of records officers and clerks (27.9%) recognized that records are appraised when the County deems them no longer necessary for current administrative purposes. In line with Schellenberg (2017), this raises concerns about a significant backlog of unappraised records, exacerbating the issue of congestion within the registry. In terms of the criteria for records appraisal, 11 respondents emphasized that it is guided by policies specifying established retention

periods based on administrative, legal, research, historical, and financial values, serving as the foundation for the appraisal process. As per the Records Management Trust (2019) and National Archives of Australia (2021), these findings highlight the critical need for both training and awareness initiatives regarding records appraisal among staff in Uasin Gishu County.

#### **(v) Records Preservation**

The respondents were asked how records were preserved in Uasin Gishu County. Records management officers and records clerks (clerical officers) cited that regular dusting of storage areas was not a norm and that records were being dusted periodically as a way of preserving them. On being asked whether environmental conditions in the records storage areas were being monitored and controlled, they all responded negatively. A CEC member noted that periodic dusting was not enough for preserving records, stating that the county government needed to establish consistent environmental controls. A CCO emphasized that maintaining optimal storage conditions was essential to prevent the deterioration of our records over time.

To adequately address the question on preservation challenges, using the observation checklist, the investigator verified in-person details that the questionnaire was unable to obtain. Completing this activity was essential to gathering data about the County's state of records preservation. Thus, the investigator noted the following:

- a) Some file covers were of poor quality hence prone to wear and tear after prolonged handling of files;
- b) The central registry was not very clean as food remains and beverages were observed on tables, because it appeared that dining in the registry was

customary for the staff a situation which would attract biological agents of deterioration such as pests and rodents;

- c) Since closed files had not been moved to the records centre, there was congestion in the storage areas and accumulation of dust was clearly evident on the closed files which had been placed on shelves and floor suggesting that proper house-keeping was not being done;
- d) The storage area was not well ventilated to maintain stable recommended environmental conditions since there were no equipment to measure, monitor and control temperature and humidity levels;
- e) The windows were not fitted with blinders to protect the records from damage occasioned by sun rays;
- f) Light from fluorescent tubes was also seen to pose threats to closed files that were stored on top of shelves since they were not fitted with filters hence emitting ultraviolet rays considered harmful to records;
- g) Technological obsolescence posed a challenge to the electronic documents' long-term accessibility;
- h) In one section of the storage area water leaks from a broken air conditioner made their way into the storage space further compounding the preservation challenges.

However, the central registry was well lit and fitted with fire extinguishers that were functionally sound.

The researcher inquired what measures had been put in place to address the preservation challenges. Most of the participants (79.1%) indicated that a County

Records Management task force had been constituted with the mandate to formulate and implement a preservation policy that would guide Uasin Gishu County's preservation activities and ensure implementation of standards and best practices in the preservation of records in all formats hence alleviating the preservation challenges earlier observed. At the time of the study, the preservation policy had not been formulated.

As an aspect of records preservation, the participants were questioned about Uasin Gishu County's disaster management programme, which includes a strategy for risk assessment and analysis, preparedness, prevention, response, and recovery. All the records management officers and records clerks (clerical officers) (100.0%) noted that the County did not have such a programme. The absence of a disaster management programme indicates that Uasin Gishu County is unprepared for a disaster and may lose vital records which could impede the continuity of its business operations.

It is implicit from the findings that regular dusting of storage areas, which is essential for preventing deterioration, was not consistently implemented. Respondents noted that records were only periodically dusted as a preservation measure. In line with Debowski and Goldsmith (2022), this highlights a potential risk to the long-term preservation of records, especially in a region where environmental factors can contribute to degradation.

#### **(vi) Policies and Procedures for Records Management**

Records management officers and records clerks (clerical officers) were asked whether there is a policy and procedures that guide records management during their continuum to ensure access to information necessary for the achievement of sustainable development goals in the county; all the respondents (100.0%) indicated that the

County had a records management policy. Moreover, they explained that the policy guides the management of records to ensure that accurate and reliable records are created, maintained, appraised and disposed off as part of an ongoing system of care. A CEC member stated:

*“Having a records management policy is a step in the right direction for ensuring that we can meet our sustainable development goals through proper information access” (R9, August 20<sup>th</sup>, 2021).*

The sentiment was reiterated by a CCO who added that the policy provides a framework, but its implementation and adherence are critical for its success.

On whether they considered the policy and procedures adequate, the records management officers and records clerks (clerical officers) noted that the policy and procedures were inadequate in guiding records management during their continuum citing the following reasons: lack of records procedures manual, guidelines for managing electronic records, lack of a retention and disposal schedule, and lack of a disaster management plan. Most of the participants however indicated that a County Records Management Committee had been constituted and tasked with the responsibility of reviewing the policy to address the inadequacies noted by the respondents for a functional programme for managing records. When the investigation was conducted, the committee had not accomplished its mandate.

It is deducible from the findings that Uasin Gishu County had a records management policy in place, indicating an initial step towards effective records management. However, the respondents, who were records management officers and records clerks (clerical officers), expressed concerns about the adequacy of the policy and associated procedures. Consistent with the findings by Ondiege et al. (2019), respondents cited several reasons for this inadequacy, including the absence of a records procedure's

manual, guidelines for managing electronic records, a schedule for retention and disposal and a disaster management plan. These findings align with existing literature (Al Khouri et al., 2019; Kajberg & Kvist, 2018) on the importance of comprehensive procedures and policies for managing records that encompass electronic records and disaster preparedness. The lack of such components can pose significant challenges to the managing of records in a fashion that ensures accessibility for attainment of sustainable development goals.

#### **(vii) Overall State of Records Management in Uasin Gishu County**

The researcher sought to examine the state of records management at Uasin Gishu County. County Executive Committee Members (CECs) were interviewed and asked to give their assessment of the current state of records management in the County. All the participants eight opined that the records management situation had improved as compared with how the County managed its records in the past, though more needs to be done. The responses are shown in Table 4.6.

**Table 4.6: Overall State of Records Management Situation in the County**

Respondent	Response
R3	“Records management has been enhanced in the county through the adoption of best records management practices such as automation and digitization”
R5	“Investment in bulk filers and automation of systems has eased records management and service delivery”
R6	“There is record keeping and correspondence movement which aids in protecting loss of records”
R8	“The county has an organized filing system and policy”

**Source: Field Data (2021)**

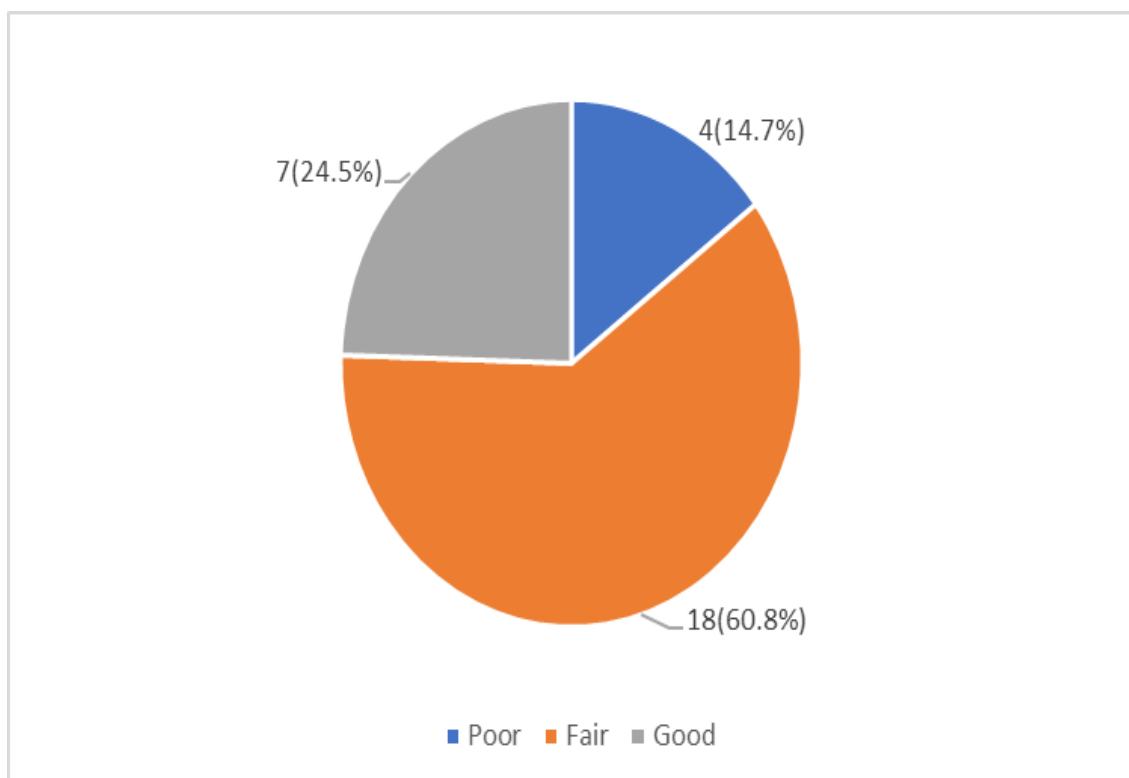
In summary, the current state of records management in Uasin Gishu County can be summed up in the testimony of one of the CECs (R4) who had this to say:

*“The County Government came into being after the 2013 general elections and inherited a large volume of documents and records from the defunct Eldoret Municipal and devolved ministries. Since records continue to be created, offices and corridors were piled with both open and closed files due to poor record keeping. At the moment the situation has improved especially with the establishment of the policy to guide the management of records although the aspect of the vulnerability of records to disasters and risks needs to be addressed” (R4, August 20<sup>th</sup>, 2021).*

The Chief Officers were also in agreement that the current records management situation was a step in the right direction, and even more progress was being made. One of the Chief Officers in suggesting the improvement indicated that though the majority of the records in the County were in paper form, most of the departments were in the process of digitizing their paper records.

According to those surveyed, the digitization project aimed to enhance quick location and retrieval of records thus promoting efficiency in accessing information to carry out daily business operations in the County.

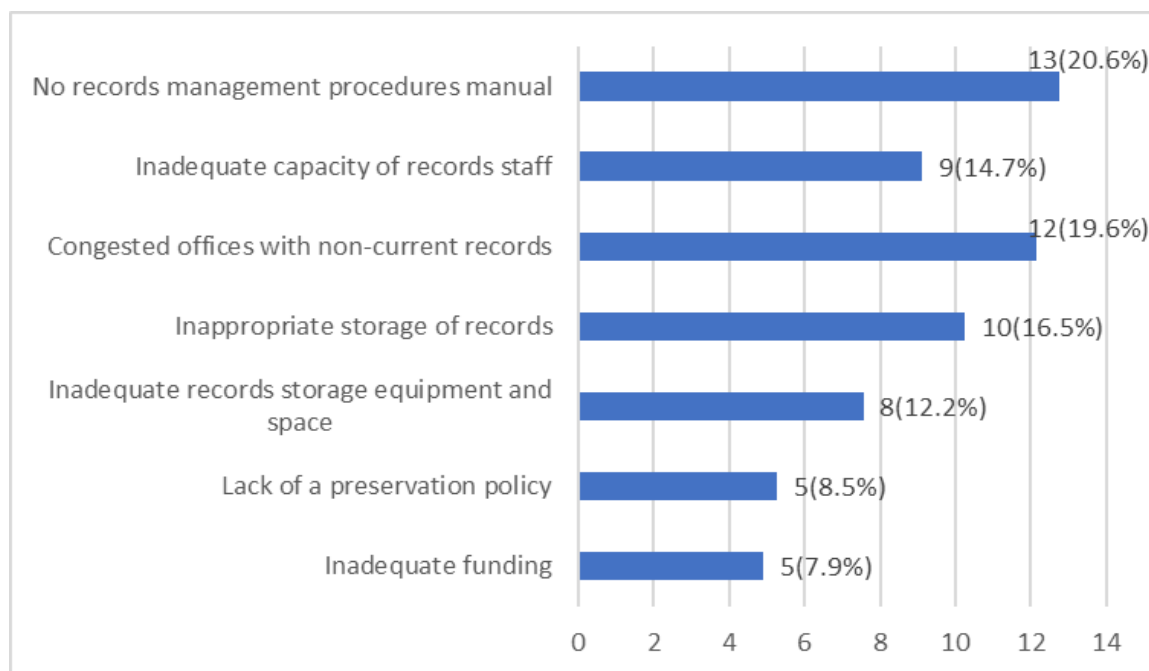
The Members of County Assembly (MCAs) were requested to evaluate the County's record keeping practices, and their answers showed that a majority (18; 60.8%) believed that records management in the County was fair with one explaining that the registry had an organized filing system, good records storage through investment in bulk filers and automation of systems that eased the management of records and improved service delivery. However, as illustrated in Figure 4.5, 7 (24.5%) of respondents thought it was good, while 4 (14.7%) thought it was poor explaining that the state of records was wanting and a lot of work needed to be done.



**Figure 4.5: Rating the Management of Records by MCAs**

**Source: Field Data (2021)**

Those surveyed provided several answers when asked to list the factors which contributed to the state of records management at the time. As depicted in Figure 4.6, most of the participants (13; 20.6%) stated that there were no records management procedures manual; followed by 12 (19.6%) respondents who indicated that several offices were congested with non-current records; inadequate capacity of records staff (9; 14.7%); 10 (6.57%) indicating inappropriate storage of records; insufficient space and records storage equipment (8; 12.2%); lastly lack of a preservation policy and disaster management programme (5; 8.5%); and inadequate funding (5; 7.9%).



**Figure 4.6: Contributing Factors to the Records Management Situation**

**Source: Field Data (2021)**

The study further set out to examine the current practices of managing records at Uasin Gishu County. To this end, COs, Records Management Officers and Records Clerks (Clerical Officers) were first asked to rate their degree of affirmation with various items posed with regard to the current records management practices in place at Uasin Gishu County. Likert scale responses were provided on a five-point scale, whereby “1=Strongly Disagree, 2=Disagree, 3=Neutral, 4=Agree and 5=Strongly Agree”. Responses were computed into descriptive statistics, results of which are as presented in Table 4.7.

**Table 4.7: Current Records Management Practices**

		<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>Means</b>	<b>SD</b>
The records management practices within Uasin Gishu County are well-organized and efficient	F	1	4	27	15	7	3.224	0.750
	%	1.9	7.4	50.0	27.8	13.0		
There is clear procedures and policies in place for managing physical records within the County	F	5	14	28	6	1	2.625	0.887
	%	9.3	25.9	51.9	11.1	1.9		
Electronic records and digital archiving systems are effectively utilized for records management	F	4	13	28	7	2	2.561	0.662
	%	7.4	24.1	51.9	13.0	3.7		
Training and capacity building programs for records management are adequately provided to County staff	F	4	13	28	8	1	2.612	0.361
	%	7.4	24.1	51.9	14.8	1.9		
The County has mechanisms in place for the secure storage and preservation of historical records	F	2	6	28	15	3	2.779	0.456
	%	3.7	11.1	51.9	27.8	5.6		
Records retrieval processes are efficient and sensitive to the demands of County staff and the public	F	3	10	26	13	2	2.690	0.388
	%	5.6	18.5	48.1	24.1	3.7		
The County has a documented disaster recovery plan for records in case of emergencies or data loss	F	2	7	25	16	4	2.516	0.413
	%	3.7	13.0	46.3	29.6	7.4		
The County promotes transparency by providing easy access to public records	F	1	3	29	15	6	2.730	0.346
	%	1.9	5.6	53.7	27.8	11.1		
The records management practices within the County are aligned with sustainable development goals	F	1	3	30	14	6	2.758	0.415
	%	1.9	5.6	55.6	25.9	11.1		
There is effective collaboration between different departments in the County to ensure comprehensive records management	F	1	6	27	16	4	2.622	0.481
	%	1.9	11.1	50.0	29.6	7.4		
<b>Composite mean</b>							<b>2.712</b>	<b>0.516</b>

**Source: Field Data (2021)**

The analysis highlights several key areas where respondents showed the low levels of agreement. The analysis of the highest levels of disagreement among respondents regarding records management practices within Uasin Gishu County reveals several areas of concern. One notable issue is the perceived lack of clear procedures and policies for managing physical records within the County, with 9.3% strongly disagreeing and 25.9% disagreeing. This suggests a potential gap in the regulatory framework governing physical record-keeping, which could compromise the integrity and accessibility of critical information. Additionally, the low level of agreement regarding the utilization of electronic records and digital archiving systems for records management (7.4% strongly disagreeing, 24.1% disagreeing) highlights potential inefficiencies or shortcomings in the County's adoption of digital technologies. This finding underscores the importance of comprehensive digitization strategies and staff training to harness the benefits of digital record-keeping systems effectively.

Another concerning aspect is the perceived inadequacy of training and capacity building programs for records management, with 7.4% strongly disagreeing and 24.1% disagreeing. This indicates a potential skills gap among County staff responsible for records management, which could impede the effective implementation of records management practices. The lack of a documented disaster recovery plan for records in case of emergencies or data loss is also a significant point of contention, with 3.7% strongly disagreeing and 13.0% disagreeing. This raises concerns about the County's preparedness to mitigate risks associated with data loss or damage due to unforeseen events, highlighting the need for robust contingency planning and risk management strategies.

In conclusion, the findings suggest several areas where improvements are needed in records management practices within Uasin Gishu County. Addressing issues such as the lack of clear policies for managing physical records, inadequate utilization of digital archiving systems, insufficient training programs, and the absence of a documented disaster recovery plan is crucial for enhancing the efficiency, transparency, and resilience of the County's records management processes. In implementing targeted interventions to address these challenges, the County can strengthen its capacity to manage and preserve critical information effectively, ultimately supporting its sustainable development objectives.

The findings indicating a general average of 2.712 and a departure from the mean of 0.516, which suggests that most of those surveyed express only moderate satisfaction with the current records management practices in Uasin Gishu County, align with the concerns and challenges often discussed in the literature (Dong et al., 2017; Owino & Mutula, 2020). Specifically, the moderate affirmation regarding the organization and efficiency of practices of managing records in the County echoes the existing critique that public sector institutions, including counties, face issues related to the systematic arrangement and efficiency of their records (Kotia, 2019; Kimathi et al., 2019). The somewhat lower ratings related to the alignment of records management with sustainable development goals and transparency in providing public access to records resonate with the ongoing discussions regarding the need for public institutions to integrate records management into broader strategic objectives and enhance access to information as a foundation for good governance and sustainable development (Bowden & Guttman, 2017; Okello, 2019). The findings also point to potential areas where improvements are warranted, emphasizing the relevance of tailored interventions

in enhancing records management practices within the County. It underscores the necessity for counties to take effective measures in strengthening records management, as this has far-reaching implications for transparent governance, public participation, and ultimately, the realization of sustainable development goals.

Regarding how managing records contributes towards the realization of their mandate, the study results revealed that all the 8 CECs and 11 COs acknowledged that managing records was critical to the achievement of their mandate, and hence needed to be well managed. The CECs noted that records management helps in: the provision of relevant records; documentation is essential for completing their particular departmental tasks since they serve as an instrument for making choices; and facilitating the policies documented to guide the development and implementation of programmes. Further, one respondent (R3) in an interview pointed out that:

*“Information plays a critical role in the realization of sustainable development in the county since this information is obtained from the records created and maintained by the county” (R3, August 20<sup>th</sup>, 2021).*

The study results from the 11 Chief officers indicated that the duty of the handling of records was responsible for: facilitating documentation of relevant offices that guide the development and implementation of information systems; ensuring availability of information on matters such as training needs for purposes of staff development; provision of pertinent papers and records; referencing services; prompt records extraction and secure records storage, all of which contributed to the organization's ability to fulfil its mission by guaranteeing a smooth flow of information. Three top officers also recognized that records played a crucial role in ensuring the successful execution of reforms since they provided documentation of the actions taken and the money allocated to the reform initiatives. According to one of the interviewees:

*Records management helps in safeguarding important information in the department. It also guarantees confidentiality and preserves the integrity of important records as per the set standards (R3, August 20<sup>th</sup>, 2021).*

Majority of the MCAs noted that records management act as references and provides a seamless flow of information as well as giving a history of past approaches to their functions on legislation, representation and oversight.

Respondents were further asked to assess the effect of the existing records management practices on access to public information as a prerequisite for the attainment of SDGs in the County. All the CECs confirmed that records management in the County was mostly paper-based and this had an impact on access to information. The five CECs interviewed and seven COs noted that due to the huge backlog of non-current paper-based records that are not appraised some of the information that they require to discharge their duties was inaccessible. 15 (34.9%) of records management officers and records clerks (clerical officers) opined stating that due to inadequate records management staff and poor records management, the County could not appraise their departmental records, which led to the build-up of closed records. According to those surveyed, the manual system of managing of records often tends to result in volumes of poorly organized records which coupled with the poor condition of records storage equipment may cause delays in information retrieval and access thus overall inefficiency and poor service delivery. They were however optimistic that this will be rectified by the ongoing digitization exercise at the County government. The respondents clarified that the County government had embarked on a program that would see all of its departments digitize their records to deal with the slow pace of retrieving hard copy records. 12 (66.7%) MCAs concurred by explaining that digitization will enhance searching, retrieval and quick access to records hence improving service delivery and efficiency.

According to the answers, effective record keeping is essential in enabling the public to successfully access information. Without the management of all records whether electronic or paper-based, the County government simply cannot provide access to the information their citizens need and thus cannot remain accountable for their actions nor can they be transparent in their operations.

It can be inferred from the findings that there is mixed perception of the records management system as it exists now. While most of those surveyed (60.8%) considered it fair, with positive comments about the organized filing system and investments in records storage and digitization, 14.7% of the respondents viewed it as poor, expressing concerns about the state of records. A smaller percentage (24.5%) believed it was good. These findings align with the existing literature by Garcia and Patel (2020) and Kim and Martinez (2022), which underscores the importance of well-organized records management systems and highlights the challenges that can arise when records are inadequately maintained or not easily accessible. It underscores the need for improvements in records management practices to ensure efficiency, transparency, and accessibility in line with international best practices.

The study's findings reveal significant gaps when analyzed through the RCM and the PMIM. The absence of guidelines for records creation and lack of structured appraisal and disposal programs indicate foundational issues in maintaining a continuous, integrated records management system (McKemmish, 1997; Reed, 2005). Additionally, challenges such as storage congestion, inadequate equipment, and insufficient preservation practices highlight inefficiencies in the records management process, exacerbated by inadequate training and budget constraints (Marchand, Kettinger, & Rollins, 2000; Choo, 1996). Addressing these gaps requires a comprehensive strategy

that aligns with both RCM and PMIM principles, focusing on clear guidelines, enhanced appraisal and disposal, improved storage solutions, and better resource allocation to support sustainable development and access to public information.

#### **4.4.2 Uasin Gishu County Development and Access to Public Information**

The study set out to establish the link between Uasin Gishu CIDP and access to public information for sustainable development of UG County. The goal of this objective was to examine how access to public information influences the development of Uasin Gishu County by fostering transparency, accountability, and citizen engagement. To address this objective, the study required both qualitative and quantitative data to provide a holistic understanding of the relationship between records management and county development. To this end, COs, Records Management Officers and Records Clerks (Clerical Officers) were asked to rank their degree of affirmation with various items posed with regard to Uasin Gishu County government's Development Plan in the context of access to public information for sustainable development. Likert scale responses were provided on a five-point scale, whereby "1=Strongly Disagree, 2=Disagree, 3=Neutral, 4=Agree and 5=Strongly Agree". Responses were computed into descriptive statistics, results of which are as presented in Table 4.8.

**Table 4.8: Uasin Gishu County Development and Access to public information**

		<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>Means</b>	<b>SD</b>
Mechanisms are in place to monitor and report on the County's development progress concerning access to public information	F %	2 3.7	6 11.1	14 25.9	24 44.4	8 14.8	3.812	0.403
Strategies for improving access to public information are integrated into the County Government's decision-making processes	F %	2 3.7	6 11.1	15 27.8	24 44.4	7 13.0	3.740	0.350
The County actively engages with local communities to gather input on improving access to public information	F %	1 1.9	6 11.1	17 31.5	22 40.7	8 14.8	3.669	0.445
The County's development plan prioritizes initiatives that facilitate access to public information, such as transparent governance and open data	F %	1 1.9	7 13.0	14 27.8	24 44.4	7 13.0	3.732	0.346
The County's development plan prioritizes initiatives that promote equitable access to information, including digital literacy programs and community information centers	F %	1 1.9	8 14.8	14 27.8	23 42.6	7 13.0	3.718	0.365
The County collaborates with stakeholders to enhance access to public information, including partnerships with civil society organizations and the media	F %	1 1.9	6 11.1	16 29.6	24 44.4	7 13.0	3.887	0.445
The County effectively communicates information about its development initiatives to the public through accessible channels	F %	2 3.7	5 9.3	17 31.5	23 42.6	7 13.0	3.978	0.357
Mechanisms are in place to address challenges in ensuring access to public information within the County, such as addressing digital divides and ensuring transparency in decision-making processes	F %	2 3.7	6 11.1	16 29.6	22 40.7	8 14.8	3.679	0.440
<b>Composite mean</b>							<b>3.620</b>	<b>0.405</b>

**Source: Field Data (2021)**

The findings in Table 4.8 reveals several key findings regarding access to public information within Uasin Gishu County. One notable aspect is the strong consensus that the County's development plan prioritizes enhancing access to public information, with 42.6% of respondents agreeing and 13.0% strongly agreeing. This indicates a clear

commitment by the County Government to transparency and accountability in its development initiatives. Similarly, there is significant agreement that mechanisms are in place to monitor and report on the County's development progress concerning access to public information, with 44.4% agreeing and 14.8% strongly agreeing. This suggests a proactive approach to tracking and evaluating the County's efforts in promoting information accessibility.

Furthermore, there is substantial agreement that the County actively engages with local communities to gather input on improving access to public information, with 40.7% agreeing and 14.8% strongly agreeing. This reflects a participatory approach to decision-making and underscores the importance of community involvement in shaping policies related to information dissemination. The overall average of 3.620 and a departure from the mean of 0.405 implies a strong affirmation to the Uasin Gishu County government's Development Plan aligning to access to public information for sustainable development. Most of the participants were particularly found to highly affirm that the County effectively communicates information about its development initiatives to the public through accessible channels (3.978); the County collaborates with stakeholders to enhance access to public information, including partnerships with civil society organizations and the media (3.887); mechanisms are in place to monitor and report on the County's development progress concerning access to public information (3.812); sustainable development principles are incorporated into the procedures used to make decisions of the County Government (3.740); and that the County's development plan prioritizes initiatives that facilitate access to public information, such as transparent governance and open data (3.732).

The findings from the study indicate a strong affirmation among Chief Officers, Records Management Officers, and Records Clerks regarding the alignment of Uasin Gishu County's Development Plan with access to public information for sustainable development. With an overall average of 3.620 and a departure from the mean of 0.405, the participants express robust support for the County's efforts in this regard. Particularly noteworthy is the high affirmation towards the County's effective communication of development initiatives to the public through accessible channels (3.978) and the prioritization of enhancing access to public information within the Development Plan (3.924).

These findings resonate with existing literature emphasizing the importance of transparent governance, stakeholder collaboration, and information dissemination in sustainable development efforts (Abu-Tayeh & Al-Naimat, 2018; United Nations, 2015). The strong affirmation towards mechanisms for monitoring and reporting on development progress (3.812) and the incorporation of sustainable development principles into decision-making processes (3.740) further underscores the County's commitment to promoting access to public information for sustainable development (Camacho-Miñano et al., 2020; United Nations, 2017). Moreover, the recognition of initiatives prioritizing transparent governance and open data (3.732) aligns with global trends emphasizing the role of open data and information transparency in fostering inclusive development (Fung et al., 2017). These findings collectively highlight the importance of integrating access to public information into development planning processes to achieve sustainable outcomes.

Upon further probing, the investigation aimed to determine if Uasin Gishu County has a current County Integrated Development Plan (CIDP). Respondents from all

categories agreed that there is a current County Integrated Development Plan (CIDP) that runs from 2018-2022.

To get more insights into the County's development agenda, the MCAs were asked to indicate at what point the County Integrated Development Plan (CIDP) is developed and their role in this process. Their responses are summarized in a narration by one MCA (R7):

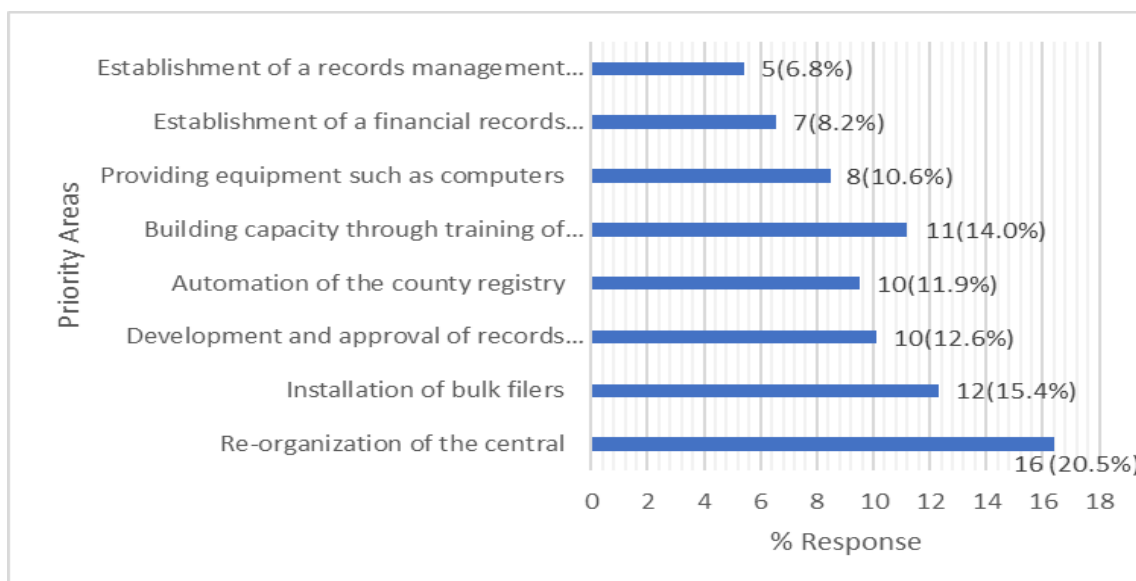
*The CEC in charge of finance and planning prepares a procurement proposal detailing the development agenda for the county in any given financial year. The proposal is then subjected to scrutiny and deliberations by members of the public (in the presence of county officials) in what we call public participation meetings. This gives an opportunity to the members of the public to give their input on the development agenda affecting them. With these inputs, the proposal is thereafter debated upon in the county assembly for purposes of approval and onward authorization by the governor before it is submitted to the controller of budgets within the central government. The plan is then uploaded to the government Integrated Financial Management Information Management System (IFMIS) awaiting implementation by the concerned departments (R7, August 20<sup>th</sup>, 2021).*

From the findings presented, the primary role of the MCAs is to organize public participation forums, debate on proposals and approve the CIDP at the County assembly. Furthermore, the findings reveal that the development of the CIDP is a product of consultation within and without the county and it is the success of the process that will determine the achievement of sustainable development in the county over time.

On being asked how the CIDP is interlinked with the SDGs, all the eight CECs and COs (10) stated that the Uasin Gishu CIDP outlines policies, programmes and projects that will be implemented to facilitate the attainment of the 17 Sustainable Development Goals and its associated targets. One of the CECs' (R1) comments summarizes their responses:

*Relevant Sustainable Development Goals (SDGs) are integrated into the CIDP priority programmes through various strategies aimed at the realization of SDGs (RI, August 20<sup>th</sup>, 2021).*

The participants were then queried if records management forms part of the County Integrated Development Plan. All the eight CECs, COs (11) and records management officers and records clerks (clerical officers) 43 agreed that records management is captured in the CIDP. For more insights into this, respondents in all categories were asked what records management priority programmes had been identified for the next five years. As shown in Figure 4.7, a notable number of those surveyed (16; 20.5%) indicated the re-organization of the central registry to a more expansive office, followed by installation of bulk filers (12; 15.4%) and development and approval of records management and ICT policy (10; 12.6%). Further, 10 (11.9%) noted automation of the county registry through the setting up of an electronic records management system; building capacity through training of records staff (11; 14.0%); and providing them with equipment such as computers (8; 10.6%). Lastly, 7 (8.2%) respondents highlighted that the County had prioritized the establishment of a financial records documentation centre (7; 8.2%) and a records management unit (5; 6.8%) for the supply chain to better manage the records and comply with procurement and financial regulations.



**Figure 4.7: Records Management Priority Areas**

**Source: Field Data (2021)**

The participants were further asked how the implementation of these records management priority programmes promotes access to public information as a prerequisite for the attainment of sustainable development. From the CEC interviews, a majority agreed that the priority programmes were geared towards streamlining records management through improved records storage, easy access to County information and improved security of County information. In addition, eight COs concurred by indicating that Uasin Gishu County intends to leverage on ICT as a strategy to enhance access to public information through automation of the County registry. Moreover, 11(61.1%) MCAs noted that the records management priority programmes will increase the capacity of the County to provide information upon request by the public, and finally, 34 records management officers and records clerks (clerical officers) highlighted that there will be effective and efficient management of records which will facilitate easy access, retrieval and traceability of records and in the long run accountability, integrity and safe custody of records will be guaranteed which will lead to improved development in the county.

The data reveals that implementation of these records management priority programmes will enhance timely retrieval of information hence the realization of the aspirations and the goals of the SDGs through ensuring access to public information necessary to enable them to take part in the socio-economic development of the County.

The study's findings indicate a strong affirmation, with a general average of 3.620 and a departure from the mean of 0.405, implying that respondents express a robust consensus regarding the alignment of Uasin Gishu County's Development Plan with sustainable development principles. The County Government is seen as effectively communicating its progress related to the SDGs to the public, emphasizing transparency and public engagement (average rating of 3.978). Furthermore, the plan is perceived as being elaborately synced to the UN's sustainability goals, reflecting a commitment to global development agendas (average rating of 3.924). The active collaboration with various stakeholders, including non-governmental organizations and international agencies, to advance sustainable development initiatives underscores the County's efforts to engage in multi-stakeholder partnerships (average rating of 3.887). Additionally, the presence of a well-defined strategy to monitor and report on progress against the SDGs demonstrates a commitment to accountability and goal tracking (average rating of 3.812). The integration of sustainable development principles into the County Government's decision-making processes signifies a holistic approach to governance (average rating of 3.740). Finally, the emphasis on environmental sustainability within the development plan, particularly concerning renewable energy and natural resource conservation, highlights the importance of ecological considerations in the county's development agenda (average rating of 3.732). The study findings further established that the Uasin Gishu County had a five-year CIDP that

outlines policies, programmes and projects that will be implemented to facilitate the attainment of the 17 Sustainable Development Goals and its associated targets. In this study, the most relevant target was SDG 16 target 10 which states that all countries pledge to ensure access to public information (United Nations, 2015b).

The study further found that records management formed part of the CIDP. As per the plan, the Uasin Gishu County would implement records management priority programmes such as the re-organization of the central registry to a more expansive office; installation of bulk filers; development and approval of records management and ICT policy; automation of the County registry through installation of an electronic records management system; building capacity through training of records staff and providing them with equipment such as computers; the establishment of a financial records documentation centre and a records management unit for the supply chain in order to better manage the records and comply with procurement and financial regulations, by the year 2022. These priority programmes aim at streamlining records management through improved security, storage, retrieval of records and leveraging ICT to enhance access to public information hence the realization of the aspirations of Goal 16.10 of the SDGs through ensuring access to public information necessary to enable them take part in socio-economic development of the County.

During the study period, apart from the records management policy which was due for review and the automation project which was at its infancy stages, there was not much to show regarding the implementation of these records management priority programmes as there was congestion in the registry due to inadequate space and equipment, inadequately trained staff, and lack of e-records management policy. This

had a negative impact on the efficient management of records and the ability to facilitate retrieval, easy access and safe custody of records in Uasin Gishu County.

It is implied from the results of the investigation that Uasin Gishu County has made substantial efforts towards aligning its development plan with sustainable development goals, demonstrating a strong affirmation in this regard. As per White and Santos (2022), the policy on records management, even though it requires review, reflects the county's recognition of the significance of effective records management in its development initiatives. However, consistent with Schneider and Fischer (2020), the study also reveals inadequacies in the policy, particularly regarding the management of records on physical and in electronic format, highlighting the need for further policy development and refinement. Furthermore, the Integrated Development Plan (CIDP) for 2018-2022 plays a pivotal role in outlining records management priorities, which are essential for ensuring access to public information and achieving Sustainable Development Goals. These findings resonate with Robek et al. (2019) who emphasizes the significance of aligning development plans with sustainable development objectives and the role of comprehensive records management policies in supporting this alignment.

The study's findings on Uasin Gishu County's integration of access to public information within its development plan can be analyzed through the lenses of the RCM and the PMIM. The RCM emphasizes a holistic approach to records management, advocating for continuous, integrated processes across the lifecycle of records (McKemmish, 1997). This aligns with the County's efforts to foster transparency and accountability through effective communication and stakeholder collaboration, which are crucial for maintaining reliable and accessible records.

Similarly, the PMIM highlights the importance of managing information flow and quality to support decision-making and strategic objectives (Choo, 1996; Marchand, Kettinger, & Rollins, 2000). The County's prioritization of transparent governance and open data initiatives demonstrates an understanding of information management as a continuous process that enhances public trust and engagement. Despite these advancements, the need for ongoing monitoring and evaluation to address existing challenges underscores the necessity for robust records and information management frameworks that support sustainable development goals. Thus, the integration of RCM and PMIM principles is essential for the County to realize its objectives of inclusive and equitable development.

#### **4.4.3 Effectiveness of Records Management in Ensuring Access to Public Information**

The study set out to evaluate the effectiveness of records management in ensuring access to public information as a prerequisite for the attainment of sustainable development. To this end, COs, Records Management Officers and Records Clerks (Clerical Officers) were asked to rank their degree of affirmation with various items posed with regard to the effectiveness of records management in ensuring access to public information as a prerequisite for the attainment of sustainable development. Likert scale responses were provided on a five-point scale, whereby "1=Strongly Disagree, 2=Disagree, 3=Neutral, 4=Agree and 5=Strongly Agree". Responses were computed into descriptive statistics, results of which are as presented in Table 4.9.

**Table 4.9: Effectiveness of Records Management in Ensuring Access to Public Information**

		<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>Means</b>	<b>SD</b>
Records management practices within the County significantly contribute to the efficient provision of public information	F %	3	4	15	20	12	3.873	0.412
		5.6	7.4	27.8	37.0	22.2		
The County Government has a well-defined records management framework in place that ensures access to public information	F %	2	3	14	22	13	3.970	0.548
		3.7	5.6	25.9	40.7	24.1		
Electronic records and data management systems facilitate the retrieval and dissemination of public information	F %	3	4	15	20	12	3.868	0.422
		5.6	7.4	27.8	37.0	22.2		
There are clear protocols for archiving, preservation, and disposal of records within the County Government	F %	3	3	16	21	11	3.889	0.392
		5.6	5.6	29.6	38.9	20.4		
The County's records management practices are fully aligned with legal and regulatory requirements for access to public information	F %	2	3	18	25	6	3.977	0.271
		3.7	5.6	33.3	46.3	11.1		
Capacity building and training programs are effective in promoting records management practices among County staff	F %	3	4	14	19	14	3.843	0.504
		5.6	7.4	25.9	35.2	25.9		
Records management within the County Government supports the preservation of historical and cultural heritage	F %	2	3	16	21	12	3.925	0.448
		3.7	5.6	29.6	38.9	22.2		
Records management contributes to the County's efforts in achieving the SDGs by providing essential data and information	F %	3	4	15	20	12	3.832	0.466
		5.6	7.4	27.8	37.0	22.2		
There is effective collaboration between records management and public information access departments within the County Government	F %	3	4	15	20	12	3.852	0.468
		5.6	7.4	27.8	37.0	22.2		
The County Government continuously evaluates and improves records management practices to ensure public access information	F %	3	4	13	21	13	3.649	0.411
		5.6	7.4	24.1	38.9	24.1		
<b>Composite mean</b>							<b>3.868</b>	<b>0.434</b>

**Source: Field Data (2021)**

The outcomes obtainable in Table 4.9 reveals several noteworthy findings regarding records management practices within Uasin Gishu County. A significant consensus exists that the County Government has a well-defined records management framework in place that ensures access to public information, with 40.7% of respondents agreeing and 24.1% strongly agreeing. This suggests that the County has established clear guidelines and procedures for managing records, which is essential for ensuring transparency, accountability, and efficient access to information. Similarly, there is substantial agreement that the County's records management practices are fully aligned with legal and regulatory requirements for access to public information, with 46.3% agreeing and 11.1% strongly agreeing. This indicates a commitment to compliance with relevant laws and regulations governing records management, which is crucial for protecting citizens' right to access information.

Furthermore, respondents widely agree that records management within the County Government supports the preservation of historical and cultural heritage, with 38.9% agreeing and 22.2% strongly agreeing. This underscores the importance of records management not only for facilitating access to current information but also for preserving valuable historical records that document the County's heritage and development over time. Additionally, there is significant agreement that records management contributes to the County's efforts in achieving the SDGs by providing essential data and information, with 37.0% agreeing and 22.2% strongly agreeing. This highlights the role of records management in generating data-driven insights that can inform policymaking and development initiatives aimed at achieving the SDGs.

The findings indicate strong support for various aspects of records management practices within Uasin Gishu County. In ensuring a well-defined records management

framework, aligning practices with legal requirements, preserving historical heritage, and contributing to SDG achievement efforts, the County demonstrates a commitment to effective governance, transparency, and sustainable development. These findings underscore the importance of robust records management systems in supporting informed decision-making and promoting accountability within the County.

The overall average of 3.868 and a departure from the mean of 0.434, imply a strong affirmation to the effectiveness of records management in ensuring access to public information as a prerequisite for the attainment of sustainable development. Most of the participants were particularly found to highly affirm that the County's records management practices are fully aligned with legal and regulatory requirements for access to public information (3.977); the County Government has a well-defined records management framework in place that ensures access to public information (3.970); records management within the County Government supports the preservation of historical and cultural heritage (3.925); records management practices within the County significantly contribute to the efficient provision of public information (3.873); there are clear protocols for archiving, preservation, and disposal of records within the County Government (3.889); and that electronic records and data management systems facilitate the retrieval and dissemination of public information (3.868).

For further insights into the effectiveness of records management in facilitating access to public information, the researcher asked the CECs and COs to indicate the role that they thought information played in the realization of Sustainable Development in the County and the main sources of this information. All the eight CECs interviewed indicated that information plays a critical role in the realization of sustainable development in the County. They explained that the availability of information was

crucial in making decisions on which development projects to prioritize in order to ensure equitable resource allocation in the County. One particular CEC (R2) had this to say:

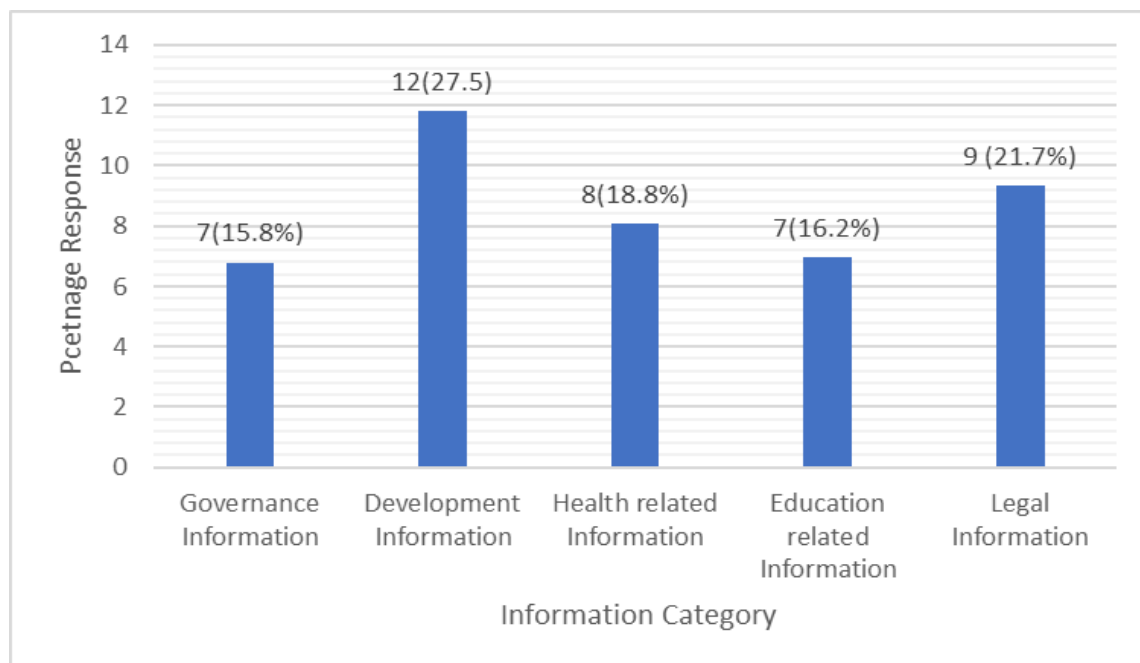
*“Information plays an important role in the realization of sustainable development in the county since it is through the information that we can know what has been done in terms of development in the county, what requires improvement and what has not been done. This way we can prioritize development projects in different parts of the county thus enhancing equitable distribution of resources within the county” (R2, August 20<sup>th</sup>, 2021).*

In furtherance of this, all the Chief Officers concurred that records as a source of information help the County government make fair and informed decisions during the resource allocation process in the county since records act as a guideline.

On the main sources of the information, most of the participants identified the following: the payroll system; county records; resource centres including library and registry; county website; county assembly laws and statutes; the Kenyan Constitution; and Acts of Parliament. From the list of sources given, it is concluded that records created and maintained by the county are the chief source of information required for sustainable development in the county. This conclusion is arrived at by looking at the sources given, they are all records albeit in different forms and formats.

To corroborate this finding, the records management officers and records clerks (clerical officers) were asked to identify the categories of information commonly requested by the County officers. As illustrated in Figure 4.8, a most of those surveyed (12; 27.5%) indicated development information, followed by 9 (21.7%) indicating legal information, while 8(18.8%) affirmed to health-related information. A further 7 (16.2%) affirmed to education related information while 7(15.8%) affirmed to

governance information. From the responses, it seemed that development information was the most requested category of information in the County.



**Figure 4.8: Categories of Information**

**Source: Field Data (2021)**

Additionally, the records personnel were asked what their role is in meeting the information needs of the county. Majority of the records personnel indicated that their role is to manage county records throughout their life cycle in order to facilitate access and use of the information in the records by County stakeholders. The researcher further asked this cadre of staff how critical records management is in meeting the information needs of the County officers. Their responses showed that records management is very critical in ensuring sustainable development in the County. Table 4.10 gives a summary of their responses.

**Table 4.10: Questionnaire Response on the Role of Records Management in Meeting the Information Needs of the County Officers.**

<b>Respondent</b>	<b>Response</b>
Q35	Records assist the county officers to plan for the county in terms of having the right information to act and prioritize on the development agenda thus making records management very critical in the governance of the county.
Q7	Records management enables the availability of complete and reliable information necessary for planning and development in the county.
Q9	It enables the county officers to have the right information to enable them to work effectively and efficiently.
Q16	Records management assists in planning for the county's priorities and objectives.
Q17	Records management ensures the timely availability of information for decision making.
Q18	It is a crucial tool for ensuring transparency and accountability in the county.

**Source: Field Data (2021)**

Similarly, MCAs agreed that records management plays an important role in the realization of sustainable development in the County. Seven MCAs explained that they required information on the needs of their people to propel development in their areas of representation. Likewise, five MCAs indicated that over and above the information needs of the people, they also need information on the budget proposal and completed development projects in their areas of representation and other parts of the County. However, when asked where they sought the information, they all indicated the consultative meetings alluded to earlier. The five MCAs that indicated that they require other additional information reported other sources of information including the County website, libraries and county registries. These findings show that although the MCAs recognize the role of information and by extension records management in the

realization of sustainable development in the county majority do not make use of this strategic resource.

The investigation set out to determine if the existing records management infrastructure in the County met the information access requirements for the development process. All the CECs interviewed revealed that although the County government had made progress towards improving records management the existing records set up did not adequately meet the information access requirement in the County. The respondents noted that the challenges presented by the absence of legislation on access to information, inadequately trained staff and inadequate storage equipment did not sufficiently guarantee access to information necessary for decision making. Seven Chief Officers also concurred with these sentiments that the County has made efforts to streamline records management infrastructure adding that emphasis has been placed on automation to enhance access to information. One of the chief officers noted that:

*“More emphasis has been put on equipment and systems acquisition to enhance information access through automation” (R7, August 20<sup>th</sup>, 2021).*

Respondents were further asked what investment the County government has made towards the improvement of records management in order to ensure access to public information as a prerequisite for the attainment of sustainable development. It emerged from the interviews with the CECs that the County government is planning to recruit more records management staff, redesign the registry to be more spacious, installation of cabinets and bulk filers, and automation of the County registry through the installation of an Electronic Records Management system. Moreover, the Chief Officers opined by stating that the County had made a considerable investment to improve records management through redesigning existing staffing structures,

sensitizing all staff on key records management issues, introducing new budget categories for records management, awareness creation on the existence of a records management policy, and refurbishing of the County information and documentation centre.

On how the county is dealing with the management of e-records as a tool for enhancing access to public information necessary for the attainment of SDGs in the County, majority of the CECs 6 noted that an electronic records management policy is being developed and will go a long way in streamlining the management of electronic records. One of the CECs (R5) highlighted that:

*“Development and approval of the electronic records management policy will provide guidance and direction on how e-records are managed across the County. This policy will also support strategies for improving the quality of e-records created and maintained in the County thus enhancing their availability for decision making, management planning, accountability and transparency” (R5, August 20<sup>th</sup>, 2021).*

In the same breath, eight COs noted that the County is committed to providing capacity building programmes through training of staff on e-records management and providing them with the necessary equipment to enhance access to information. One respondent highlighted that:

*“The County is in the process of undertaking capacity building for records personnel, ICT officers and County communication staff through training and technical support to equip them with the requisite knowledge and skills to implement access to information” (R10, August 20<sup>th</sup>, 2021).*

Furthermore, a majority of the records management officers and records clerks (clerical officers) 31 noted that the county had planned within the CIDP 2018-2022 plan period to digitize and automate the process of records management through the setting up an electronic records and document management system to enhance access to information by the public. One of the records officers indicated that in some departments the transition from manual to electronic systems was underway and this was intended to

encourage resource sharing and ensure quick location and retrieval thus promoting efficiency in accessing information.

The researcher also asked the respondents in this cadre to comment on the level of top management support towards improvement of records management as an enabler to the realization SDGs in the County. The investigation discovered that although top management had included various records management priority programmes in the County Integrated Development Plan for the 2018-2022 period, the management had not given adequate priority to the development and utilization of capacity for records management. This was confirmed by the opinions of the participants that there were only a few qualified records management experts, majority of the records staff were wrongly placed, and inadequate funding for records management activities.

The outcomes of the investigation reveal a strong affirmation, with a general average of 3.868 and a departure from the mean of 0.434, indicating that respondents express a robust consensus regarding the effectiveness of records management in ensuring access to public information as a prerequisite for sustainable development in Uasin Gishu County. Notably, respondents highly affirm that the County's records management practices fully align with legal and regulatory requirements for access to public information, emphasizing compliance and transparency (average rating of 3.977).

Furthermore, the presence of a well-defined records management framework within the County Government that ensures access to public information underscores the importance of structured and systematic practices (average rating of 3.970). Records management's function in assisting with preserving of historical and cultural heritage is highly acknowledged, emphasizing the cultural and historical significance of records (average rating of 3.925). Records management practices within the County are seen as

significantly contributing to the efficient provision of public information, highlighting the critical role of records in service delivery (average rating of 3.873).

The results revealed that information plays a critical role in realization of sustainable development in the Uasin Gishu County. Of the different categories of information, development information was the most requested by the County Officers. The implication was that the information was crucial in making decisions on which development projects to prioritize in order to ensure equitable resource allocation in the County. In addition, the participants stated that the primary sources of information in the County included: County records; pay roll; resource centres; website; Constitution of Kenya, 2010; Acts of Parliament; County Assembly laws and statutes among others. From the list of sources, records were reportedly seen as the principal source of information and the only reliable and legally verifiable source of data required to make informed decisions during resource allocation for sustainable development. The study further found that the role of records personnel was to manage County records throughout their life cycle in order to facilitate access and use of the information in the records by county stakeholders.

Consequently, the findings established that records management plays a crucial role in ensuring transparency, accountability, and the realization of sustainable development in the County. The investigation's findings demonstrated that Uasin Gishu County had made efforts to streamline records management infrastructure to enhance access to public information as a prerequisite for the attainment of sustainable development. The findings revealed that the County was at the initial stages of implementing records digitization to enhance location, retrieval and access to information. The County had started putting in place infrastructure for managing electronic records such as:

purchasing computers, scanners, networking the computers and linking them to the internet and capacity building through training and technical support. The infrastructure was being developed and the transition from manual to electronic systems was underway in some departments with plans to roll this out to all departments in the County.

Furthermore, the findings of the study found that the County had made considerable investment to improve records management through redesigning existing staffing structures and training of staff; sensitizing all staff on records management; introduction of new budget categories for records management; awareness creation on the existence of a policy for managing records; and refurbishing of the County information and documentation centre. The results also demonstrated that the County had planned to: recruit more records management staff; redesign the registry to be more spacious; install more bulk filers and cabinets; and automate the County registry through installation of an electronic records management system to enhance access to information.

However, the investigation revealed that although the County government had made progress towards improving records management, the existing records management set up did not adequately meet the information access requirement in the County as a result of challenges presented by: lack of an e-records management policy; absence of legislation and policy on access to information; inadequately trained staff and insufficient storage space and equipment. Furthermore, the results demonstrated that top management did not provide adequate support to records management in as far as resources, capacity building and infrastructure development are concerned. For instance, there was inadequate budgetary allocation for the implementation of records

management priority programmes. The study findings resonate with the overarching importance of well-organized and compliant records management systems in the public sector (Kajberg & Kvist, 2018; Pham & Pham, 2020). The high level of agreement regarding the alignment of practices of managing records with regulatory and legal requirements underscores the critical role of legal frameworks in guiding and ensuring access to public information (UN, 2015; Moahi et al., 2016).

The existence of a well-defined records management framework, the preservation of historical and cultural heritage, and the support for efficient information provision align with the broader discussions emphasizing the multifaceted benefits of effective records management, including cultural preservation, service delivery, and accountability (Upadhyaya, 2018; Ondiege et al., 2019). The presence of clear protocols for archiving, preservation, and disposal of records and the facilitation of information retrieval through electronic systems underscore the significance of structured and technologically enabled records management for accessibility and sustainability (Du, 2017; Al Khouri et al., 2019). These findings highlight the County Government's effective records management practices as a fundamental enabler for transparent governance, access to public information, and the pursuit of sustainable development objectives.

Based on the statistics displayed, the staff showed commendable knowledge of the role of records in meeting the County staff's information needs, awareness of both manual and electronic records and the investments made to improve records management in order to enhance information access for the realization of sustainable development in the County. However, although some investments in records management seemed to have been made, all the respondents indicated that there was the challenge of

inadequate development and utilization of capacity building since the employees lacked the necessary training to handle e-records and that there was no policy in place yet to guide on the management of electronic records. This is likely to pose a challenge in managing records once automation is fully implemented.

As per Chike and Mensa (2021), the results of the investigation underscore the critical role of records management in facilitating transparency, access to public information, and the ultimate achievement of sustainable development goals in Uasin Gishu County. The results reveal that County staff have a strong understanding of the significance of records in meeting information needs, both in manual and electronic formats, and that investments have been initiated to enhance records management for improved information access. However, in line with findings by Brown and Chen (2018), the limited progress in digitizing records and the lack of specific training and policies for electronic records management pose challenges as automation continues. These findings further align with UNESCO (2015) who emphasized the importance of capacity building and the development of comprehensive policies for successful records management, particularly in the context of transitioning to electronic records.

The study's findings on the effectiveness of records management in Uasin Gishu County, emphasizing compliance with legal and regulatory requirements, align well with both RCM and PMIM. The RCM promotes the continuous management of records from creation through to preservation, ensuring they remain accessible and usable over time (McKemmish, 1997). This approach is reflected in the County's structured records management framework and clear protocols for archiving, preservation, and disposal, which support sustained public access and the preservation of historical and cultural heritage. Moreover, the recognition of digital documents and data management systems

highlights the integration of technology in enhancing the retrieval and dissemination of information, aligning with PMIM principles that focus on optimizing information processes to support strategic goals and decision-making (Choo, 1996; Marchand, Kettinger, & Rollins, 2000). In fostering transparency and openness through well-managed records, Uasin Gishu County not only complies with regulatory standards but also advances its SDGs. The convergence of RCM and PMIM frameworks in these findings underscores the critical role of comprehensive records management practices in promoting access to public information and supporting sustainable development efforts.

#### **4.4.4 Records Management Strategies to Enhance Access to Public Information for Sustainable Development**

The investigation sought to find out the proposed strategies that will enhance access to information held by the county government as a means to promoting sustainable development. The CECs, COs and Records management staff were requested to provide feedback on the use of ICT in the management of records in the County. All the respondents agreed that the County applied ICT in the management of electronic records. One CEC (R7) intimated that the County intended to leverage ICT as a strategy to enhance access to public information through automation of records management processes.

To corroborate this finding, the respondents were asked in what ways can ICT enhance access to public information held in the County as a means of promoting sustainable development. All the eight CECs interviewed noted that ICT provides a platform for accessing information remotely and virtually through the County website and ICT centres. Six Chief Officers were also in agreement by stating that ICT facilitates public

communication and access to information through the integrated communication platform. One of the COs enumerated that:

*“County Integrated Communication Platform is an ICT initiative aimed at ensuring proper communications are established with the public where citizens can raise issues affecting them as well as obtain relevant information from the County” (R14, August 20<sup>th</sup>, 2021).*

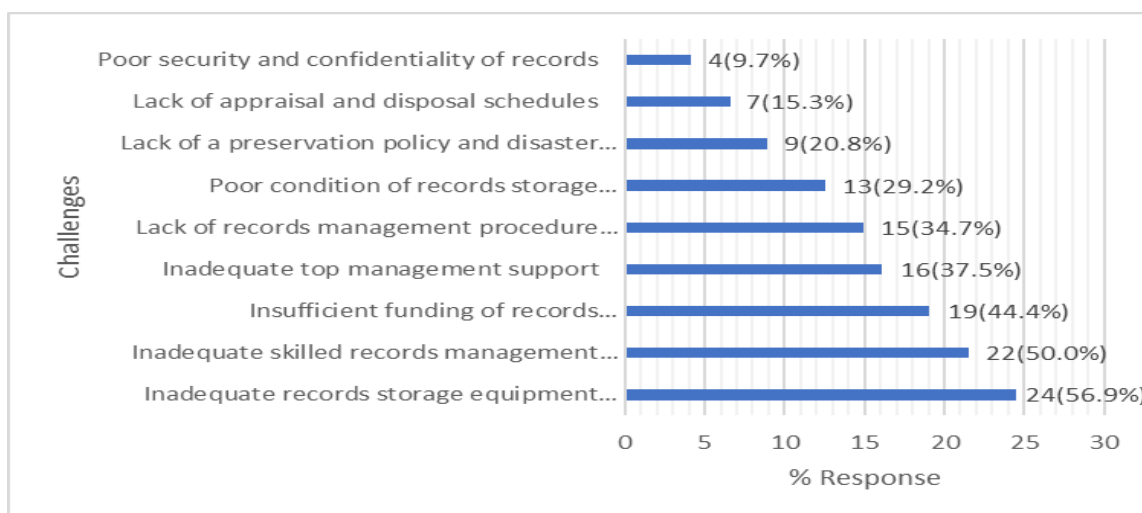
An overwhelming majority of the records management officers and records clerks (clerical officers) opined that the County is seeking to establish ICT data centres to increase data storage capacity, facilitate easy access to County information and enhance the security of County information.

In view of ICT adoption and use in county operations, the researcher asked how the County is coping with challenges related to access and use of development information, skilled manpower and ICT infrastructure. All the eight CECs interviewed revealed that County is undertaking capacity building through refresher training on ICT to assist citizens access information and developing a County ICT policy to improve the management of ICT infrastructure and streamline records management. Similarly, seven Chief Officers noted that the installation of IED screens in strategic locations within the town is aimed at ensuring public access to development information. Also, records management officers and records clerks reiterated that County is setting up ICT centres across the different sub-counties to increase access to public information as alluded to earlier.

Concerning challenges that the County faced in ensuring effective records management as a means of information provision that would guarantee sustainable development. The majority of the respondents interviewed indicated inadequate staff capacity especially among staff in records management, absence of guidelines and policy on e-records management, insufficient space and accommodation for records management

activities, inadequate tools and equipment, inadequate budgetary allocation and lack of legislation and guidelines on access to information at Uasin Gishu County. The Chief Officers and records management staff were also requested to list the difficulties they had in ensuring effective records management as a means of information provision that would guarantee sustainable development in the county.

As illustrated in Figure 4.9, the data collected from the respondents indicated the following: congestion due to inadequate records storage equipment and space (24; 56.9%); inadequate skilled records management staff (22; 50.0%); insufficient funding of records management (19; 44.4%); inadequate top management support (16; 37.5%); lack of records management procedure manual (15; 34.7%); poor condition of records storage equipment (13; 29.2%); lack of a preservation policy and disaster management plan (9; 20.8%); lack of appraisal and disposal schedules (7; 15.3%); and finally 4 (9.7%) of the respondents indicated poor security and confidentiality of records.

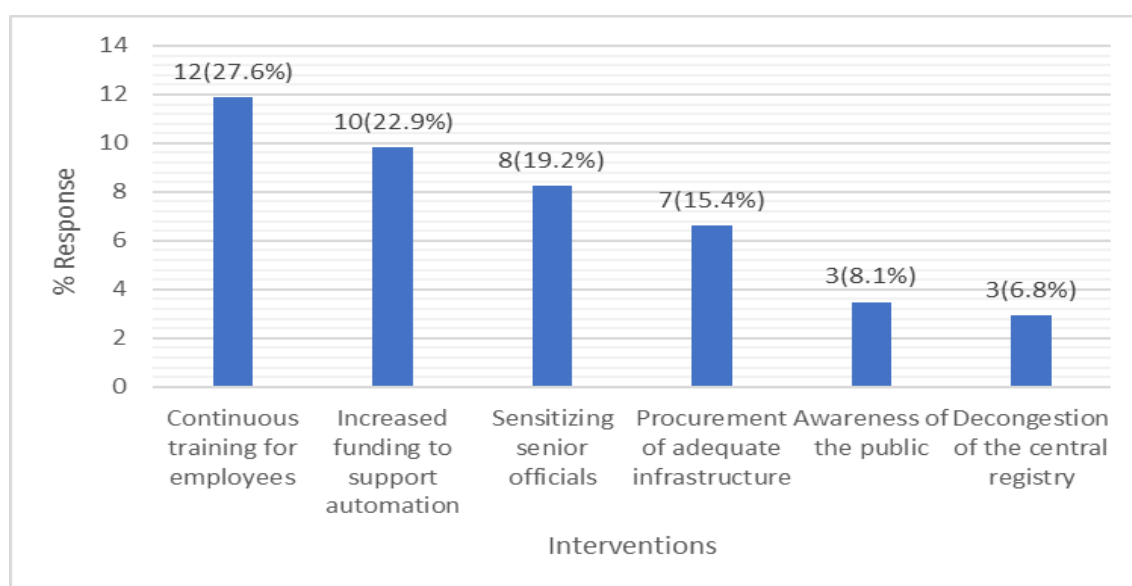


**Figure 4.9: Challenges to Effective Records Management**

**Source: Field Data (2021)**

The questions that followed focused on the challenges mentioned and what steps the County administration was taking to address the challenges faced in the management of records. The following measures were mentioned by those respondents that were

interviewed: enhancing competences; reviewing the current records management policy; digitizing of the human resource registry and the management of records in departments; providing adequate computers to staff working at the registry; and legislation of the Uasin Gishu County Public Participation Bill, 2015. The Chief Officers and records management officers and records clerks (clerical officers) also mentioned several interventions the County was taking to deal with the records management challenges. As depicted in Figure 4.10, 12(27.6%) of respondents indicated continuous training for employees to prepare them with relevant skills and competencies; 10 (22.9%) indicated increased funding to support automation among other records management activities; while 8(19.2%) indicated sensitizing senior officials about the importance of records management. Further 7 (15.4%) of respondents indicated procurement of adequate infrastructure to improve records management, while 3(8.1%) stated raising awareness of the public on the importance of records management through public participation. A further 6.8% indicated decongestion of the central registry.



**Figure 4.10: Interventions to Address Records Management Challenges**  
**Source: Field Data (2021)**

The study also sought for strategies to be adopted in order to improve the County's records management system as a means to ensuring access to public information as a prerequisite for the attainment of sustainable development. The CECs interviewed recommended the following strategies: capacity building by hiring more qualified records management employees and retraining existing employees; providing adequate infrastructure; formulation and implementation of sound policies on electronic records management; speed up legislation on access to information; increased budgetary allocation for records management; speed up the digitization of records in the County and lastly raising awareness of the existence and availability of County policy documents on records management and access to information.

The Chief Officers similarly suggested several strategies including providing capacity building programmes by offering refresher courses to records staff on record keeping, packaging information and access to information; restructuring the Central registry to a more spacious room to ease congestion; speeding up the on-going digitization efforts; equipping and staffing the central registry; provision of efficient and reliable ICT infrastructure; increased funding; and developing the County records management staff establishment in order to recruit more records staff.

Finally, records management officers and records clerks (clerical officers) also proposed the following strategies to help improve records management in the County: hiring more skilled staff and training records officers to sustain management of records; continuous improvements in the infrastructure; purchase of more equipment such as bulk filers and computers; formulation and regular update of records management policies and manuals for records in all formats; automation of the County registry and records management in general; building of a records centre and archives where semi-

active and non-active files in the County would be stored; establishment of a modern data centre to enhance security, access and storage of electronic records; raising awareness on the importance of managing records; dedicated budgetary allocation for records management activities; and timely appraisal and disposal of records.

Among the advanced suggestions, enhancing capacity building through training was cited by most of the participants as having a bearing on records management. Procuring a dedicated electronic records management system, establishing a data centre to host key server and storage facilities for e-records and putting in place security measures to ensure the safety of e-records and more so prevent unauthorized access were also key among those recommendations cited by the respondents. From these suggestions, it would seem that the focus of Uasin Gishu County in so far as its records management is concerned is enhancing the management of e-records. In conclusion, the provision of adequate infrastructure, improvement of space and accommodation and enhanced funding would also improve records management.

The study's findings showed that the Uasin Gishu County was keen on leveraging ICT as a strategy to enhance access to public information through automation of records management processes. The County was also keen on deploying ICT as an enabler for accessing information remotely and virtually through the County website and ICT data centres. Through the ICT platform, the County was reportedly seen as being able to increase data storage capacity, facilitate easy access to County information and enhance security of County information.

The results additionally demonstrated that Uasin Gishu County had planned various ICT initiatives that were being adopted simultaneously in the County operations. The adoption of ICT in the opinion of the researcher were not without challenges related to

access and use of development information, skilled man power and ICT infrastructure. However, the study revealed that the County had started: undertaking capacity building through refresher training on ICT to assist citizens access information; developing a County ICT policy in order improve the management of ICT infrastructure and streamline records management; installation of IED screens in strategic locations within the town aimed at enhancing public access to development information; and setting up ICT centers across the different sub counties in order to increase access to public information.

The study results shed light on critical strategies recommended by key stakeholders to enhance records management in Uasin Gishu County, with the overarching aim of improving access to public information as a fundamental element of achieving sustainable development. The strategies proposed, including capacity building, policy formulation, digitization, infrastructure improvement, budgetary allocation, and staff recruitment, align closely with existing literature. Capacity building, through training and refresher courses, has been identified as essential for effective records management (Inter-Parliamentary Union, 2014). Moreover, digitization and adequate infrastructure are recognized as enablers of efficient records management and access (United Nations, 2015). The need for sound policies and increased budgetary allocation is consistent with best practices to ensure comprehensive records management (National Archives and Records Administration, 2017). These strategies collectively address the challenges identified and provide a roadmap for better practices in managing records in the County, ultimately contributing to the realization of sustainable developments.

The emphasis on integrating ICT in records management in Uasin Gishu County, as reported in the study, resonates strongly with the principles of RCM and PMIM. The

RCM advocates for proactive engagement with records from their inception to ensure their usefulness and accessibility throughout their lifecycle, a strategy that ICT facilitates by improving the transparency and availability of information, critical for informed citizenry and sustainable development (Upward, 1996). This approach supports the continuous care of records, ensuring their accessibility and usability in dynamic contexts, aligning with the global shift towards digital governance and sustainability (McKemmish, 1997). On the other hand, PMIM emphasizes the strategic management of information flows within organizations to enhance decision-making and operational efficiency (Choo, 1996). In Uasin Gishu County, the application of ICT solutions addresses PMIM goals by streamlining processes such as digitization of records and infrastructure enhancements, which overcome barriers such as insufficient training, lack of e-records policies, and resource limitations. Advancing ICT usage will enable the County to not only confronts its operational challenges but also align its practices with international standards for information management and transparency, essential for sustainable development (Marchand, Kettinger, & Rollins, 2000).

#### **4.5 Chapter Summary**

This chapter dealt with data presentation, analysis and interpretation of the research findings. The presentation of findings was based on themes derived from the research objectives of the study namely: records management from creation to disposition; records management policies and procedures; overall state of records management in the County; Uasin Gishu County development plan and sustainable development; extent of access to public information in Uasin Gishu County; effectiveness of records management in ensuring access to public information as a prerequisite to the attainment of sustainable development; and records management related strategies used to enhance

access to public information held by the County Government as a means to promoting sustainable development.

The major findings revealed that most of those surveyed are only fairly content with the existing records management practices. It was also found that records were considered an important source of information whose availability and access must be guaranteed for the attainment of sustainable development in Uasin Gishu County. The results demonstrated noticeable improvement in the management of records following the promulgation of the Constitution in 2010 and the creation of Uasin Gishu County in 2013.

Findings also demonstrated that record management, from the point of creation to ultimate disposition in Uasin Gishu County was still faced with numerous challenges namely: absence of standardized procedures that guide the creation of records; lack of an access policy; inadequate equipment and storage space; appraisal and disposal of records was rarely done; There was no preservation policy in place at the County nor a disaster management plan hence the records were not well preserved and in the event of a disaster, the County may lose its vital records.

## **CHAPTER FIVE**

### **SUMMARY OF RESEARCH FINDINGS, CONCLUSIONS AND RECOMMENDATIONS**

#### **5.1 Introduction**

This chapter presents an overview of the study's findings, conclusions, and recommendations. The goal of a thesis's conclusion chapter, as defined by Kalusopa (2011), is to summarize the study's findings and highlight how they relate to the research questions at hand. As Leedy and Ormrod (2010) would confirm, all loose threads are pulled together in the conclusion since, in the end, research must reach at a general conclusion and offer recommendations for how to proceed with resolving the research problem. The purpose of this study was to investigate how records management can be harnessed in ensuring access to public information as a prerequisite for the attainment of sustainable development in Uasin Gishu County. The study was motivated by the fact the Uasin Gishu County government was putting in place records management measures that will propel them towards attainment of sustainable development after ten years of implementation of the devolved system of government in Kenya.

This chapter is organized around the five research questions and presents a summary of the research findings, conclusions arrived at, recommendations, the contribution of the study and areas of further study.

#### **5.2 Summary of Findings**

##### **5.2.1 Current Records Management Practices in Uasin Gishu County**

The study findings reveal a moderate level of satisfaction among respondents, with a generally positive but not overwhelmingly affirmative view about current records management practices in Uasin Gishu County. While records creation processes were

acknowledged, the absence of established procedures led to inconsistencies, affecting information dissemination. Records access and use were fairly well-managed, with procedures in place, but challenges included closed file congestion. The central registry lacked designated areas for different records, causing congestion and disorganization. Electronic records faced security challenges, and overall storage equipment was inadequate. Records appraisal and disposal were not well-coordinated, leading to a backlog of records. Minimal elements of records preservation were noted, with environmental conditions not monitored or controlled. The policy for managing records lacked essential components, impacting effective management. Overall, the state of records management in Uasin Gishu County was unsatisfactory, requiring attention to address inadequacies and improve various aspects of the system.

### **5.2.2 Link between Uasin Gishu County CIDP and Access to Public Information**

The study investigated the linkage between Uasin Gishu County's development and access to public information for sustainable development. Through interviews with Chief Officers, Records Management Officers, and Records Clerks, the research aimed to gauge their perceptions regarding the County's efforts in this regard. The findings indicate a strong affirmation among participants towards various aspects of the County's Development Plan aligning with access to public information. Particularly notable is the recognition of effective communication of development initiatives to the public, prioritization of enhancing access to public information within the Development Plan, and collaboration with stakeholders to promote access to information. Additionally, mechanisms for monitoring and reporting on development progress, incorporation of sustainable development principles into decision-making processes, and initiatives prioritizing transparent governance and open data was acknowledged. These findings underscore the County's commitment to promoting access to public

information as a crucial component of sustainable development efforts, aligning with existing literature emphasizing transparency, stakeholder collaboration, and open data initiatives in achieving sustainable outcomes.

### **5.2.3 Effectiveness of Records Management Practices in Ensuring Access to Public Information**

The findings reveal that while Uasin Gishu County demonstrates a relatively structured and coordinated records management framework, with strong affirmation of legal and regulatory alignment, existence of clear protocols, and ongoing digitization efforts, the effectiveness of these practices in ensuring sustainable access to public information remains constrained by notable systemic and infrastructural gaps. The high mean scores from county staff underscore general awareness and appreciation of records management as a driver for transparency, informed decision-making, and sustainable development. However, qualitative insights point to unresolved challenges that threaten the continuity and reliability of access to public records. These include congestion of physical records, limited coordination in the appraisal and disposition process, inadequate preservation strategies, and the absence of a disaster and risk management framework. Such shortcomings can result in data loss, retrieval delays, and compromised authenticity and usability of information over time. Although investments have been initiated, such as staff training, automation pilots, and registry redesign, persistent gaps in capacity, policy enforcement, and funding undermine the long-term viability of access systems. Therefore, while the current programme indicates a foundation for effective records management, its partial implementation and the lack of integrated risk controls limit its full effectiveness in safeguarding consistent and equitable access to public information essential for sustainable development.

#### **5.2.4 Records Management Strategies for enhanced Access to Public Information**

The study revealed that records management strategies proposed to enhance access to public information in Uasin Gishu County were largely informed by persistent structural and operational challenges undermining the effectiveness of current practices. These challenges included congestion due to inadequate storage space and equipment, insufficient skilled personnel in records management, limited funding, weak top management support, absence of e-records policies and disaster preparedness plans, and lack of clear appraisal and disposal procedures. In response, stakeholders, ranging from CECs and Chief Officers to records staff, recommended a set of strategic interventions aimed at addressing these deficiencies and strengthening the county's information access framework. Central among these strategies was the adoption of ICT as an enabler for automating records processes, expanding remote access via data centres and the county website, and improving data security. Other recommended strategies included robust capacity building through hiring and retraining of staff, formulation and enforcement of sound electronic records and access-to-information policies, restructuring of congested registries, and dedicated budgetary allocations to support infrastructure development and digitization. The emphasis on integrating ICT, alongside investments in infrastructure, policy development, and human capacity, reflects a proactive shift towards a modern, transparent, and responsive records management system. This shift aligns with the principles of RCM and the PMIM, promoting lifecycle-based management and strategic use of information to support governance and sustainable development.

#### **5.3 Conclusions**

Drawing from the findings of the study, this section provides conclusions as follows. At the time of data collection, records management practices were moderately effective

but had notable areas that required improvement. At the point of records creation, guidelines on how to create records were not available. However, access and use of the records was adequately regulated. Further, although congestion of records was reported in some sections, storage equipment for the records seemed to have been appropriate. On matters appraisal and disposition of records, it was established that the county did not have a programme for records appraisal and disposal. Consequently, at the time of data collection, records had not been appraised and disposed of save for some appraisal done in 2013 at the time of devolution. This was irrespective of the fact that the county records management policy had elaborate instructions on records appraisal and disposition. Moreover, preservation of records was wanting at the time of data collection and this was exacerbated by a lack of disaster management plan.

In regards to the county's development, the study concluded that Uasin Gishu County government has demonstrated concerted efforts to integrate access to public information into its development planning processes, aligning with sustainable development objectives. Through effective communication channels, stakeholder collaboration, and prioritization of transparent governance and open data initiatives, the County demonstrates a commitment to fostering transparency, accountability, and citizen engagement. The strong affirmation from Chief Officers, Records Management Officers, and Records Clerks further emphasizes the recognition of the importance of access to public information for sustainable development. While the study highlights positive strides in this direction, it also underscores the need for continuous monitoring, evaluation, and enhancement of existing mechanisms to address challenges and ensure sustained progress towards inclusive and equitable development outcomes. Overall, the findings reinforce the pivotal role of access to public information as a catalyst for advancing sustainable development agendas at the local level.

Furthermore, the effectiveness of records management in ensuring access to public information can be said to be in alignment with legal and regulatory requirements, emphasizing compliance and transparency. The recognition of digital documents and data management systems for enhancing retrieval and dissemination underscores the role of technology in improving information accessibility. Overall, these findings emphasize the pivotal role of records management in fostering openness and contributing to the County's efforts in achieving sustainable development goals.

The study also outlines several challenges impeding optimal records management and public information access. These include insufficient staff training and expertise in managing digital records, a lack of specific e-records policies, constrained physical space for storage, limited financial and technological resources, and a general absence of robust legislative frameworks and guidelines governing access to information. To address these challenges, the records management strategies to enhance access to public information from the findings suggest a significant emphasis on integrating ICT as a pivotal tool in Uasin Gishu County. The uniform agreement among stakeholders on the importance of ICT highlights its role in facilitating transparency and the availability of information to the public, aligning with global movements towards sustainable development. These advancements are seen as essential in bridging information gaps and fostering a more informed citizenry. To address these challenges, the County government has implemented strategies such as capacity building, policy reviews, digitization of records, and infrastructure improvement.

The study therefore concludes that there is need for improvements in records management practices in Uasin Gishu County, particularly in alignment with sustainable development goals, transparency, and efficiency. The investigation reveals

a strong commitment from Uasin Gishu County in aligning its development plan with sustainable goals, emphasizing effective communication and collaboration with stakeholders. However, there is room for improvement in enhancing access to public information, with a focus on making information readily available, user-friendly, and responsive to public input. The research emphasizes the crucial role of records management in ensuring access to public information, with practices aligned with legal requirements, thereby supporting transparency and governance essential for sustainable development. The proposed strategies, including capacity building, policy formulation, and legislative efforts, align with established recommendations and are crucial for overcoming challenges related to limited resources and capacity while promoting public access to government information.

## **5.4 Recommendations**

### **5.4.1 Current Records Management Practices at Uasin Gishu County**

Guided by the Records Continuum Model, the County Secretary, through the Director of Records Management and in consultation with the Chief Officer for Devolution and Administration, should develop and operationalise a countywide Records Management Policy that treats records as continuously managed assets from creation to disposition. The policy should standardise procedures for records creation, classification, storage (physical and digital), retrieval, preservation, and disposal across all departments, while restructuring the central registry to include clearly designated zones for current, semi-current, and non-current records. Anchoring records management within routine business processes, as emphasised by both RCM and PMIM, will promote consistency, reduce congestion, improve retrieval efficiency, and strengthen accountability and institutional memory.

#### **5.4.2 Link Between Uasin Gishu County CIDP and Access to Public Information**

Consistent with the PMIM's emphasis on information use and dissemination as core organizational processes, the CECM for Finance, Economic Planning and ICT, in collaboration with the County Director of Planning and the County Director of Communication, should integrate explicit access-to-information indicators within the CIDP. Establishing a County Information and Transparency Office would institutionalise structured information flows by coordinating dissemination through ICT centres, open data platforms, vernacular radio, and digital channels, ensuring that development plans, budgets, and service delivery milestones are routinely translated into accessible public information that supports informed participation and sustainable development outcomes.

#### **5.4.3 Effectiveness of Records Management in Ensuring Access to Public Information**

Drawing on the RCM's emphasis on legal, cultural, and organizational contexts shaping records access, the County Secretary, in partnership with the Chief Officer for Public Service Management and the Director of Records Management, should oversee the enactment and enforcement of records and information legislation complemented by sustained capacity building and dedicated budgetary support. Embedding legal compliance within everyday records processes, while strengthening staff competencies, will enhance institutional accountability, safeguard record authenticity and reliability, and ensure that access to public information is not incidental but an embedded function of county governance and service delivery.

#### **5.4.4 Records Management Strategies for Enhanced Access to Public Information**

In line with the PMIM's focus on process integration and adaptability to digital environments, the CECM for Finance, Economic Planning and ICT, working through the County Chief Officer for ICT, should spearhead the phased digitisation of county records through the rollout of an Electronic Document and Records Management System (EDRMS), supported by a comprehensive County ICT Policy and continuous digital literacy programmes. Establishing a centralized Records and Archives Centre alongside an Open Data Portal would operationalise the records continuum by integrating physical and electronic records, enhancing security, preservation, and retrieval, and enabling citizen-friendly, timely access to both current and archival public information.

#### **5.5 Contribution to Knowledge**

This study contributes concrete knowledge to the field by empirically demonstrating how records management practices function as a foundational enabler of access to public information and, by extension, sustainable development at the county level. By integrating the Records Continuum Model and the Process Model of Information Management within a Kenyan devolved governance context, the study advances practical understanding of how records creation, organization, storage, and disposition directly influence information accessibility, transparency, and decision-making. It fills a contextual gap by providing evidence from Uasin Gishu County, linking records management systems to development planning and service delivery, and offering theory-informed, implementable strategies that strengthen records management as an institutional mechanism for accountable governance and sustainable development.

## **5.6 Suggestions for Further Study**

Future research could be consolidated into three broad thematic areas that address critical gaps identified in this study. First, capacity building and resource allocation warrant further investigation, particularly in evaluating the effectiveness of staff training programs, assessing the role of dedicated budget allocations in sustaining records management improvements, and examining the development of disaster and risk management plans aimed at safeguarding vital records. Second, the advancement of digital records management and infrastructure remains a strategic research priority. This includes exploring the formulation and implementation of electronic records policies, assessing the impact of ICT integration on records security and retrieval, and identifying innovative strategies for mitigating physical congestion in traditional registries through digitization and infrastructure redesign. Lastly, studies could examine the impact of records management reforms on stakeholder perception and governance outcomes by exploring how improved access to public information influences citizen engagement, enhances transparency, and contributes to sustainable development. Such research may also attempt to quantify the societal and governance benefits of effective records management, thereby demonstrating its tangible contribution to inclusive development and accountable leadership in Uasin Gishu County.

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## APPENDICES

### **Appendix 1: Interview Schedule for County Executive Committee Members (CECs)**

Dear Sir/Madam,

I am a registered Masters student in the Department of Library, Records Management and Information Studies, Moi University — School of Information Sciences. As part of the requirements for the award of Master of Science in Records and Archives Management, I am undertaking a research titled, " Leveraging Records Management In Ensuring Access To Public Information For Sustainable Development In Uasin Gishu County, Kenya ".

The aim of the study is to investigate how records management can be harnessed in ensuring public access to information as a prerequisite to the attainment of Sustainable Development in the county. The study will gather data on records management practices, linkage of sustainable development with Uasin Gishu County Integrated Development Plan, accessibility of public information held by the county, effectiveness of records management in providing public access to information for sustainable development and strategies that will ensure public access to information held by the county as a means for promoting sustainable development.

The purpose of this communication is to kindly request you to afford me audience to interview you in order to collect data that would address the research problem being studied. All the information provided will be treated with absolute confidentiality and used only for academic purposes. For any query/clarification about the research, please contact me Mark Kimitei on 0723686879 on [kimiteimark@gmail.com](mailto:kimiteimark@gmail.com) or my supervisor Dr. Elsebah Maseh on [jmaseh@gmail.com](mailto:jmaseh@gmail.com).

Thank you in advance.

Yours Faithfully

Mark Kimitei

**1. Background Information.**

i. Designation:

.....

ii. Name of department:

.....

iii. Highest academic qualification attained:

.....

iv. Years served in that position:

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.Date of interview:

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**2. To Examine the Current Records Management Practices in Place at Uasin Gishu County.**

i. What is the mandate/role of your department in the county?

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ii. How does records management contribute towards attainment of the mandate?

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iii. What is your assessment of the overall records management situation in the County?

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iv. Which factors contribute to the current state of records management in the county?

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- v How does the current records management practices affect access to public information as a prerequisite to the attainment of sustainable development in the county?

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**3. To Establish the link between Uasin Gishu CIDP and access to public information for sustainable development of UG County.**

- i. How important is access to information for sustainable development in the County?

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- ii. Are there any projects, programmes or development plans that require access to information for their success?

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- iii. Does the County have a current County Integrated Development Plan (CIDP)?

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- iv. How is the County Integrated Development Plan (CIDP) interlinked with the Sustainable Development?

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- v. Does records management form part of the County Integrated Development plan?

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If yes, what records management priority programmes have been identified for the next five years?

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vi. How does the implementation of these records management priorities programmes promote access to public information as a prerequisite to attainment of sustainable development?

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vii. What role does information play in the realization of the sustainable development?

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viii. If information plays a role, what are the main sources of this information?

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**4. To Evaluate the Effectiveness of Records Management in Ensuring Access to public information as a prerequisite for the attainment of sustainable development.**

i. Does the existing records management infrastructure (e.g. policy, human resource, equipment etc.) in the county meet the information access requirements for the development process?

.....  
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ii. What investment has the county government made towards the improvement of records management in the short term and in the long term in order to enhance Information access as a prerequisite to the attainment of sustainable development?

.....  
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iii. How is the county dealing with the management of e-records as a tool for enhancing access to public information necessary for the attainment of sustainable development in the County?

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v. How do you determine the information needs of clients in your department?

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vi. Does the county have guidelines for identifying requirements to make public information accessible to clients?

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vii. Does the county have a policy for guiding access to public information?

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viii. What challenges are faced in the provision of access to public information at the county?

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**5. To Propose Records Management Strategies That Will Enhance Access to public information held by the County Government as a Means to promoting sustainable development.**

i. What challenges in your view are faced in ensuring effective records management as a means of information provision that would guarantee sustainable development in the County?

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.....

- ii. Please propose strategies for ensuring effective records management as a means of information provision that would guarantee sustainable development in the County.

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**Thank you for your time and support**

**Appendix 2: Questionnaire for Chief Officers (COs)**

Dear Sir/Madam,

I am a registered Masters student in the Department of Library, Records Management and Information Studies, Moi University — School of Information Sciences. As part of the requirements for the award of Master of Science in Records and Archives Management, I am undertaking a research titled, " Leveraging Records Management In Ensuring Access To Public Information For Sustainable Development In Uasin Gishu County, Kenya ".

The aim of the study is to investigate how records management can be harnessed in ensuring public access to information as a prerequisite to the attainment of Sustainable Development in the county. The study will gather data on records management practices, linkage of sustainable development with Uasin Gishu County Integrated Development Plan, accessibility of public information held by the county, effectiveness of records management in providing public access to information for sustainable development and strategies that will ensure public access to information held by the county as a means for promoting sustainable development.

Thank you in advance.

Yours Faithfully

Mark Kimitei

**1. Background Information**

- i. Designation:  
.....
- ii. Name of department:  
.....
- iii. Highest academic qualification attained:  
.....
- iv. Years served in that position:  
.....
- v. Date questionnaire is filled:  
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**2. To Examine the Current Records Management Practices in Place at Uasin Gishu County.**

- i. What is the mandate/role of your department in the county?  
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- ii. How does records management contribute towards attainment of the mandate?  
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- iii. Please rate your level of agreement with the following items with regard to the current records management practices in place at Uasin Gishu County. Use the scale: “1=Strongly Disagree, 2=Disagree, 3=Neither Agree nor Disagree, 4=Agree and 5=Strongly Agree.”

	1	2	3	4	5
The records management practices within Uasin Gishu County are well-organized and efficient.					
There is clear procedures and policies in place for managing physical records within the County.					
Electronic records and digital archiving systems are effectively utilized for records management.					
Training and capacity building programs for records management are adequately provided to County staff.					
The County has mechanisms in place for the secure storage and preservation of historical records.					
Records retrieval processes are efficient and sensitive to the					

demands of County staff and the public.					
The County has a documented disaster recovery plan for records in case of emergencies or data loss.					
The County promotes transparency by providing easy access to public records.					
The records management practices within the County are aligned with sustainable development goals.					
There is effective collaboration between different departments in the County to ensure comprehensive records management.					

iv. What is your assessment of the overall records management situation in the county?

Very poor [ ] Poor [ ] Fair [ ] Adequate [ ] Very adequate [ ]

v. Which factors contribute to the current state of records management in the county?

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 .....  
 .....

vi. How does the current records management practices affect access to public information as a prerequisite to the attainment of sustainable development in the county?

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 .....

**3. To establish the link between Uasin Gishu CIDP and access to public information for sustainable development of UG County Goals.**

i. Please rate your level of agreement with the following items with regard to the Uasin Gishu County Development in the Context of Sustainable Development Goals. Use the scale: “1=Strongly Disagree, 2=Disagree, 3= Neither Agree nor Disagree, 4=Agree and 5=Strongly Agree.”

	1	2	3	4	5
The Uasin Gishu County Development Plan is clearly aligned with the United Nations Sustainable Development Goals (SDGs).					
Mechanisms are in place to monitor and report on the County’s development progress concerning access to public					

information.					
Strategies for improving access to public information are integrated into the County Government’s decision-making processes					
The County actively engages with local communities to gather input on improving access to public information.					
The County’s development plan prioritizes initiatives that facilitate access to public information, such as transparent governance and open data.					
The County’s development plan prioritizes initiatives that promote equitable access to information, including digital literacy programs and community information center.					
The County collaborates with stakeholders to enhance access to public information, including partnerships with civil society organizations and the media.					
The County effectively communicates information about its development initiatives to the public through accessible channels.					
Mechanisms are in place to address challenges in ensuring access to public information within the County, such as addressing digital divides and ensuring transparency in decision-making processes.					

ii. Does records management form part of the County Integrated Development plan?

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iii. If yes, what records management priority programmes have been identified for the next five years?

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iv. How does the implementation of such records management priorities promote access to public information as a prerequisite for the attainment of sustainable development?

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**4. To evaluate the effectiveness of records management in ensuring access to public information as a prerequisite for the attainment of sustainable development.**

i. Please rate your level of agreement with the following items with regard to the effectiveness of records management in ensuring access to public information as a prerequisite for the attainment of sustainable development. Use the scale: “1=Strongly Disagree, 2=Disagree, 3= Neither Agree nor Disagree, 4=Agree and 5=Strongly Agree.”

	1	2	3	4	5
Records management practices within the County significantly contribute to the efficient provision of public information.					
The County Government has a well-defined records management framework in place that enhances access to public information.					
Electronic records and data management systems facilitate the retrieval and dissemination of public information.					
There are clear protocols for archiving, preservation, and disposal of records within the County Government.					
The County's records management practices are fully aligned with legal and regulatory requirements for access to public information.					
Capacity building and training programs are effective in promoting records management practices among County staff.					
Records management within the County Government supports the preservation of historical and cultural heritage.					
Records management contributes to the County's efforts in achieving the SDGs by providing essential data and information.					
There is effective collaboration between records management and public information access departments within the County Government.					
The County Government continuously evaluates and improves records management practices to enhance access to public information.					

ii. Does the existing records management infrastructure (e.g. policy, human resource, equipment etc.) in the county meet the information access requirement for the development process?

.....  
 .....

iii. What investment has the county government made towards the improvement of records management in the short term and in the long term in order to enhance Information access as a prerequisite for the attainment of SDGs?

.....

.....

.....

iv. How is the county dealing with the management of e-records as a tool for enhancing access to public information necessary for the attainment of SDGs in the county?

.....

.....

.....

v. Please rate your level of agreement with the following items with regard to the extent of access to public information as a prerequisite to the attainment of sustainable development in Uasin Gishu County. Use the scale: 1=Strongly Disagree, 2=Disagree, 3= Neither Agree nor Disagree, 4=Agree and 5=Strongly Agree.

	1	2	3	4	5
The County Government of Uasin Gishu provides easy access to public information.					
There are well-established channels for the public to request and obtain information from the County Government.					
Information related to the County's development projects and initiatives is readily available to the public.					
The County Government actively engages in public awareness campaigns to promote access to public information					
Public information is provided in a user-friendly and easily understandable format.					
The County Government ensures that marginalized and disadvantaged communities have equal access to public information.					
Feedback mechanisms are in place to allow the public to provide input and express concerns about the County's development projects.					
There is a commitment to transparency and accountability within the County Government regarding access to public information.					

The County Government cooperates with civil society organizations to enhance access to public information.					
The County's approach to public information aligns with the principles of the Sustainable Development Goals (SDGs).					

vi. How do you determine the information needs of clients in your department?

- a) Interviews (Face-to-face) [ ]
- b) Questionnaire [ ]
- c) Informal conversation [ ]

d) Other, please specify

.....

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.....

vii. Does the county have guidelines for identifying requirements to make public information accessible to clients?

- a) Yes [ ]
- b) No [ ]

If yes, please explain .....

.....

.....

viii. Does the county have a policy for guiding access to public information?

- a) Yes [ ]
- b) No [ ]

If yes, please explain

.....

.....

.....

Do you face any problems in providing access to public information?

- a) Yes [ ]
- b) No [ ]

If yes, which of the following problems do you face in providing public access to information in the registry? (Please tick the applicable options)

Registry staff not understanding user needs

Limited knowledge of registry operations

Registry staff lacking training

Action officers retaining files

Torn and dusty files

Poor registry layout

Mix-up of active and inactive files

a) Other, please specify

.....  
.....  
.....

ix. What do you consider in determining the extent of access to public information held by the county registry? (Please tick as many as may apply)

a) Time taken to retrieve files

b) Time taken to deliver files to action officers

c) Levels of user satisfaction

d) Efficiency of access and retrieval aids

e) Accuracy of registry service

f) Other, please specify

.....  
.....  
.....

**5. To Propose Strategies that will Enhance Access to public information held by the County Government as a means to promoting sustainable development.**

i. Do you apply ICT in the management of records in the county? If yes or no, please explain

.....  
.....  
.....

ii. In what ways can ICT enhance access to public information held in the county as a means for promoting sustainable development?

.....  
.....  
.....

iii. In view of ICT adoption and use in county operations how is the county coping with challenges related to access and use of development information, skilled man power and ICT infrastructure?

.....  
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.....

iv. What challenges in your view are faced in ensuring effective records management as a means of ensuring information provision that would guarantee sustainable development in the county?

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v. What steps is the county government taking towards addressing the challenges faced in the management of records?

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vi. What strategies can you recommend to help improve records management in the county as a means of ensuring access to public information as a prerequisite for the attainment of sustainable development?

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.....

**Thank you for your time and support**

### **Appendix 3: Questionnaire for Records Management Officers and Records Clerks (Clerical Officers)**

Dear respondent,

I am a registered Masters student in the Department of Library, Records Management and Information Studies, Moi University — School of Information Sciences. As part of the requirements for the award of Master of Science in Records and Archives Management, I am undertaking a research titled, " Leveraging Records Management In Ensuring Access To Public Information For Sustainable Development In Uasin Gishu County, Kenya ".

The aim of the study is to investigate how records management can be harnessed in ensuring public access to information as a prerequisite to the attainment of Sustainable Development in the county. The study will gather data on records management practices, linkage of sustainable development with Uasin Gishu County Integrated Development Plan, accessibility of public information held by the county, effectiveness of records management in providing public access to information for sustainable development and strategies that will ensure public access to information held by the county as a means for promoting sustainable development.

Thank you in advance.

Yours Faithfully

Mark Kimiti

**1. Background Information**

- i. Designation:  
.....
- ii. Name of department:  
.....
- iii. Highest academic qualification attained:  
.....
- iv. Years served in that position:  
.....
- v. Date questionnaire is filled:  
.....

**2. To examine the current Records Management Practices in place at Uasin Gishu County.**

a) Please rate your level of agreement with the following items with regard to the current records management practices in place at Uasin Gishu County. Use the scale: “1=Strongly Disagree, 2=Disagree, 3=Neutral, 4=Agree and 5=Strongly Agree.”

	1	2	3	4	5
The records management practices within Uasin Gishu County are well-organized and efficient.					
There is clear procedures and policies in place for managing physical records within the County.					
Electronic records and digital archiving systems are effectively utilized for records management.					
Training and capacity building programs for records management are adequately provided to County staff.					
The County has mechanisms in place for the secure storage and preservation of historical records.					
Records retrieval processes are efficient and sensitive to the demands of County staff and the public.					
The County has a documented disaster recovery plan for records in case of emergencies or data loss.					
The County promotes transparency by providing easy access to public records.					
The records management practices within the County are aligned with sustainable development goals.					
There is effective collaboration between different departments in the County to ensure comprehensive records management.					

**b) Records Creation.**

i. What are the business functions of your department?

.....  
.....  
.....

ii. What kinds of records are created, received or consulted in the transaction of business at the department?

.....  
.....  
.....

iii. In what format are the records created?

Paper formats       Electronic formats       Both paper and electronic formats

iv. How are the records in the different formats classified?

.....  
.....  
.....

**c) Records Access and Use**

i. Is there a records access policy in the County?

.....  
.....

ii. Does the policy impose security classifications or any other restrictions on access to some of the records? If yes, please explain

.....  
.....

iii. Does this promote or undermine openness in the County?

.....

iv. Who uses the records created in the County?

.....  
.....

v. What tools do you use in searching and retrieval of the records?

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.....

vi. Do you have a tracking system for those records which have been dispatched? If yes, please explain

**d) Records Maintenance and Storage.**

i. How are the records filed and/ or arranged?

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ii. How do you maintain the records in your custody?

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iii. Which storage facilities do you use in the registry/records office?

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iv. How are the electronic records stored? Please explain

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v. How do you ensure security of both manual and electronic records?

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.....

vi. What designated areas are available for the storage of active, semi active and non-active records?

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**e) Records Appraisal, Retention and Disposal.**

i. At what point are records appraised in the County?

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ii. What criteria do you use to appraise the records?

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iii. Is there a retention and disposal schedule at the county? If yes, how is the schedule a useful tool in the management of records.

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iv. How are e-records appraised and disposed off?

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.....

v. How do you deal with records which have been appraised and earmarked for destruction? Please explain

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.....

**f) Records Preservation**

i. How are records preserved in the County?

.....

ii. Are the environmental conditions monitored and controlled in the records storage areas?

If yes, how is this done?

.....

iii. What preservation challenges are experienced in relation to the following?

Handling .....

Environmental conditions .....

Dust .....

Pests .....

Any other .....

iv. What measures have been put in place to deal with the above?

.....

v. What strategies have been put in place for the preservation of e-records?

.....

vi. Do you have a disaster management programme? If yes, please explain.

.....

**Policies and Procedures for records management.**

- i. Are there policy and procedures that guides records management during their continuum to ensure access to public information necessary for the attainment of sustainable development in the county? Please explain

.....  
 .....  
 .....

- ii. Do you consider the policy and procedures adequate? Please explain.

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**3. Current state of records management.**

- i. Which factors contribute to the current state of records management in the Uasin Gishu County?

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- ii. How does the current records management practices affect access to public information as a prerequisite for the attainment of sustainable development?

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**4. To establish the link between Uasin Gishu CIDP and access to public information for sustainable development of UG County.**

- i. Please rate your level of agreement with the following items with regard to the Uasin Gishu County Development in the Context of Sustainable Development. Use the scale: “1=Strongly Disagree, 2=Disagree, 3=Neutral, 4=Agree and 5=Strongly Agree.”

	1	2	3	4	5
The Uasin Gishu County Development Plan is clearly aligned with the United Nations Sustainable Development Goals (SDGs).					
Mechanisms are in place to monitor and report on the County’s development progress concerning access to public information.					

Strategies for improving access to public information are integrated into the County Government’s decision-making processes.					
The County actively engages with local communities to gather input on improving access to public information.					
The County’s development plan prioritizes initiatives that facilitate access to public information, such as transparent governance and open data.					
The County’s development plan prioritizes initiatives that promote equitable access to information, including digital literacy programs and community information center.					
The County collaborates with stakeholders to enhance access to public information, including partnerships with civil society organizations and the media.					
The County effectively communicates information about its development initiatives to the public through accessible channels.					
Mechanisms are in place to address challenges in ensuring access to public information within the County, such as addressing digital divides and ensuring transparency in decision-making processes.					

- ii. Does the county have a current County Integrated Development Plan (CIDP)?  
.....  
.....  
.....
- iii. Does records management form part of the county Integrated Development plan?  
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- iv. If yes, what records management priority programmes have been identified for the next five years?  
.....  
.....
- v. How does the implementation of such records management priorities promote access to public information as a prerequisite for the attainment of sustainable development?  
.....

**5. To evaluate the effectiveness of Records Management in ensuring access to public information as a prerequisite for the attainment of sustainable development.**

- i. Please rate your level of agreement with the following items with regard to the effectiveness of records management in ensuring access to public information as a prerequisite for the attainment of sustainable development. Use the scale: “1=Strongly Disagree, 2=Disagree, 3=Neutral, 4=Agree and 5=Strongly Agree.”

	1	2	3	4	5
Records management practices within the County significantly contribute to the efficient provision of public information.					
The County Government has a well-defined records management framework in place that ensures access to public information.					
Electronic records and data management systems facilitate the retrieval and dissemination of public information.					
There are clear protocols for archiving, preservation, and disposal of records within the County Government.					
The County's records management practices are fully aligned with legal and regulatory requirements for access to public information.					
Capacity building and training programs are effective in promoting records management practices among County staff.					
Records management within the County Government supports the preservation of historical and cultural heritage.					
Records management contributes to the County's efforts in achieving the SDGs by providing essential data and information.					
There is effective collaboration between records management and public information access departments within the County Government.					
The County Government continuously evaluates and improves records management practices to ensure public access information.					

- ii. Please identify the categories of information commonly requested for by the county officers?

Governance information [ ]

Development Information [ ]

Health related information [ ]

Education related information [ ]

Legal information [ ]

iii. As records officers, what role do you play in meeting the information needs of county officers?

.....  
 .....  
 .....

iv. How critical is records management in meeting the information needs of the county officers as a prerequisite for the attainment of sustainable development?

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 .....  
 .....

v. How is the county dealing with the management of e-records as a tool for enhancing access to public information necessary for the attainment of sustainable development in the County?

.....  
 .....  
 .....

vi. Comment on the level of top management support towards improvement of records management as an enabler to the realization of sustainable development in the county?

.....  
 .....  
 .....

vii. Please rate your level of agreement with the following items with regard to accessibility of public information as a prerequisite for the attainment of sustainable development in Uasin Gishu County. Use the scale: “1=Strongly Disagree, 2=Disagree, 3=Neutral, 4=Agree and 5=Strongly Agree.”

	1	2	3	4	5
The County Government of Uasin Gishu provides easy access to public information.					
There are well-established channels for the public to request and obtain information from the County					

Government.					
Information related to the County's development projects and initiatives is readily available to the public.					
The County Government actively engages in public awareness campaigns to promote access to public information.					
Public information is provided in a user-friendly and easily understandable format.					
The County Government ensures that marginalized and disadvantaged communities have equal access to public information.					
Feedback mechanisms are in place to allow the public to provide input and express concerns about the County's development projects.					
There is a commitment to transparency and accountability within the County Government regarding access to public information.					
The County Government cooperates with civil society organizations to enhance access to public information.					
The County's approach to public information aligns with the principles of the Sustainable Development Goals (SDGs).					

viii. How do you determine the information needs of clients in your section?

- a) Interviews (Face-to-face) [ ]
- b) Questionnaire [ ]
- c) Informal conversation [ ]
- d) Other, please specify

.....  
 .....  
 .....

ix. Does the county have guidelines for identifying requirements to make public information accessible to clients?

- a) Yes [ ]
- b) No [ ]

If yes, please explain

.....  
 .....  
 .....

x. Does the county have a policy for guiding access to public information?

- a) Yes [ ]

b) No [ ]

If yes, please explain

.....  
.....  
.....

xi. Do you face any problems in providing access to public information?

a) Yes [ ]

b) No [ ]

If yes, which of the following problems do you face in providing access to public information in the registry? (Please tick the applicable options)

a) Registry staff not understanding user needs [ ]

b) Limited knowledge of registry operations [ ]

c) Registry staff lacking training [ ]

d) Action officers retaining files [ ]

e) Torn and dusty files [ ]

f) Poor registry layout [ ]

g) Mix-up of active and inactive files [ ]

h) Other please specify

.....  
.....  
.....

vi. What do you consider in determining the accessibility of public information held by the county registry? (Please tick as many as may apply)

a) Time taken to retrieve files [ ]

b) Time taken to deliver files to action officers [ ]

c) Levels of user satisfaction [ ]

d) Efficiency of access and retrieval aids [ ]

e) Accuracy of registry service [ ]

f) Other, please specify

.....  
.....  
.....

**6. To Propose Strategies that will Ensure Access to public information held by the County Government as a Means for Promoting Sustainable Development.**

i. Do you apply ICT in the management of records your department? If yes or no, please explain

.....  
.....  
.....

ii. In what ways can ICT ensure access to public information held in the county as a means for promoting sustainable development?

.....  
.....  
.....

iii. In view of ICT adoption and use in county operations how is the county coping with challenges related to access and use of development information, skilled man power and ICT infrastructure?

.....  
.....  
.....

iv. What challenges in your view are faced in ensuring effective records management as a means for information provision that would guarantee sustainable development in the county?

.....  
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.....

v. What steps is the county government taking towards addressing the challenges faced in the management of records?

.....  
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- vi. What strategies can you recommend to help improve records management in the county as a means of ensuring access to public information necessary for the attainment of sustainable development?

.....

.....

.....

**Thank you for your time and support**

**Appendix 4: Questionnaire for Members of County Assembly (MCAs)**

Dear Sir/Madam,

I am a registered Masters student in the Department of Library, Records Management and Information Studies, Moi University — School of Information Sciences. As part of the requirements for the award of Master of Science in Records and Archives Management, I am undertaking a research titled, " Leveraging Records Management In Ensuring Access To Public Information For Sustainable Development In Uasin Gishu County, Kenya ".

The aim of the study is to investigate how records management can be harnessed in ensuring public access to information as a prerequisite to the attainment of Sustainable Development in the county. The study will gather data on records management practices, linkage of sustainable development with Uasin Gishu County Integrated Development Plan, accessibility of public information held by the county, effectiveness of records management in providing public access to information for sustainable development and strategies that will ensure public access to information held by the county as a means for promoting sustainable development.

Thank you in advance.

Yours Faithfully

Mark Kimitei

**1. Background Information**

Name of Ward:

.....

Date questionnaire is filled:

.....

2. What is your mandate/role in the Uasin Gishu County?

.....  
.....  
.....

3. How does records management contribute towards the attainment of your mandate?

.....  
.....  
.....

4. How can you rate the management of records in the Uasin Gishu County?

.....  
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.....

5. Which factors contribute to the current state of records management in the Uasin Gishu County?

.....  
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.....

6. How does the current records management practices affect the achievement of county development goals?

.....  
.....  
.....

7. At what point is the County Integrated Development Plan developed (CIDP) and what is the role of members of county assembly in this process?

.....  
.....  
.....

8. Which records management priority programmes have been identified in the CIDP for the next five years?

.....  
.....  
.....

9. How does the implementation of these records management priority programmes ensure access to public information as a prerequisite for the attainment of sustainable development?

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.....

10. What information do you as a member of county assembly need in order to determine the development priorities of the county and their areas of representation?

.....  
.....  
.....

a) Where do you seek for this information?

.....  
.....  
.....

b) Is the information always available? Please explain

.....  
.....  
.....

c) In what form was the information supplied to you?

.....  
.....  
.....

11. Does the county have a policy for guiding access to public information?

- a) Yes [ ]
- b) No [ ]

If yes, please explain

.....  
.....  
.....

12. Do you face any problems in when seeking information in the county registry?

a) Yes [ ]

b) No [ ]

If yes, which the problems do you face while seeking information in the registry?

.....  
.....  
.....

13. Do you think records management has a role in meeting information needs in the county as a prerequisite for the attainment of sustainable development?

.....  
.....  
.....

14. What do you think should be done to enhance availability of information at the county for the attainment of sustainable development?

.....  
.....  
.....

**Thank you for your time and support**

**Appendix 5: Observation Checklist for the Management of Records at the Uasin Gishu County.**

**1. Background Information**

- i. Name of Department/Section: .....
- ii. Date of Observation: .....

**Items to be observed**

**2. Records.**

- i. Types and formats of records created/received.  
.....  
.....  
.....
- ii. Availability of policy and procedures policy that guide records management.  
.....  
.....  
.....

**3. Records Storage area/room**

- i. House-keeping practices.  
.....  
.....  
.....
- ii. Types of building(s) housing the records.  
.....  
.....  
.....
- iii. Environmental Conditions under which the records are being managed.  
.....  
.....  
.....
- iv. Lighting system used in the records storage area.  
.....  
.....  
.....

- v. Availability of curtains/blinders in the records storage area.

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.....  
.....

**4. Storage Equipment**

- i. Equipment for storage of paper and electronic records.

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.....  
.....

- ii. Quality and adequacy of the storage facilities.

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.....  
.....

**5. Ergonomics**

- i. Working space for records staff.

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.....  
.....

- ii. General design and layout of the records storage area/registry.

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.....  
.....

**6. Filing Systems**

- i. Classification/filing schemes.

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.....

**7. Access and Use**

- i. Availability of access to public information policy.

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ii. Tools available for records control.

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iii. File tracking and retrieval tools.

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**8. Records Security**

i. General security of records.

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.....

ii. Availability of equipment such as smoke detectors, electricity back up, ups etc.

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.....  
.....

**9. Records Preservation**

i. Physical conditions of records in storage areas e.g. file wear and tear.

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ii. Availability of monitoring instruments for temperature and humidity.

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**10. Appraisal and Retention Scheduling**

i. Presence of records plans and retention/disposal schedules.

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.....  
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**11. Electronic Records**

- i. Availability of computers and any other ICT infrastructure for managing electronic records.

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.....  
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- ii. Computerized or automated systems in place.

.....  
.....  
.....

- iii. Back-ups for electronic records.

.....  
.....  
.....

**Thank you for your time and support**

## Appendix 6: Letter of Data Collection from Moi University



**MOI UNIVERSITY**  
**SCHOOL OF INFORMATION SCIENCES**  
**DEPARTMENT OF LIBRARY, RECORDS MANAGEMENT AND INFORMATION**  
**STUDIES**

Tel: (053) 43231  
 Fax No: (053) 43292  
 Telex No: 35017 MOI/UNIVERSITY  
 E-Mail: [head@moiu.ac.ke](mailto:head@moiu.ac.ke) OR [dean@moiu.ac.ke](mailto:dean@moiu.ac.ke)

P. O. Box 3950  
 Eldoret  
 Kenya

**REF: IS/MSC/RAM/02/14**

19<sup>th</sup> January, 2021

### TO WHOM IT MAY CONCERN

**RE: DATA COLLECTION - KIMITEI MARK KIPCHUMBA (IS/MSC/RAM/02/14)**

The above named is a postgraduate student in the Department of Library, Records Management and Information Studies, School of Information Sciences, Moi University pursuing a Master of Science degree in Records and Archives Management. He is carrying out a research thesis entitled "*Leveraging Records Management for the Attainment of Sustainable Development Goals in Uasin Gishu County, Kenya*" under the supervision of Dr. Elsebah Maseh and Prof. Justus Wamukoya.

The purpose of writing is to request you kindly to allow Mr. Kimitei conduct the research and request your staff to assist him collect the necessary data. The information given will be treated with utmost confidentiality and will be used only for the purpose of writing the research thesis and it will not impact the institution in any way. We look forward to continued support and co-operation.

Any assistance accorded to him will be most appreciated.

Yours sincerely,

**DR. ELSEBAH MASEH**  
**SENIOR LECTURER AND CHAIR OF DEPARTMENT,**  
**DEPARTMENT OF LIBRARY, RECORDS MANAGEMENT & INFORMATION**  
**STUDIES**

*EM/inn*



## Appendix 6: Introduction Letter from Moi University



**MOI UNIVERSITY**  
**SCHOOL OF INFORMATION SCIENCES**  
**DEPARTMENT OF LIBRARY, RECORDS MANAGEMENT AND INFORMATION**  
**STUDIES**

Tel: (053) 43231  
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 Telex No: 35047 MOIUNIVERSITY  
 E-Mail: [library@moi.ac.ke](mailto:library@moi.ac.ke) OR [dean@moi.ac.ke](mailto:dean@moi.ac.ke)

P. O. Box 3950  
 Eldoret  
 Kenya

Our Ref: IS/MSC/RAM/02/14

19<sup>th</sup> January, 2021

The Executive Secretary,  
 Kenya National Council of Science and Technology,  
 P. O. Box 30623,  
 NAIROBI.

Dear Sir,

**RE: KIMITEI MARK KIPCHUMBA – IS/MSC/RAM/02/14**

The above named is a Master of Science student in the Department of Library, Records Management and Information Studies, School of Information Sciences, Moi University.

Mr Kimitei is intending to carry out research work entitled *"Leveraging Records Management for the Attainment of Sustainable Development Goals in Uasin Gishu County, Kenya"*.

We are kindly requesting you to issue him with a research permit to enable him proceed with his research.

Thank you. Kind regards

Yours sincerely,

**DR. ELSEBAH MASEH**  
**SENIOR LECTURER AND CHAIR OF DEPARTMENT**  
**DEPARTMENT OF LIBRARY, RECORDS MANAGEMENT & INFORMATION**  
**STUDIES**



EM/mv



### Appendix 7: Research Permit

  
**REPUBLIC OF KENYA**

  
**NATIONAL COMMISSION FOR SCIENCE, TECHNOLOGY & INNOVATION**

Ref No: **812776** Date of Issue: **02/February/2021**

### RESEARCH LICENSE



**This is to Certify that Mr. Mark Kipchumba Kimitai of Moi University, has been licensed to conduct research in Uasin-Gishu on the topic: LEVERAGING RECORDS MANAGEMENT FOR THE ATTAINMENT OF SUSTAINABLE DEVELOPMENT GOALS IN UASIN GISHU COUNTY, KENYA for the period ending : 02/February/2022.**

License No: **NACOSTI/P/21/8769**

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Director General  
**NATIONAL COMMISSION FOR SCIENCE, TECHNOLOGY & INNOVATION**

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## Appendix 8: Plagiarism Certificate

SR986



ISO 9001:2019 Certified Institution

### THESIS WRITING COURSE

#### *PLAGIARISM AWARENESS CERTIFICATE*

This certificate is awarded to

***KIMITEI MARK KIPCHUMBA***

**IS/MSC/RAM/02/14**

In recognition for passing the University's plagiarism

Awareness test for Thesis entitled: **LEVERAGING RECORDS MANAGEMENT IN ENSURING ACCESS TO PUBLIC INFORMATION FOR SUSTAINABLE DEVELOPMENT IN UASIN GISHU COUNTY, KENYA** with similarity index of 4% and striving to maintain academic integrity.

**Word count:39164**

Awarded by

Prof. Anne Syomwene Kisilu

CERM-ESA Project Leader Date: 18/08/2025