

Records Management Practices and Service Delivery at the Pensions Department, Kenya

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ABSTRACT

The purpose of this study was to investigate the effect of records management practices on service delivery at the Pensions Department in Kenya. The study was guided by the following objectives: To assess records management policies on service delivery at the Pension's department in Kenya, to establish the effect of staff capacity on service delivery at the Pension's Department, to determine the application of ICT in records management on service delivery at the Pension's Department and to find out the effect of records management practices on service delivery at the Pension Department. The study was guided by the design and implementation of records keeping systems (DIRKS) theory. Mixed method descriptive survey research design was used. The target population was 112 employees where a sample of 88 was derived. A stratified sampling technique guided sample selection. Questionnaire, participant observation and personal interviews supported data collection. Pilot study was undertaken to determine research feasibility and to make improvements to the research instrument. Validity and reliability was achieved using content validity, expert opinion and Cronbach's alpha. Data was analysed using descriptive and inferential statistics with the aid of Statistical Package for Social Sciences (SPSS). Content analysis was used to analyse qualitative data. Presentation of findings was through the application of pie charts, frequency tables and graphs. Ethical considerations in the entire research process was observed. The study found a strong reliability above 0.70 with a response rate of 75%. The study established that respondents agreed that records management policy affected service delivery. It was also found that staff capacity affects service delivery. ICT application in records management was also found to affect service delivery. Finally, the study established that records management practices affect service delivery at the Pension Department. All the four independent variables were found to have positive and strong relationship with service delivery. However, all the independent variables did not have significant effect on service delivery. The study concluded that records management practices affect service delivery at the Pension Department. The study also concluded that there were some written policies that staff were not aware of, security of records was not adequate, there were skill gaps among staff and there were cases of lost files. The study recommended the need to develop clear policies and sensitize the staff for more awareness. It also recommended more resource allocation not only for equipment purchase, but for staff training, acquisition of modern and bigger servers for more electronic records storage and implementation of modern finding aids for easy location and retrieval of records. The study recommended future research in other government agencies, use of different variables and outside Nairobi County.

Key Words: *Records Management Practices, Service Delivery*

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1.0 Introduction

Record management is key in service delivery of any business activity which enables organizations to make business decisions. Yeo (2003) notes that records are required for business functions where they can be retrieved to be used as evidence, help in saving time, provide precedence in previous work and eliminate the need to create new resources. Within the pensions industry, there are notable benefits in records management practices where the regulator advises the providers and trustees the need to hold good records to discharge statutory obligations that can enable good administration of the scheme. This improves service delivery by way of good investment decisions and assessing pension levies, lowering administration costs, providing correct benefit to the beneficiaries which is paid on time and reducing the time taken for retirement benefit processing (Malauzi, Hamooya, & Munsanje, 2015). The Palestinian pension agency has recognized the importance of records management in enhancing service provision within the pension industry by way of provision of; retirees files, beneficiaries, employees and benefits calculation. However, notable challenges in document retrieval and follow-up have created difficulty in information pertaining to pensioners which has led to delays in service provision (Shobaki, Naser, & Kassab, 2017). It is observed by Ngoepe (2004), that public service sector can perform effectively by ensuring the information received is credible and accurate (Mampe & Kalusopa, 2012). Records provide information which is reliable, verifiable and a source of evidence in decision making during pension processing to the retired citizens (World Bank, 2000).

Brendan, (2012) observed how African governments have incorporated ICT in record keeping to enhance public service (as cited in Gathoni, 2017). However, researchers still believe that despite ICT adoption, with poor record management, there is likelihood of failure in successful implementation of public sector reforms (Mazikana, 2008; Mutero, 2011). Studies have reported how record management standard is not being followed due to inadequate personnel in records management resulting to slow information delivery to the users thus leading to delays in service provision (Mampe & Kalusopa, 2012). In Uganda, Mukembo (2008) notes that it is a common practice to witness delays in record provision to the users in court processes leading to justice denial and or delay (cited in Mampe & Kalusopa, 2012).

In Kenya, the need to effectively manage records was first proposed in 1978 by Ian MacLean, a UNESCO consultant for records management mission in Kenya to address problems government offices were facing in Nairobi and other provinces in regards to poor storage conditions which resulted to creation of five public record centres (Kamau, 2017). The Kenya Constitution (2010) stipulates values and principles that are expected of public service in all State organs and levels of governments. Through the Kenya National Archives, government agencies are assisted in managing records according to international standards (Gathoni, 2017). Studies in Kenya have reported lack of implementation of record keeping management programs, inadequate trained staff, absence of records centre, lack of disaster management, inadequate storage facilities, lack of awareness and ICT adoption (Abuki, 2014). More reports within the parliamentary service commission record management practices have also indicated notable challenges; lack of effective

and efficient records management, non-availability of regulations and policies and lack of basic skills needed in records management (Njeri, 2018).

Global societies are facing complex social and economic challenges characterized by disease pandemics, conflict, poverty, food security and unemployment where governments require more intervention strategies to alleviate human suffering by transforming public sector to make it more efficient and effective for the well-being of its citizens (Republic of Kenya, 2017). Retirement benefit is one of the social welfare strategies that the government uses to support its retirees in overcoming poverty with regular payment of income when they exit from full employment. Effective and efficient records management practices provides evidence needed by public servants in discharging their duties to facilitate service delivery at the pension department.

Retirement benefit is an important aspect of social security promised by the government that all senior civil servants will continue to receive income in the event that they lose their employment due to retirement. During the productive years of an individual's working life, one is guaranteed income from employment and other benefits such as medical cover, house allowance and retirement benefits. However, as one retires from employment, all the benefits soon end, except retirement benefit and wealth built from employment income remaining to provide financial security during old age (Ekerdt & Hackney, 2002). An observation by Bettendorf and Heijda (2006) on the retirement benefit trend in the last four decades indicates an increasing growth in the aging population from 12% in the 1950s to 21% in the 2000s with an expectation of future growth to 44% by 2050, a signal that more people will be retiring hence increase in retirement benefit processing (as cited in Ngetich, 2012).

Over the last two decades, there has been a global transformation within the retirement benefit environment. In the US, there has been a growing interest in pension programs as a result of baby boomers aging necessitating increased demand for retirement savings account. In addition to that, there has been increased life expectancy and longer work life which expanded the pension promise from groups that did not have pensions especially the women. Many employers are now willing to provide new forms of pensions by responding to new dynamics within labour and industries and to use retirement benefits to stimulate certain employee behaviour (Mitchell & Dykes, 2000).

An observation by International Labour Organization (ILO, 2011) indicates that 75% of global population are still not adequately covered. In advanced economies, retirement benefit is more comprehensive covering 100% of the population including; old age, survivorship, disability, work injury, unemployment, maternity, occupational disease, family allowance and medical benefits. In South Asia, about 10% of the population is covered with limited areas; old age, work injury, survivorship and disability (Bloom & Mckinnon, 2013). In Latin America, the Brazilian government has been promoting retirement benefit since the 1930s through Pay-As-you-Go (PAYG) which allows young workers who are currently working to finance older people (retirees and pensioners) which is the same practice in Japan, Germany, USA and France (Reis, Silveira, & Costa, 2013).

Within the African continent, prior to 1961, Zambia had no contributory pension processing for indigenous employees even though gratuity was paid at the time of retirement. The Zambian government later introduced pension scheme which was voluntary to join (Phiri, 2009). In other African countries particularly Ghana, empirical studies have been undertaken by Wilson and Aggrey (2012) to determine the issues and challenges faced by teachers in their retirement planning with findings that teachers received retirement counselling by way of discussions on conditions of

service and retirement benefit which was based on pension scheme. The teachers highlighted various challenges that were affecting their retirement benefit; lack of information in regards to saving options, having poor attitude towards savings due to the feeling that less disposable income is left for sustenance, time to start planning for retirement and their ignorance in what to do with retirement benefit.

In Kenya, Odundo (2003) traces the beginning of retirement benefit processing in 1991 when the growing need to protect the interest of employees began with Retirement Benefits Act being set up in 1997 to regulate, supervise, promote and safeguard the interest of the members (Rono & Bitok, 2010). An analysis by United Nations (2013) on the state of Kenyan demographics presents a worrying trend, with a population of 38.6 million (Census, 2009), 6% are people above 55 years while 41% are below age 15 hence considering Kenya as a young nation. However, by 2050, people above 55 are expected to triple as many will be aging hence more demand for retirement benefit processing (Owino, 2015).

Empirical studies in Kenya have focused on retirement planning with little on retirement benefit processing where Onduko, Gweyi and Nyawira (2015) analysed the determinants of retirement planning working with registered pension scheme members in Nairobi using descriptive quantitative study. The study found an existing relationship between financial literacy and retirement planning. Even though the study analysed education and income as some of the determinants of retirement planning, of more importance was financial literacy as it had an impact to saving decisions hence the members were able to save more for their retirement. This study focused on pension scheme members which could have included private organizations as respondents. The current study was different in two folds; one, it was a case study targeting the pension department where civil servants retirement benefit is processed. Second, it aimed to target employees as respondents and facilitators in processing of retirement benefit thus yielded a different result.

The Kenyan social security system comprises of National Social Security Fund (NSSF), civil servants pension scheme, occupational retirement scheme and individual retirement schemes which have been in place since 1963 (Ngetich, 2012). Retirement benefit processing in Kenya involves three government departments; the ministry of finance, the department where the retiree was working and the pension department from which the employee's files go through. The involvement of three government departments signifies the importance of good records management practices to safeguard the pensioners' records for an efficient and effective service delivery.

Pensions department is domiciled within the Ministry of Finance with mandate to provide reviews to the pension's act, advises the government on pensions matters and provides customer care services to the pensioners. The department processes up to Kshs 29 Billion annually with 24,000 claims with a coverage of 406,000 civil servants, teachers, prison staff and police with over 2,000,000 pensioners. The scheme does not have any data of the pensioners but initiates the process once it receives pensioner's records from retiree's respective former department where payment is made to the retiree through an electronic funds transfer.

An analysis by Kenya Anti-Corruption Commission (2008) on the activities at the Pension Department outlined different stages entailed in retirement benefit processing that gave a preview of the movement of records from the organization the retiree was working, to the pension department and external auditors. Retirement benefit processing goes through a number of various

steps with 7 different departments; claims, registry, assessment, external audit, approval, accounts, cash office and dispatch. These presents risks for delay in processing due to file retrieval challenges, missing of files and duplication of work. The report also observed how the location of registry, mail office and office where records are serialized are in different floors apart that contributes to delays. Additionally, it was noted that supervisors are sitting far from staff which makes it difficult to supervise, support staff and make quick approvals (Kenya Anti-Corruption Commission, 2008).

The department has initiated various reforms to improve service delivery for faster and efficient pension processing; workflow environment, record management and archiving, payroll cleansing and staff capacity building (Ministry of Finance, 2012). However, the department has been faced by accusation of payment of pensions to non-deserving individuals and ghost workers with Agolla (2012) noting numerous cases of funds misappropriation. Servac report (2008) noted inefficiencies within the pension industry resulting to complaints from beneficiaries including; lack of timely feedback, misplacement or loss of files and slow speed in record retrieval from storage leading to delays. This was seen as causing depression to the beneficiaries, death before getting benefit while survivors do not know where to start hence benefits ending up in the wrong hands (as cited by Phiri, 2012).

1.1 Statement of the Problem

Effective records management practices can fasten the speed of retirement benefit processing thereby improving service delivery. A study conducted in Kenya by Onduko, Gweyi and Nyawira (2015), reported an existing relationship between financial literacy and retirement benefit planning. The study focused on financial literacy and how it was supporting would be retirees in planning for their retirement. The study also used pension scheme members as respondents targeting different pension providers. Musila, Masinde and Maithya (2019) found that teachers in Makeni County were finding it hard to continue educating their children after retirement as they did not have enough finances. They also indicated having poor retirement benefit planning while they were working hence with demand from the community and their families, it was challenging to survive after retirement. The challenges in the post retirement experience by teachers was reinforced by Nyaboke (2016) with recommendations of immediate payment of lumpsum to Kisii County retirees who took long to receive their payments.

Other studies in Kenya have concentrated on different departments highlighting challenges experienced with records practices in public service delivery with Njeri (2018) noting how lack of effective and efficient records management, absence of regulations, policies and lack of basic skills were a hindrance to effective public service within the parliamentary commission. The different studies undertaken within the pension industry have few that are focused on records management and retirement benefit processing with non-undertaken recently in Kenya that focused on the pension department. However, Nyaboke (2016) call for speedy payment of retirees lump sum upon exit from employment indicates how many retirees are a frustrating lot because of the cumbersome and long duration of accessing their pension. Since all processes and procedures are records dependent, this provokes the need to assess records management practices and how they affect pension processing for satisfactory service delivery. This study sought to find out the effect of records management practices on service delivery at the pensions department in Kenya.

1.2 Purpose of the Study

To determine the effect of records management practices on service delivery at the Pensions Department, Kenya.

The study specific objectives were:

- i. To find out the effect of record management policies on service delivery at the Pensions Department, Kenya.
- ii. To determine the effect of staff capacity on service delivery at the Pensions Department, Kenya.
- iii. To investigate application of ICT in records management and its effect on service delivery at the Pensions Department, Kenya.
- iv. To establish effects of records management practices on service delivery at the Pension Department, Kenya.

2.0 Literature Review

2.1 Records Management Policies

Records management is an important resource for the government as it helps improve decision making through evidenced based decision. It also to a great extent, supports operational efficiency and accountability by protecting records as well as reducing costs. The Pension Department has adopted both manual and electronic record keeping practices with digital being in the form of images, videos and texts where most of electronic records are vulnerable in nature as they can be overwritten, inaccessible, lost and may also become obsolete due to rapid change of technology (Government Records Service, 2015).

Businesses and governments receive lots of information everyday but not all of them are considered records. This is because a record is any physical or media information that is required during any business activity and kept as evidence to support decision making (Government Records Service, 2011). To serve as evidence, there are certain attributes that a record should have; content –the information contained in the record and the context which stipulates the purpose for which the record is created, the person who created it, for what intention and when it was created. All these should be made within a required structure which indicates the logical sequence and how the content is related to each other. Records also need to be authentic, reliable and of high integrity by being complete without any alteration. Record keeping therefore enables the pension department to manage records throughout its lifecycle from the time it is captured, registered, classified, used, and maintained to the time it is disposed.

A study carried by Freda (2014) on assessment of records management practices among the administrative staff of university education, Winneba Kumasi and Mampong campuses adopted qualitative study with a sample of 80 drawn from administration to carry out the study. Primary data was collected using questionnaires while secondary data was achieved through internet, journals and university information. Purposive sampling was used to identify respondents. SPSS was used in analysis with presentation done through pie charts, bar charts, frequency tables and percentages. The study noted an existence of policies and procedures that were used for creating and storing records. Documentation of records retention schedule was also available which prevented excessive retention of records that could affect retrieval and space problems. The study used two campuses from a university in Ghana whereas, this study focused on the application of records management within the pension department of Kenya where the findings indicated that

there are record management policies that staff were aware of, and were helping employees in discharging their duties. This study therefore confirms Freda (2014) study that there are policies used in creating, using and maintain of records.

Kanzi (2010) carried out an investigation on the role of records management with specific reference to Amathole District Municipality, South Africa using in-depth research, survey and self-administered questionnaires. The study sample size was 35 drawn from administrative officials across all departments as records management was considered cross-departmental collective responsibility. Quota and purposive sampling were used. Follow-up was done using email and telephone to increase response rate. Presentation was done in graphs, tables and percentages. The study discovered that ignorance was displayed with regards to records management. The study recommended an improvement in records management and incorporation in the organizational wide strategies. The study sample size was 35. This study used a sample size of 88 which yielded a response rate of 75%.

A study undertaken by Ndungi (2018) sought to evaluate the role of records management in supporting administrative reforms at the Directorate of Housing in Kenya with an objective of finding the infrastructure and the incorporation of records in the reforms. The study used qualitative research to gain more comprehensive information. Working with a population of 166 and a sample size of 33 consisting of employees from the Directorate department, the study findings indicated that records management were important in supporting reforms within the Directorate department as records were essential during the planning and operations, providing information to the beneficiaries and for policy development. The study also scored the achievement made due to evidence presented in records as far as past and current activities evaluation were concerned that allowed for more insight during decision making. Records officers indicated how records allowed for information flow through the provision of relevant records, retrieval and safe custody that was necessary in achieving the department's objectives. This study used both quantitative and qualitative data collection tools such as questionnaire, interview and observation that provided in-depth information on study variables thereby validating the findings.

Mwangi, Ngétich and Ochichi (2015) carried out an examination of records management practices and service delivery in Laikipia County using mixed methods approach. The study's population was 101 hence adoption of a census method as the number of participants was small. Using questionnaires and face to face interview, the study found that physical location of registry was working against information provision as it was difficult to easily access the records. There was also inadequate space and equipment needed for proper records management. It was also revealed that there were no policies to support regulation on records management and as such, records managers indicated how they were creating their own policies while others were under instructions from their senior management due to lack of written policies. This brought inconsistencies in records management. The study made a conclusion that records management has not been fully embraced by the County Government of Laikipia due to lack of records management policies and recommended a decentralized system to reduce delays in records provision. This study was a census method whereas the current one was based on sampling. The study also focused on county government's activities that was supported by records management therefore a bigger scope. The current study was limited to the department of Pension headquartered in Nairobi hence provided a different result of existence in policies that managers and employees were using to support records management activities.

2.2 Staff Capacity

Capacity can be considered as the extent of humans, societies and institutions exhibiting successful performance, identifying and reaching their goals and be in a position to change, develop and advance to remain sustainable (Ubels et al., 2010). This requires an individual's motivation, effort and perseverance in learning and progressing (Lopes & Theisohn, 2003) that can make organizations to change and flourish. According to Fowler and Ubels (2010), European Centre for Development Policy Management provides capacity building areas; capacity to act and be self-organized, generating development results, relating, adapting and self-renewal and the capacity to realize coherence. All these are linked to how an organization operates, its procedures, values and beliefs which is majorly affected by the people who work to support the organizations objectives. Mouallem and Analoul (2014) note that organizations that aim to improve their people skills, competencies and training have greatly improved their performance. Groot and Molen (2010) also make observation on how staff development through the building of skills, knowledge and attitude can help improve appropriate performance of task within the set required standards. An analysis of skill gaps is therefore necessary to determine areas of improvements for increased public service delivery within the pension department (Yamoah, 2014).

A study undertaken to determine the impact of electronic document management on performance of the Jordanian banks adopted descriptive studies with a sample size of 50. Questionnaire assisted in data collection. The study found that efficiency of workers and skills were positive in document management. It recommended that Jordanian banks should hold training courses for workers in order to increase their skills and ability in document management (Kittanah, Falehawadabujarour, & Jordan, 2016). The study focused on financial industry in Jordan. This study focused on government agencies within the Kenyan context where the findings indicated skill gap with managers recommending for more training to equip staff with new and modern record management skills.

Tagbotor, Adzido and Agbanu (2015) did an analysis of records management and organizational performance of Ho Polytechnic in Ghana working with 30 senior and junior staff members. Simple random sampling was used and questionnaire adopted in data collection. The study found that staff had skills that enabled their understanding of record management systems. The institution had also embraced electronic records management for easy storage, sorting and retrieval of needed information that improved staff performance in their record keeping and service to the public. The study in Ghana was related to the current study as it also sought to understand how staff capacity built by the pension's department supports good record keeping practices and how this improves pension processing. The findings indicated increased retiree satisfaction, easy and convenient and remote access of pension processing hence more service delivery to the public.

Mutimba (2014) investigated the implementation of electronic document and records management system in the public sector focusing on ministry of higher education, science and technology in Kenya. The study adopted a case study with a sample size of 52 drawn from IT staff, heads of department, records managers and clerical staff. Data collection was done using questionnaires, interviews and document reviews. Analysis was done with presentation achieved through tables, graphs and figures. The study established reduced awareness of records management policies. There were also gaps in staff sensitization as it was done at a very minimal extent. Even though the study was done in Kenya focusing on education ministry, the current study focused on pension's department with different citizen needs. However, the study confirmed that there were skill gaps among the staff and there was inadequate training due to resource allocation.

Oganga (2020) sought to determine records management risks in selected ministries in Kenya using quantitative and qualitative methods. The target population was 130 where a sample of 64 was generated. The findings showed inadequate skills and competencies within the different records management cadres. There was also understaffing in all the ministries hence meeting the objectives of the ministries was becoming a challenge. The study noted that the understaffing was likely to get worse especially within the senior management who were due for retirement. Even though the study underscored the skills from the records managers with backgrounds in masters, undergraduate and diploma, the records managers observed how they were not being given training opportunities due to negative attitude from senior managers towards records management profession. The study was focused on highlighting the importance of risk management in records to support the realization of objectives. This study was focused on how staff capacity in records management supports pension processing. A similar finding was reported that staff were receiving less training hence skill gaps and lack of new skills and knowledge on emerging trends.

2.3 Application of ICT in Records Management

Schoenherr (2014) traces the application of information and communication technology (ICT) in 1950s to the modern day computing in records management. Davenport (1997) on the other hand, recognizes the discoveries within the technological landscape dating back to 1990s that saw incredible diffusion of ICT from personal computers, local area network, internet and the World Wide Web that resulted to increased sharing of information. This in effect reduced the centralization of document management within the confines of the organization by allowing access of information to external users. This changed the way organizations work, communicate and interact with their stakeholders (Nyampong, 2015).

According to Global Market Insights (2017), by the year 2024, there will be growth within the digital records management by \$ 6 billion due to increased demand in the use of cloud and hybrid computing. This presents both challenges and opportunities to record managers hence the need to position their organizations to tap the opportunities as well as seek for interventions on how to overcome challenges. Nyampong (2015) defines electronic records as all the information recorded to support transactional activities and policies within the e-government. These can be categorized as; text files generated from word files, data files that are processed to store numeric content, audios and visual records, image files and other digital documents. International Records Management Trust (2004) observes the trend within the electronic records management across the globe by noting how in Europe and North America, many governments have gone digital with services including; confirming pension, birth registration, death registration, citizen verification, voting rights certification, tax collection and litigation support (Akporhonor, 2020).

Marutha (2016) did a study in South Africa using quantitative and qualitative study. The population consisted of 40 public hospitals where respondents were drawn which included nursing service unit, clinical service and record management unit. Questionnaires, face to face interviews, document analysis and observations supported data gathering. Descriptive and inferential statistics were used in analysis. Ms Excel and word assisted in analysis. Presentation was achieved through tables, charts and graphs. The study found that records management was not effectively enabling. The technology used also lacked file tracking system, audit trail and records back up that compromised records safety and security. The study recommended enhanced resources needed by the healthcare to embed records management into healthcare service delivery. This study also found reduced record security hence recommended a purchase of a bigger server to accommodate more digital records and enhancement of safety measures.

Joseph (2015) did a study on management of university records and documents in the world of governance, audit and risk with case studies from South Africa and Malawi using qualitative studies to carry out face to face interviews and observations. Purposive sampling was used to identify respondents from four South African and two Malawian campuses due to their knowledge hence suitability for the study. Respondents included senior university cadres; deputy vice chancellors, registrar, director finance and other senior university managers from different departments who were directly involved in governance. Coding and detailed case study write up at both micro and macro level was done.

The study found that South African universities were able to retrieve information easily as they were using digital electronic management as compared to Malawian universities who had predominantly paper based records. In the case of Malawi, emails were printed and stored in hard copies despite lack of storage in both cases. South Africans also used retention and disposal schedules to dispose their records as they had policies which were in contrast with Malawi. The study was a comparative one involving two states. This study was not a comparative and targeted one state.

Kyobe, Molai and Salie (2009) did an investigation on electronic records management and compliance with regulatory requirements in a South African University using multiple techniques that included surveys, interviews and observations with a sample of 200. The respondents included ICT staff, academicians and students. Reliability and validity was tested to ensure accuracy of the methods. Pilot testing was also done involving eight students to ensure clarity. Questionnaire was developed using a 5 point Likert scale where 1 was strongly disagree and 5 strongly agree. Open ended questions were also used for more opinions. The study found that on average both academics and students never made backups. The few who did back-up were from Information Systems (IS) and computer science departments. Further, most students were unfamiliar with email usage policies and training on proper documentation. The study recommended awareness creation on electronic records management through proper and regular training covering technical, ethical and legal issues. The study focused on university set up in South Africa which is more advanced in terms of infrastructure compared to Kenya. The study also used students as the population of study. The current study used staff within records management background hence the finding that there were experts in electronic records management.

Kenyan study undertaken by Guto (2020) on the state of record keeping among Kenyan Universities reported how ICT integration in records management can enhance transparency, accountability and reduce corruption among university by promoting the flow of information between the government and its citizens. This study will provide more insight on how the application of ICT at the Pension's department can help increase the flow of information between the Pension staff and the retirees for speedy pension processing.

A study by Ronoh (2019) focused on the role of digitization in support of the preservation of corporate archives at Kenya Power and Lighting Company (KPLC) using mix method approach with a population of 74. The study adopted a census method due to the small number of the targeted population. Semi-structured questionnaire was used in data collection. A pilot study was undertaken with analysis being done by linear regression and Pearson correlation. Presentation was done by charts, tables and graphs. The study established that KPLC provided 3 levels of access to its digital archives being; full, partial and no access. There were also policies guiding the use of digital archives which consisted of authorization, adoption of new and advanced technology, staff development and regulatory compliance. The company was also concerned with data security and

therefore had measures that included; preservation and access, data back-up and system security. The study recommended adoption of new technology with support from ICT budget to purchase computers, staff training and software needed for digital records. The current study also recommended more resource allocation to purchase bigger ICT equipment such as servers.

Magwilu (2018) undertook a study within the County Pension Fund (CPF) in Kenya using a sample of 26 consisting of heads of department, records managers and ICT officers. Purposive sampling technique and face to face interview was adopted during data collection. The study established that electronic data management system was effective with enhanced multi-sharing of records which resulted to improved service delivery. However, there were notable challenges due to cost of maintenance, absence of records retention and disposal software. The study recommended more staff training to support the deployment of new technologies such as optical character recognition and cloud computing. The current study also found that there was increased service delivery due to efficient and faster processes, easy access of retirees' information and payment within stipulated time frame.

Rotich, Mathangani and Nzioka (2017) carried out a study within the Kenya National Assembly to establish how records management supported public accountability using qualitative research design. The study adopted purposive sampling and interview during data collection. The findings from respondents revealed that there were no ICT equipment within their organization that were used in records management. The respondents noted that even though they were aware of the role of ICT in records management, they were not able to interact with ICT devices. However there were indifference from respondents as some noted presence of ICT equipment in their organization mentioning; computers, routers, printers, desk phones, scanners, network administrators and servers that helped in managing information flow. However, majority of the respondents noted that their organization was not using digital records. The study concluded a need for investment in ICT to design systems for improved and better electronic records management in the entire lifecycle of records. The current study reported application of ICT in digital records management.

2.4 Records Management Practices

Duffy (2000) notes how records play an important role in an organization's interaction with its key stakeholders by enhancing effectiveness and efficiency of an organization. Uwaifo (2004), Akporhonor and Iwhiwhu (2007) add that for records to provide credible information, there has to be confidentiality and security while at the same time, content and context must be preserved for all records that come in. It is observed that without records, there would be no evidence of what organizations have done in the past and proof for current activities that can guide future planning. Good records management practices require that all records are kept in a systematic way with indexes and classification to allow easy retrieval as well as giving access to personal data (Government Records Service, 2011). An observation on records management best practices by Iron Mountain (2005) advised that with the increased number of regulations governing information, there is need for more clear and consistent way of records management practices that can allow the creation and preservation of records as and when they are needed, controlling as well as archiving for future reference.

Luthuli and Kalusopa (2017) explored medical records management practices in the public sector of Kwazulu-Natal, South Africa focusing on one hospital-Ngwelezana. The study used record handlers, record managers and patients using quantitative and qualitative studies where semi-structured questionnaire, interviews and observations were adopted to collect primary data. Google

forms software was used to analyse some basic descriptive quantitative analyses while qualitative narratives were also used. The study found that current records management tools helped in health service delivery where the patients indicated being happy with the service. However, the record handlers indicated that the manual system was time-consuming and laborious. They indicated that they were understaffed that made it difficult to deliver good records management for improved health service delivery as only two people were working at a time to serve a huge number of patients thus long queue. The study recommended an implementation of a file tracking system, restructure records management unit and integration of ICT. It also concluded that health service was delayed due to ineffective and inefficient file retrieval issues. The current study also found misfiling and lost files cases at the Pension Department that reduced the speed of pension processing hence low service delivery.

Nyapong (2015) carried out a study on electronic records management in national development focusing on Ghana Immigration Service (GIS). The study adopted quantitative and qualitative studies where data was collected using survey method of face to face discussions that took 4 months. The sample size was 101 with a sampling frame generated from organizational staff records. Open ended questionnaire was used to allow the respondents list all opinions. Pre-test was done to improve clarity. Purposive sampling was used to identify respondents. Statistical Package for Social Sciences and Excel assisted in analysis. The study found that records management at GIS was done manually which was making it hard to easily and quickly retrieve records. There were also well established documented procedures in record management practices which had outlived their usefulness due to increased digitization within GIS environment making records management inadequate. The current study recommended the need to have more updated and modern records management equipment for more record safety and improved service delivery.

A study by Oyaro (2013) determined the impact of records management on service delivery targeting the immigration department. With a population of 413 employees, the study derived a sample size of 90 where questionnaire was used to collect data. The findings indicated that even though there were defined ways that supported file location, this was inadequate as tracking of files was tedious with some employees having little knowledge on procedures on record management practices. The study recommended enhanced efficiency within records management that can provide a systematic procedure of files tracking, access and retrieval.

Anyungu (2011) sought to establish records management as practiced by Teachers Service Commission (TSC) using mixed method descriptive research with a population of 300. The study adopted questionnaire, interview and observation to collect data from 100 respondents. Descriptive statistics was used in data analysis. The study findings indicated that there were inadequate record management practices such as records survey, file classification, indexing, appraisal and disposal which lead to uncontrolled congestion of records. The study also reported that there were staff who had not received sufficient training in records management for professional development. The study recommended digitization of TSC records to improve efficiency and service delivery.

3.0 Research Methodology

This study used descriptive research design incorporating quantitative and qualitative approaches to carry out the investigation on the effect of records management practices on service delivery at the Treasury's Pensions department in Kenya. The study area was Bima House, Pension Department Headquarter, Nairobi. Bima House is along Harambee Avenue near Nairobi CBD.

Many government offices and agencies such as Treasury and National Bank are found along this road. It is easily accessible by all retirees doing follow-up of their retirement benefits. It is also along the road not far from where the researcher works hence easy coordination and follow-up of research activities. The location was chosen due to its centrality and nearness to Nairobi CBD. It is also the only department dealing with all government retirement benefits processing where all retirees doing follow-up visit for updates. All Pension Department employees will consists of the target population.

According to the National Treasury (2020), the Strategic Plan 2022/23 indicates current pension officers at 112 consisting of 7 departments: claims, registry, assessment, approval, accounts, cash and dispatch (Kenya Anti-Corruption Commission, 2008). All the departments are targeted as they deal with retiree records during the pension processing and in each department, all the documentation needed are verified where some departments reject certain documentation while others demand for certain records. Because there is a lot of movement from the point of receiving the records to the next approval level, there is likelihood of delays and missing of files across the seven departments. Table 3.1 provides the study's target population according to departments.

The study used proportionate stratified random sampling to group the seven different departments of the Pension Department that allowed equal representation of the entire population. Studies with population without similar characteristics apply stratified random sampling by grouping into strata according to similar characteristics for precise estimate that allows reliability and detailed information (Kothari C. R., Types of sample design., 2004). The population at Pension Department was stratified according to the various divisions and sections performing different roles to achieve the same objectives of processing retirement benefits to improve service delivery.

The study adopted Yamane (1967) sample size formula to derive the required sample (Singh & Masuku, 2014). Sample size of 88 was identified. The researcher obtained permission from Kenyatta University where a letter of authorization to collect data was granted. The researcher also obtained a letter from National Commission of Science, Technology and Innovation (NACOSTI) to allow for introduction to respondents and explaining the purpose of the study thus data collection from the public. Two research assistants helped with data collection where follow up was done using email and telephone to increase response rate. The following was done during data collection;

Data collected was edited, coded, classified, tabulated and with an aim of removing errors and omissions. Data was analysed using descriptive and inferential statistics to understand the distribution of variables, the relationship between the independent-records management practices and dependent variable-service delivery and to determine the effect of independent variable on the dependent variable. Content analysis was used to analyse qualitative data by way of classifying and interpreting text data to come up with statements of meaning (Flick, 2013). A table was developed with cases listed in column format where frequency of occurrence of different cases was determined to support conclusions.

Oyaro (2013) notes that descriptive analysis brings about a consolidation of large data to enable the researcher in making deductions. The analysis therefore supported the study in understanding the distribution of data. Karl Pearson Correlation was used to analyse the degree of relationship between records management practices and retirement benefit processing with correlation values ranging between $+1$ where those closer to one indicated strong positive relationship, those closer to negative one symbolized perfect negative relationship while zero indicated no linear relationship

(Zaid, 2015). Multiple regression analysis was then used to analyse the effect of records management practices on retirement benefit processing. Statistical Package for Social Sciences (SPSS) aided in data analysis. Presentation was done using tables, graphs, charts, percentages, mean and standard deviations to bring meaning and increase visualization of the study findings.

4.0 Data Analysis Results

The study sought to determine the relationship between records management practices and service delivery at the Pensions Department, Kenya. Karl Pearson Correlation was used to analyse the relationship between four independent variables and the dependent variable. Zaid (2015) defines correlation as a statistical measure that determines the relationship between two or more variables with correlation coefficient values ranging between +-1 with values closer to 1 signifying strong relationship. The findings is as discussed in Table 1.

Table 1. Correlation Analysis

		RMPOL	STCAP	ICTAP	RMPRA	SERVDEL
RMPOL	Pearson Correlation	1				
	Sig. (2-tailed)					
	N	31				
STCAP	Pearson Correlation	.783**	1			
	Sig. (2-tailed)	.000				
	N	31	31			
ICTAP	Pearson Correlation	.753**	.826**	1		
	Sig. (2-tailed)	.000	.000			
	N	31	31	31		
RMPRA	Pearson Correlation	.746**	.844**	.773**	1	
	Sig. (2-tailed)	.000	.000	.000		
	N	31	31	31	31	
SERVDEL	Pearson Correlation	.687**	.681**	.565**	.594**	1
	Sig. (2-tailed)	.000	.000	.001	.000	
	N	31	31	31	31	31

** . Correlation is significant at the 0.01 level (2-tailed).

From Table 1, the study found that all the four independent variables were positively related to service delivery where; record management policy was ($r=0.687$, $p\text{-value}=0.000$), staff capacity was ($r=0.682$, $p\text{-value}=0.000$), ICT application was ($r=0.565$, $p\text{-value}=0.001$) and records management practices having ($r=0.594$, $p\text{-value}=0.000$). Senthilnathan (2019) note that correlation values ranging from 0.35 to 0.5 signify moderate correlation whereas, those with values in the range of 0.5 to 0.7 are strong relationship. From the findings, coefficient values were above 0.5 which means that there was a strong positive relationship between the independent variables and dependent variables.

Table 2. Model Summary

Model	R	R Square	Adjusted R Square	Std. Error of the Estimate
1	.729 ^a	.531	.459	2.27042

a. Predictors: (Constant), *Record Management Policies*, *Staff Capacity*, *Application of ICT*, *Records Management Practices*

From Table 2, correlation coefficient was 0.729 which indicated a strong relationship between records management practices and service delivery at the Pension Department. Adjusted R square was 0.459. This means that 45.9% of records management practices account for service delivery within the Pension Department. Other factors of 54.1% were outside the study scope hence the need for further study to determine how they affect service delivery.

The study sought to determine significant effect of records management practices on service delivery at the Pension Department. The findings is as discussed in Table 2.

Table 2. Analysis of Variance (ANOVA)

Model	Sum of Squares	df	Mean Square	F	Sig.
1 Regression	151.653	4	37.913	7.355	.000 ^b
Residual	134.025	26	5.155		
Total	285.677	30			

a. Dependent Variable: *Service Delivery*

b. Predictors: (Constant), *Record Management Policies*, *Staff Capacity*, *Application of ICT*, *Records Management Practices*

Sawyer (2009) notes that ANOVA tests helps in understanding the differential effects of the independent variable to the dependent variable. From Table 2, the study found a statistical

significance effect of records management practices and service delivery as the p-value=0.000 was within the required threshold of $p < 0.05$.

The study analysed how each of record management practices affect service delivery at the Pension Department. The findings is as presented in Table 3.

Table 3. Regression Coefficient

Model	Unstandardized Coefficients		Standardized Coefficients	t	Sig.
	B	Std. Error	Beta		
1 (Constant)	4.436	1.500		2.958	.007
RMPOL	.287	.151	.439	1.900	.069
SCAP	.332	.213	.473	1.562	.130
ICTAP	-.085	.162	-.133	-.523	.606
REMPR	-.023	.199	-.030	-.114	.910

a. Dependent Variable: *Service Delivery*

The regression model that was used in the analysis was thus: $\text{Service Delivery} = 4.436 + 0.287\text{Record management policy} + 0.332\text{Staff capacity} - 0.85\text{ICT application} - 0.023\text{Recrod management practices}$. From Table 4, when all factors are held constant, service delivery would increase by (4.436) while one unit increase of record management policy would result into 0.287 increase in service delivery, an increase in staff capacity would lead to 0.332 increase in service delivery, a single unit increase in ICT application would lead to 0.085 decrease in service delivery and a unit increase in records management practices would lead to 0.023 decrease in service delivery. All the records management practices were not significant at 95% significance level where; Record management policy was ($0.069 > 0.05$), Staff capacity was ($0.130 > 0.05$), ICT application was ($0.606 > 0.05$) and records management practices was ($0.910 > 0.05$). The study therefore rejected the model as there was no sufficient evidence to support records management practices effect on service delivery.

5.0 Conclusions and Recommendations

5.1 Conclusion

Records management practices can greatly support the improvement of service delivery at the Pension Department. The first objective of the study was to find out the effect of record management policies on service delivery. The study concluded that there were records management policies that staff were aware of which acted as a guide to the staff in discharging their duties. However, the study concluded that not all staff were aware of these policies as the managers recommended for more clear policies to support decision making. It was concluded that there was a positive and strong relationship between records management policy and service delivery even though there was no significant effect on service delivery.

The second objective was to determine the effect of staff capacity on service delivery at the Pensions Department, Kenya. The study concluded that the Department organized for team building, did routine communication and update on emerging issues within records management that supported staff capacity building. Descriptive study findings indicated that the Pension Department organized team building for improved communication amongst its staff, there was also routine communication to the staff on new and emerging issues within records management. However, there were skill gaps indicated by low mean score of new skills as a result of reduced training opportunities. The study concluded that staff capacity affects service delivery at the Pension Department, there is a positive and strong relationship between staff capacity and service delivery and there is no significant effect of staff capacity to service delivery.

The third objective was to investigate ICT application in records management and how this had an effect on service delivery at the Pensions Department, Kenya. The study concluded that the Department has expertise among its staff that can manage electronic records. The study also concluded that ICT application has enhanced service delivery at the department as there is remote access of pension processing by retirees, reduced administrative costs and improved digital records management. The study concluded that ICT application in records management affects service delivery at the Pension Department. There is positive and strong relationship between ICT application and service delivery even though there is no significant relationship.

The fourth objective was to establish effects of records management practices on service delivery at the Pension Department, Kenya. The study concluded that records without proper security measures can be easily misused. The study also concluded that there are cases of misfiling and lost files at the Pension Department. The study also concluded that records management practices affect service delivery. There is a positive and strong relationship between records management practices and service delivery even though there is no significant effect on service delivery.

5.2 Recommendations for Policy and Practice

The study concluded that record management policies affect service delivery. The study noted that staff were aware of records management policies that was guiding them to discharge their work. These policies supported records creation, retention, scheduling and disposal. Some of the policies if not well understood by staff could reduce the performance of staff due to knowledge gap. From the findings, not all staff were aware of these policies hence the study recommendation for clear policy guidelines to support staff in discharging their duties. These policies can also be used as training manuals to increase staff knowledge and awareness of records management policies.

The second objective was to determine the effect of staff capacity on service delivery where the study concluded that Department had team building activities, provided routine communication and updates on emerging issues within records management. The study also noted that staff were provided with machinery and equipment they needed to discharge their work. However, low mean score of new skills indicated a knowledge gap. The study recommends the need to provide adequate resources not only for equipment acquisition but for training to equip staff with new skills. Training can then be conducted according to different divisions while addressing gaps in records management. This will help ensure that all departments benefit from training and inturn support team work.

The third objective was to investigate ICT application in records management and how this had an effect on service delivery at the Pensions Department, Kenya. Descriptive analysis indicated how respondents highly ranked staff expertise in electronic records management with many benefits

derived from ICT. However, protection of sensitive digital records was lowly ranked. The study recommends the need to secure bigger servers for more digital records management, improve on data protection mechanisms and provide resources that can support the purchase of modern technologies to enhance protection of digital records.

The fourth objective sought to establish the effects of records management practices on service delivery at the Pension Department, Kenya. Even though the study found that records without proper security measures can be easily misused, the study recognized the importance of finding aids. However, there were cases of misfiling and lost files which affected service delivery. The study recommends improvement of security measures to avoid misusing of records. More technologies that support record tracing can be adopted for easy retrieval of records. Further, policy makers need to sensitize the staff on proper record keeping procedures to ensure all records are at their location as and when needed.

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