

**ALIGNING RECORDS MANAGEMENT  
AND RISK MANAGEMENT WITH  
BUSINESS PROCESSES: A CASE  
STUDY OF MOI UNIVERSITY,  
ELDORET, KENYA**

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# INTRODUCTION

- All tertiary education institutions face mounting pressure to demonstrate legal and regulatory compliance and high standards of corporate governance through the implementation of risk management programs.
- “Risk” is incorporated into many different disciplines.
- According to the Victorian Auditor-General’s Office (2004), risks facing organizations can be categorized into: strategic risks, commercial risks, operational risks, technical risks, financial and systems risks, and compliance risks.

# INTRODUCTION CONT...

- Records management (RM) is equally significant in an organisation.
- However, “most organizations have neglected good record-keeping practices thus exposing their organizations to risks from various quarters” (Mat-Isa, 2006) .
- RM 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.

# **AIM OF THE STUDY**

- To investigate the extent to which RM and risk management were aligned with business processes at Moi University and propose a strategy to enhance business performance in line with best practice standards at the university.

# **OBJECTIVES OF THE STUDY**

- 1.Undertake a business process analysis of Moi University in order to identify the resultant records generated by these processes;
- 2.Assess the current state of records management at Moi University;
- 3.Identify the problems faced by the institution in view of the current state of RM;

# OBJECTIVES CONT...

4. Identify the risks facing Moi University in relation to its core mandate;
5. Establish the role of RM in the mitigation of risks faced by the institution;
6. Give recommendations and propose an appropriate RM-cum-risk management strategy to enhance business processes at Moi University.

# LITERATURE REVIEW

Various sources of literature were consulted for the purpose of this study. The following themes were explored:

- Records and records management + importance
- Risk and risk management + importance
- Nexus between RM & risk management

# RESEARCH METHODOLOGY

- Case study approach
- Qualitative techniques - face-to-face interviews and documentary review.
- Study population-150, out of which a study sample size of 50 respondents (33.3%) was selected.
- Study population was drawn from the two campuses of Moi University - Main and Town campuses (College of Medicine, Annex and West).
- 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.
- Data presentation, analysis and interpretation – structured along study objectives.



# Study Population and Sample Size (N=50)

Participants	Population	Sample	Percentage (%)
Management Reps	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
<b>TOTAL</b>	<b>150</b>	<b>50</b>	<b>33.3%</b>

# **SUMMARY OF PRELIMINARY FINDINGS**

- 100% response rate - attributed to small margin of sample population selected, which provided adequate data to inform the study.

## **1. BPA**

- The study established that Moi University's core business activities were: provision of education through teaching and learning; research and extension services.
- other support activities included: strategic planning and development; resource mobilization and other financial processes; policy formulation and implementation; monitoring and review; staffing, among others.

# **BPA CONT...**

- Records generated and/or received (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.

## **2. Current State of Records Management**

Findings generally revealed a poor of RM at Moi University as a result of:

- 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 RM in relation to business processes;
- lack of adequate continuous training for RM staff;
- existence of a manual RM system as opposed to an electronic one.

### **3. Problems Experienced Due to the Current State of RM**

- Lack of RM guidelines (highly cited) – led to lack of uniformity in RM practices.
- Top management had not prioritized capacity building for RM resulting in lack of professionalism in records management activities which impacted negatively upon other business processes.

# 3. Problems Cont...

- Others - inadequacies of the current manual RM system;
- Slow pace at which computerization 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.

## **4. Risks Facing Moi University in Relation to its Core Mandate**

Study used the Victorian Auditor General's Office approach to identify the risks facing Moi University in relation to its core mandate. Were:

1. Strategic risks (72%)
2. Operational (58%)
3. Financial (50%)
4. Compliance risk (48%)
5. Technical risks (36%)
6. Systems risks (24%)
7. Commercial risks (22%).

# 5. Role of RM in Risk Mitigation

- The findings revealed a clear relationship between RM and risk management. 19 Out of 28 respondents (68%) felt that the RM function in the institution acts as a risk mitigating tool.
- Strongly pointed to the possibility of adopting a RM-cum-risk management strategy aimed at improving business processes in the institution – all 28 respondents interviewed on this aspect agreed that combining records management and risk management was likely to have a +ve impact upon business processes by improving on efficiency.



# RECOMMENDATIONS

## RM:

1. Devt and implementation of a comprehensive RM Program - Moi University Management;
2. Recruitment of a qualified Records Manager - top management ;
3. RM Staff capacity building and training - top management needs to prioritize staffing for RM;
4. Computerization - University management should prioritize funding of the on-going records automation project in order for ERM to become a reality in Moi University;

# **RECOMS CONT...**

6. Development and implementation of an ERMP - head of the Central Registry in collaboration with the head of ICT department;
7. Development of specific RM policies and procedures - officers in charge of records sections and the head of Central Registry
8. Lobby for additional resources - head of Central Registry and heads of dept records sections;

## **Risk Management**

- Set up a Risk Management Dept headed by an officer with knowledge and skills in risk management – Top Management;

## **RECOMS CONT...**

- Development of a Risk Management Program – University Auditor;
- Risk Management Sensitization -Management
- Designing of a vital RMP to ensure business continuity – head of Central Registry.
- Review the organisations strategic plan.
- Records-cum-risk management model for Moi University. Model has borrowed from RC model formulated by Australian archival theorist Frank Upward. The risk management element was borrowed from the IRM Model developed by the Canadian Government.



# CONCLUSION

- Organisations, public and private, create and capture records in the course of their routine activities. Moi University being an academic institution is mainly engaged in facilitating teaching, learning, research activities and extension services.
- Consequently, the institution faces various risks in relation to its core mandate such as strategic, operational, financial, commercial, compliance, technical and systems risks.
- The study has put forth recommendations and proposed adoption of a records-cum-risk management model for Moi University. This will go a long way in enhancing business processes at Moi University by mitigating risks facing the institution and improving the state of records management.