Aligning records management and risk management with business processes: a case study of Moi University in Kenya

Juliet A. Erima
Moi University, Students Affairs Department, Eldoret, Kenya
julieterima@gmail.com

Justus Wamukoya (PhD)
Moi University, School of Information Sciences, Eldoret, Kenya
jwamukoya1@yahoo.com

Abstract

This paper is a synopsis of the preliminary findings of a Master of Philosophy Degree in Information Sciences which sought to investigate the alignment of risk management and records management with business processes in Moi University with a view to proposing a strategy to enhance business performance. The study sought to undertake a business process analysis of Moi University in order to identify the records generated. It also sought to assess the current state of records management and risk management at the institution. The study was based upon the records continuum model advocated by Frank Upward (1980) and the Government of Canada Integrated Risk Management Model (2000). Preliminary findings indicate that poor records management practices at Moi University have been a source of risks at the institution, leading to inefficiency in business processes. The study recommends the adoption of comprehensive records management and risk management programmes and that the records-cum-risk management model proposed by the study should be adapted to aid in the implementation of these programmes.

Keywords: Records management; risk management; business processes, Moi University

1 Introduction

"Risk" is incorporated into many different disciplines. The Australia/New Zealand Standard for Risk Management defines risk as "the possibility of something happening that impacts on organisational objectives (*AS/NZ 4360* 2004). According to the Victorian Auditor-General's Office (2004:2), risks facing organisations can be categorised into: strategic risks, commercial risks, operational risks, technical risks, financial and systems risks, and compliance risks.

All tertiary education institutions face mounting pressure to demonstrate legal compliance, regulatory compliance and high standards of corporate governance through the implementation of risk management programs. Mat-Isa (2006:63) points out that most organisations have neglected good record-keeping practices thus exposing themselves to risks from various quarters.

Cunningham and Montana (2007) state that beyond any ethical or client service considerations, sound records management is risk management. Records management supports risk management and business continuity planning. It identifies which records are vital to the running of the business and supports the business continuity or risk management plan.

2　Aim of the study

This paper investigates the extent to which records management and risk management were aligned with business processes at Moi University and proposes a strategy to enhance business performance in line with best practice standards at the University.

3　Objectives of the study

The specific objectives of the study were to:

- undertake a business process analysis of Moi University in order to identify the resultant records generated by these processes;
- assess the current state of records management at Moi University;
- identify the risks facing Moi University in relation to its core mandate;
- establish the role of records management in the mitigation of risks faced by the institution; and
- propose a records management-cum-risk management strategy to enhance business processes at Moi University.

4　Definitions

4.1　Records

Whilst all records are information, not all information is a record. Many scholars and organisations have attempted to bring out this distinction by defining the term "record" (National Archives and Records Administration (NARA); Roper & Millar 1999; Schellenberg 2002; Yusuf & Chell 2005). However, the Universally accepted definition is the one provided by the International Standards Organisation on Records Management (ISO 15489-1 2001(E) which defines records as "information created, received, and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transaction of business" (ISO 2001:3).

Records can exist in any medium and in many forms, including documentary, databases, photographs and audio visual. Shepherd and Yeo (2003:4) contend that a record is not defined by its physical form, age, or the fact that it contains information. Its essential characteristic is that it provides evidence of some specific activity. Whatever the format, records need to be properly managed for business efficiency in an organisation. Mnjama and Wamukoya (2004) concur that records are valuable assets that need to be managed and protected.

Shepherd and Yeo (2003:4) point out that there are three key values which can be met by good records: First, organisations use records in the conduct of current business, to enable decisions to be made and actions taken. Second, organisations use records to support accountability, when they need to prove that they have met their obligations or complied with best practice or established policies. Third, records may also be used for cultural purposes and research, to promote awareness and understanding of corporate history.

Kemoni *et al* (2007) opine that records are required for developing and implementing policies, planning, keeping track of actions, achieving consistency in decision-making, providing effective service to citizens and achieving greater efficiency. Therefore, records must be properly managed to ensure their usefulness through time.

Perhaps the best summary of the usefulness of records is that which is provided by Piggot (2002) a senior information solutions consultant with the Word Bank who says that "without access to good records, officials are forced to take decisions on an *ad hoc* basis

without the benefit of institutional memory. Fraud cannot be proven, meaningful audits cannot be carried out and government actions are not open to review".

4.2   Records management

There is no universally accepted definition of the term "records management" and this is an indication that the discipline of records management is dynamic (Yusof & Chell 1999). Many definitions have been put forth by authors such as Taylor (1996), Yusof and Chell (2005), Roper and Millar (1999), Shepherd and Yeo (2003). This article adopts the ISO 15489-1 (2001:3) definition issued by the International Standards Organisation which defines records management as the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records.

Mat-Isa (2005:63) advises that a strategic approach to records management is vital in order to facilitate proper recordkeeping and retrieval. Emery (2005:27) reports that essential elements of a records management programme include a records retention policy and a set of procedures where records are classified, retention periods are defined and destruction procedures are prescribed. Classification of records and their maintenance together with the appropriate metadata ensures that the information can be retrieved quickly when required. The International Records Management Standard 15489-1 (2001) specifies what should be included in a records management programme and establishes criteria for businesses and government agencies throughout the world.

4.3   Risk

The risk concept originated in France by an economist named Henry Fayor just after the Industrial Revolution (Institute of Electronics, Information and Communication Engineers Technical Report 2001). The M-o-R Standard (2002) and Maya (2008) have defined risk from the perspective of the impact upon organisational objectives. This study adopts the definition given by the Australia/New Zealand Standard for risk management which defines risk as "…the possibility of something happening that impacts on organisational objectives. It is measured in terms of likelihood and consequence." (AS/NZ 4360 2004). The definition takes into consideration the fact that risk has either a negative or positive implication which needs to be considered.

Risk arises out of uncertainty. It is the exposure to the possibility of such things as economic or financial loss or gain, physical damage, injury or delay, as a consequence of pursuing a particular course of action. The concept of risk has two elements, the likelihood of something happening and the consequences if it happens (Victorian Auditor-General's Office 2004).

The Victorian Auditor-General's Office (2004) notes that risks can be categorised according to the goals, objectives or outcomes in the agency's corporate, strategic or business plans. It further adds that risks can also be categorised into: strategic risks (risks to the agency's direction, external environment and to the achievement of its plans); commercial risks (risks of commercial relationships, such as failed contractual relationships); operational risks (risks to core business activities, such as inadequate human resources, physical damage to assets or threats to physical safety); technical risks (risks of managing assets, such as equipment failure); financial and systems risks (risks with financial controls and systems, such as fraud); and compliance risks (risks to meeting regulatory obligations).

All organisations have expressed or implied objectives. Maya (2008) observes that risk is a fact that all organisations come across and is therefore important in achieving organisational objectives.

4.4   Risk management

As with the definition of risk, there are equally many accepted definitions of risk management in use. Some authors describe risk management as the decision-making process, excluding the identification and assessment of risk, whereas others describe it as the complete process, including risk identification, assessment and decisions around risk issues. For purposes of this paper, risk management shall be defined as the systematic application of management policies, procedures and practices to the task of identifying, analyzing, assessing, treating and monitoring risk (Victorian Auditor-General's Office 2004).

The Australian National Audit Office (2005) observes that risk management in the public sector has gone from a fairly 'woolly' concept that lacked any real level of sophistication or maturity in its application to one where it is now generally accepted that business processes, risks and controls across an organisation are interrelated. Today virtually all companies continue to face the prospect of uncertain economic and market conditions. There continues to be a generally heightened concern and focus on records management, particularly in light of the series of high-profile business scandals and failures world-wide (Australian National Audit Office 2005).

The Victorian Auditor General's Office (2004) opines that good risk management is based on a well-planned, logical, comprehensive and documented strategy. This strategy provides general policy guidance, and plans and procedures that can be used as part of the organisation's everyday work to manage risk.

Maya (2008) points out that risk management is a very critical input for educational organisations because all educational practices bear a certain level of risk. They are established through decision-making processes, some of which may be correct or incorrect. Therefore, these institutions have no choice but to assume the risks that will occur if the approved decision is incorrect.

Risk management in universities involves handling efficiently and reasonably the risks that occur as a result of teaching and learning activities rather than avoiding risks. A study carried out by HEFCE (2001) reports that institutions that are engaged with risk management are most likely to have tangible benefits from the process, which include:
- Consistent and systematic management behaviour in institutions;
- The ability to systematically identify, assess and seize opportunities in ways that were not necessarily possible before;
- Promotion of healthy self-criticism within institutions; this helps to open up new directions and new opportunities.

5   Nexus between records management and risk management

Cunningham and Montana (2007) state that beyond any ethical or client service considerations, sound records management is risk management. That this is true is well- known in the business world, where records retention scheduling and its many related activities have long been viewed as an exercise in risk management as well as a vehicle for controlling costs.

According to the University of Texas State (2009) the records management program is in itself a risk management tool. The records management program ensures sound record-keeping practices that support business activities, assist in the capture and maintenance of corporate memory, and ensures compliance with relevant legislation. Mat-Isa (2005:75) also

points out that most organisations have neglected good record-keeping practices thus exposing organisations to risks from various quarters. Cunningham and Montana advice that some combination of administrative management in the form of indexing, physical storage arrangements and the like, combined with suitably chosen retention periods, creates a situation in which the firm and its clients are at lowest risk of any adverse consequences arising from poor management of records and information.

A risk-based approach to records management identifies and gives priority to risky records, ensuring that those records are protected, managed through their life cycle, available as needed, and appropriately destroyed at the end of their life cycle. This approach is known as records-risk management because it addresses the records that carry the greatest organisational risk first (Mat-Isa 2005:75).

Mnjama (2003) states that the value of state records derives, among others, from the information they contain and evidence they provide. Any given organisation can be protected by understanding the records it needs to keep. Creating and managing records helps an agency do business and manage the risks associated with that business. Without adequate records, the agency may have difficulty providing evidence of its actions and decisions.

Records are one of the basic litigation support tools. Without them there can be no litigation as they provide information through which evidence is derived and decisions are made (Kanzi 2010). A well designed records management system helps protect an organisation legally.

Agere and Mazikana (1999) argue that keeping of records and storing of information in an organisation has, in the last few years become critical not only for historical purposes but also, and more importantly, for current and future managerial and policy development. They further add that in reviewing the performance of the entire public service machinery, it has always been necessary to review the objectives, functions, rules and regulations, procedures and practices. The overall outcome of these reviews would be the development of organisational manuals, policies and procedures which would guide staff towards best practices and ways of doing things. Thus, records management provides the basis for development of these documents and gives evidence of compliance with them.

The Kenya Anti-Corruption Commission website states that opportunities for corruption are manifested through lack of regulations and guidelines, manipulation of records, poor storage and maintenance of records, loss and delays in records retrieval (KACC 2011). According to the World Bank (2000), well managed records provide a cost-effective deterrent to fraud and corruption. Properly kept and authentic records can serve as evidence to identify abuse, misuse and non-compliance with financial institutions and other laws and regulations.

An effective records management system is a critical element in the preparation of an institution's financial statements. It will allow for verification of the completeness and accuracy of data reported in financial statements and assists in the compilation of the audit process. The World Bank (2000) states that poor record keeping affects the entire accounting function, with the result that reporting and auditing may become virtually impossible.

Records management seeks to efficiently and systematically control the creation, use, maintenance and final disposition of the records which are routinely created as a result of an organisation's activities and transactions. Records management will help to ensure that: only the right information is created in the first place; information is kept as long as is necessary and no longer; information can be located and retrieved in a timely and controlled manner; information is secure (JISC 2009).

Harris (2009:17) argues that achieving success overall is more than the sum of individual parts. It depends, very often, on successful sharing of meaningful information between parts. Modern ICTs when properly harnessed will contribute towards eliminating technological and systems risks which expose the organisation to dangers of delayed access to required information contained in records.

The link between records management and risk management cannot be ignored. It is clear that poor records management is a major source of risk exposure in organisations. Proper records management is therefore critical for successful risk management.

6   Research methodology

This study adopted a case study approach aimed at collecting data pertaining to records management and risk management at Moi University and their impact upon business processes at the institution. Qualitative techniques were employed in data collection using interviews and documentary review. Before embarking on the data collection process, the researcher sought official permission from the head of Human Resource department and a letter of authorization to carry out research at Moi University was issued. The researcher fully explained the study to the subjects in advance. Clear and accurate information about the research study was given to all the study subjects prior to the commencement of the study. They were informed about the aim and objectives of the study and their decision to participate in the study was purely voluntary. During and after the study, the identity of all the respondents remained anonymous.

The researcher designed semi-structured interview schedules consisting of open-ended questions for each category of respondents in accordance to the research objectives (see Appendix 1). Face-to-face interviews were conducted, though telephone interviews were also used when there was need for further clarification of previously provided information.

The study population consisted of 150, out of which a sample size of 50 respondents (33.3%) was selected using stratified and purposive sampling techniques. Stratified sampling was used to select the units engaged in relevant business processes resulting in records creation, use and maintenance. The respondents from each strata were then purposively selected to participate in the study. A small but relevant sample was selected to provide an information-rich qualitative context to answer the research questions and meet objectives as accurately as possible.

The study population was drawn from the two campuses of Moi University namely Main and Town campuses comprising of the College of Medicine, Annex and West. The respondents included representatives of the six Management staff (Vice Chancellor, Deputy Vice Chancellor - Planning and Development, Deputy Vice Chancellor – Research and Extension, Chief Academic Officer, Chief Administrative Officer and the Finance Officer); Deans of Schools and Heads of Departments (HODs); Senior Administrative staff (comprising of Senior Principal Administrative Officers - SPAOs, Principal Administrative Officers - PAOs and Senior Administrative Officers - SAOs; ICT staff; Records staff in the registries and other departments and Schools; and Secretarial staff attached to the Management. Table 1 shows the population and sample of the study.

Table 1: Study population and sample size (N=50)

Participants	Population	Sample	Percentage (%)
Management Representatives	6	6	100
Heads of Depts.	25	7	28
Deans of Schools	9	7	77
Senior Admin. Staff	40	8	20
Records Staff	20	8	40
ICT Staff	30	8	26
Secretaries	20	6	30
TOTAL	**150**	**50**	**33.3%**

7 Summary of preliminary findings

The findings reported here are based on responses to the face-to-face interviews undertaken using interview schedules prepared by the researcher. A response rate of 100% was realized. This positive response was attributed to the small margin of the sample population selected, which provided adequate data to inform the study. The researcher, being an employee of Moi University was also able to interview all the targeted respondents since they were within easy reach.

7.1 Business process analysis at Moi University and the type of records generated

One objective of the study was to conduct a business process analysis (BPA) to understand the kinds of activities that constitute the business process of Moi University and the types of records generated by these processes. An understanding of business activities of the respondents was useful in establishing the importance of records management and risk management in the organisation. It was also intended to give an understanding of the business processes of Moi University and show how records management and risk management underpinned the business operations of the institution. The respondents in each category were asked about their business activities and the records created and/or received as a result of these activities.

The study findings revealed that Moi University's core business activities were: provision of education through teaching and learning; research and extension services. Though these were the major business activities, they were supported by other activities which included: strategic planning and development; resource mobilisation and other financial processes; policy formulation and implementation; monitoring and review; staffing; provision of modern and reliable information systems and technologies; provision of medical services to staff and students; and compliance with legal requirements related to the business processes of the institution.

The respondents interviewed all performed duties which were directed towards the institution's core business activities. These activities led to the generation and/or receipt of the following records both in paper and electronic formats: administrative records; financial records; architectural records; personnel records; medical records; students records; academic reports; Council, Senate, Deans' and other Committee records; ICT records; other records

such as circulars, minutes, notices, internal memos, advertisements, correspondences, statistical records, audit and other reports, research and conference records, etc.

7.2 Current state of records management

The study set out to establish the current state of records management at Moi University. This was necessary in order identify the ways in which the existing records management practices have contributed towards the institution's risk exposure and/or risk mitigation.

The findings generally revealed that the state of records management at Moi University was poor as a result of the following factors: lack of a formal RM Program/policy; lack of RM procedures/guidelines; inadequate RM staff to perform RM duties; insufficient level of awareness of the significance of records management in relation to business processes; lack of adequate continuous training for RM staff; existence of a manual records management system as opposed to an electronic one.

7.3 Problems experienced due to the current state of records management

The respondents were asked what records management problems they faced at the institution and how they overcame these challenges. Lack of records management guidelines was highly cited as the cause of records management problems in the institution. Specifically, the study was able to establish that the institution lacked a records management programme resulting in lack of uniformity in RM practices.

The findings also revealed that the institution's top management had not prioritised capacity building for records management. This was confirmed by the respondents' sentiments that there were few trained records management professionals. In addition, most of the records professionals employed were lowly placed in comparison to their qualifications while others were deployed to perform non-records management duties. These contributed to the problem of lack of professionalism in records management activities which impacted negatively upon other business processes.

The respondents also pointed out shortcomings such as the inadequacies of the current manual records management system, along with the slow pace at which computerisation of the records system is moving. Strained RM budgets also featured as a big hindrance to the success of records management in Moi University. These problems and many others were seen to be sources of risk exposure for the University.

7.4 Risks facing Moi University in relation to its core mandate

The fourth objective of this study was to determine from the views of the respondents, the key risks facing Moi University in relation to its core mandate. The study used the Victorian Auditor General's Office approach to identify the risks facing Moi University in relation to its core mandate (teaching, learning, research and extension services) which resulted from poor records management. Respondents' views generally indicated that the institution faced the following types of risks in the order of prevalence, as depicted by the percentages:

- Strategic risks (72%)
- Operational (58%)
- Financial (50%)
- Compliance risk (48%)

- Technical risks (36%)
- Systems risks (24%)
- Commercial risks (22%).

Another important finding under this objective was that the risk management process is foreign to a large percentage of the university population. Those who understood the concept however admitted that their understanding was only theoretical and not from any practical perspective since the risk management concept was yet to be embedded in the business operations of Moi University.

7.5   Role of records management in risk mitigation

The fifth objective was to find out how records management practices have contributed towards risk mitigation in Moi University. The respondents were interviewed on the impact of the current records management practices on risk management in the institution.

The findings revealed a clear relationship between records management and risk management. Nineteen (19) Out of 28 respondents (68%) felt that the records management function in the institution acts as a risk mitigating tool. Among the reasons given by respondents in support of records management as a tool for risk management were that it is important in strategic decision making, helps cut down on costs, reduces risks from litigation, and improves staff performance, among others.

The findings strongly point to the possibility of adopting a records management-cum-risk management strategy aimed at improving business processes in the institution. All of the 28 respondents interviewed on this aspect agreed that combining records management and risk management was likely to have a positive impact upon business processes by improving on efficiency.

8   Recommendations

In view of the findings of the study which are presented and discussed above, the study makes various recommendations as outlined below.

8.1   Records management

- Development and implementation of a comprehensive records management programme - Moi University Management should commission an enterprise-wide records management programme to address the creation, use, protection, retention and disposition of business information and records in the institution. The University Central Registry could play an important role by conducting an initial assessment of all business activities to ensure that all record types and series are covered in the records management programme. The programme should also address vital records management as well as the management of electronic records.

- Computerisation - there is need to fully embrace records management automation across the organisation. The University Management should prioritise funding of the on-going records automation project in order for ERM to become a reality in Moi University. The same records management principles and policies applied to paper records must also govern the management of electronic records. A task force should be constituted to determine the resource requirements and the functional requirements in each department.

It should be headed by the head of the Central Registry and should incorporate other key departments such as Finance, ICT, heads of records sections in departments and representation from senior Management. A well organised recordkeeping system will facilitate easy access to information by users at Moi University.

- Development and implementation of an electronic records management programme (ERMP) - the head of the Central Registry should in collaboration with the head of ICT department, develop an electronic records management programme which will address all aspects of electronic records management. A sound integrated ERM strategy will have a positive impact on strategic business decisions, allowing the institution to adapt quickly to market changes. Timely access to critical information will also allow the organisation to react more quickly than its competitors.

- Development of specific RM policies and procedures - the officers in charge of records sections in the various units of the institution should work together with the head of Central Registry to develop policies which specifically address unique records such as medical, financial, students, architectural records, etc. The purpose of such policies will be to establish the principles, responsibilities and requirements for the management of those particular record types. This will aid in addressing issues that have not been adequately addressed by the records management program.

- Recruitment of a qualified Records Manager - the University's top management should employ an adequately trained Records Manager who should be employed on a senior scale. Ideally, the Records Manager should hold a Masters or Doctoral degree in Records or Archives Management and should have at least three years working experience in the area of records management. Having a records manager to oversee all records management activities in the institution will provide the professional leadership that is currently lacking at Moi University.

- RM Staff capacity building and training - the institution's top management needs to prioritize staffing for the records management function in the institution. Officers in charge of records should be people of integrity, qualified and competent. Placement of these professionals should be at a high level. Additional recruitment of trained records management personnel is necessary to ensure that records management duties are undertaken professionally. Continuous training should also be organised for the records management staff to enable them upgrade their knowledge and skills in line with current developments in ICTs and other emerging trends in the records management profession. In addition, there is need for an enterprise-wide records management educational program to sensitise all staff on records management.

- Lobby for additional resources - the head of Central Registry and heads of departmental records sections should actively lobby for adequate budgetary support, by demonstrating the benefits of records management such as enhancement of efficiency, reduction of costs, litigation support, and so on. General support and improvements in the work environment of records personnel should also be advocated for by the head of the Central Registry. Records personnel in charge of departmental records sections also have a responsibility to prepare comprehensive budgets for records management activities in their

units. The records management budget should be reflected in the departments' consolidated budgets.

8.2 Risk management

- Set up a Risk Management Department - there is need for top management to consider establishing a risk management department in the institution which should be headed by an officer with knowledge and skills in risk management. The Risk Manager to be employed should possess a Masters or PhD degree in any business related field including RM, with a minimum of three years working experience. In order to add real value, it is vital that risk management is embedded into the day-to-day business operations of the organisation so that progress towards the achievement of set goals can be achieved.

- Development of a risk management programme - There is need for the institution to have a formally approved risk management programme to underpin risk management. Since there is currently no Risk Manager in the Institution, the management should engage on an interim basis, the University Auditor to develop such a programme. The Auditor should work with records and ICT professionals and all Heads of Departments and Schools in developing the programme that will culminate in a full-fledged directorate of the University.

- Risk management sensitisation - there is need for the management to arrange for external resource persons to target specific staff groups to sensitise them on risk management in order to develop a risk management culture. They should involve external role models from established organisations (locally or internationally) to deliver the programme. The management and other top officials also require training and sensitisation in risk management and change management.

8.3 Records management and risk management

- Adoption of a records-cum-risk management model - the ICT department needs to coordinate with other arms of the institution to develop an organisation-wide ERM-cum-risk management model. The model should be embraced by all business entities in the organisation. Such a model would help address records and risks related issues in the organisation.

- Vital records programme - in order to ensure business continuity in the event of disasters happening, it is necessary to have a vital records programme which is also a risk management tool. A vital records management programme helps prevent the loss of critical records (ie contracts, agreements and other records) by scanning and storing them off-site. The central registry head should take responsibility for the design of such a programme.

- Reviewing the strategic plan - there is need to review the organisations strategic plan so that records management and risk management components are clearly entrenched in it. By incorporating these elements in the strategic plan of the organisation, their profile will be raised and a formal communication will be passed to all members of the organisation concerning the expected RM and risk management

practices. This will largely contribute to the achievement of organisational goals and objectives.

8.4 Suggested model for the alignment of RM and risk management in the business processes of Moi University

This study proposes a model framework that can be adopted to align records management (RM) and risk management practices with the business processes of Moi University. The model has borrowed from the records continuum model formulated by Australian archival theorist Frank Upward and the Integrated Risk Management Model developed by the Canadian Government.
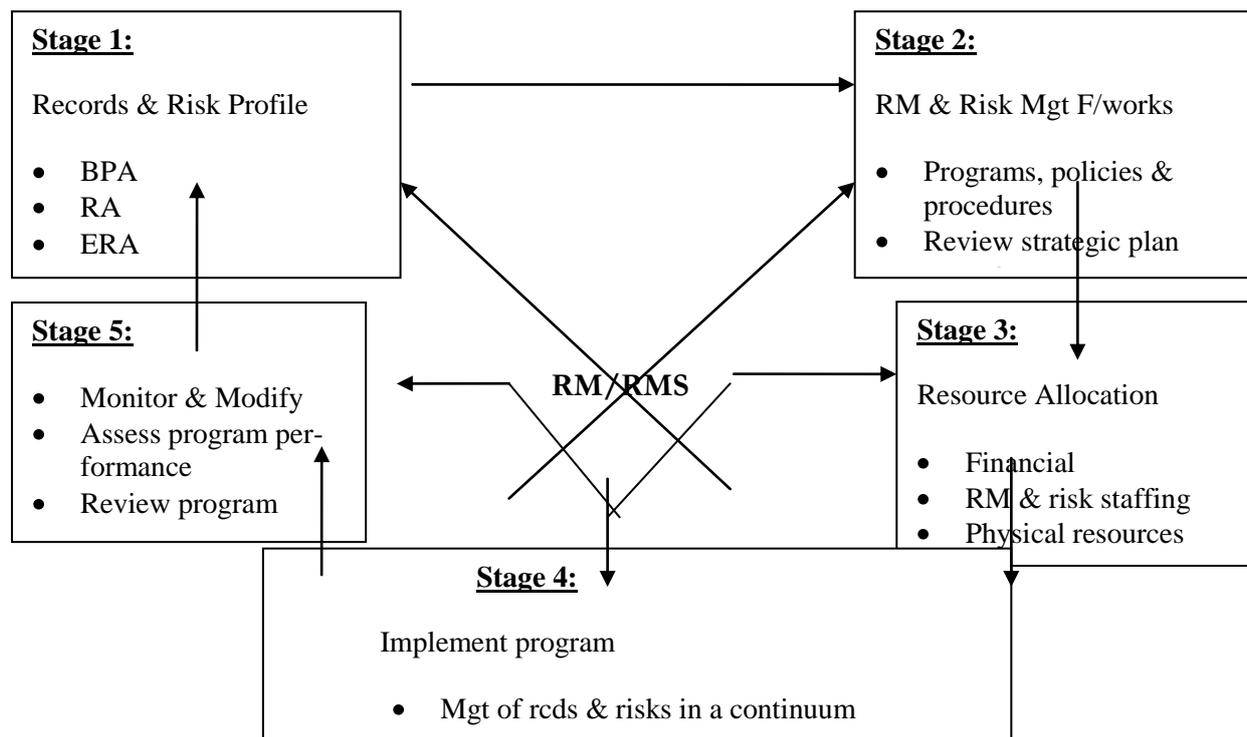

Figure 5.1: Proposed records management–cum–risk management model

Stage 1: Developing enterprise-wide records and risk profile

This stage entails undertaking a business process analysis with the aim of assessing RM and risk management at Moi University based on the following specific activities:

1 Analysis of all business processes in the organisation;
2 Undertake a records assessment (RA) to identify records generated by the business processes (paper, electronic, magnetic, or photographic formats);
3 Undertake an enterprise-wide risk assessment (ERA) to identify risks faced;
4 Establishment of the current state of RM and risk management;
5 Identify records-related risks;
6 Develop and maintain a risk database and records inventory;
7 RM and risk management reporting into the Records Management/Risk Management System (RM/RMS).

Stage 2: Developing RM and risk management frameworks

Stage 2 is about setting up RM and risk management infrastructures. It also entails designing frameworks for RM and risk management and having them approved formally thereby achieving top management support. The specific activities to be undertaken include:

1   Development of RM and risk management programmes and policies;
2   Aligning the RM and risk management programmes and policies with business processes;
3   Developing a disaster management and vital records programmes;
4   Entrenching RM and risk management within the organisation's strategic plan;
5   Determining the legal frameworks for both RM and risk management;
6   Formation of a RM and risk management committee to drive the process.
7   RM and risk management reporting into the RM/RMS.

Stage 3: Resource allocation for RM and risk management integration

Specification of all resources required for implementing RM and risk management programs is done at this stage. This includes:

1   Provision of funding for RM and risk management activities;
2   Identification of records management personnel and risk champions in the institution;
3   Capacity building for RM and risk management;
4   Provision of physical resources e.g. storage space and equipment (for active, semi-active and inactive records), computers and electronic storage devices for the RM/risk management system;
5   RM and risk management reporting into the RM/RMS.

Stage 4: Implementation of RM-cum-risk management programme

Implementation of the RM-cum-risk management programme is realised at this stage. All the steps in the program are implemented in a continuum without any separate steps. The following will be done:

1   Appointment of a Risk Manager and establishment of a Risk Management Directorate;
2   Educate and sensitise staff on RM and risk management programme details;
3   Enforcing adherence to the established programmes, policies and procedures;
4   Ensure compliance to the programme requirements, laws and other stipulated procedures;
5   Ensure budget allocations and time slots are adhered to;
6   Defining and prioritising opportunities for improvement;
7   RM and risk management programme reporting into the RM/RMS.

Stage 5: Monitoring and modification

This stage involves assessing program performance to determine compliance or lack of it. The programme will only be effective if it is implemented and monitored. Once the initial direction for RM and risk management is set, it is important to ensure that everyone is complying with the processes. The following will be done:

1   Establishment of a control process to verify that the RM-cum-risk management programme, policies and procedures are followed.

2   Assess the diagnostic deliverables, ie benchmarking RM and risk management;
3   Assessing business process efficiency through internal audits;
4   Review of the RM and risk management programmes to embrace modern trends;
5   Facilitating continuous training for RM and risk management staff;
6   Incorporation of new laws affecting RM and risk management into the programme;
7   Ensure that changing exposures to risk are assessed consistently and modified as required;
8   RM and risk management reporting into the RM/RMS.

9   Conclusions

Moi University being an academic institution is mainly engaged in facilitating teaching, learning, research activities and extension services. These core business processes are supported by a host of other non-core business activities, which result in the generation of records in both paper and electronic formats. Clearly therefore, these records must be properly managed to ensure that they are readily available in a timely and useable form and this means implementing sound records management strategies to safeguard the records.

The study findings revealed a poor state of affairs in the records management function at Moi University, exposing the institution to strategic, operational, financial and compliance risks, due to poor records management practices. Factors contributing to these risks included absence of a records management programme to guide records management activities in the Institution, lack of adequately trained records management staff, shortcomings resulting from the manual records management system in use, changing technologies and data security, among others. To alleviate these shortcomings, it will be prudent for Moi University to integrate proper records management and risk management procedures with business processes.

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